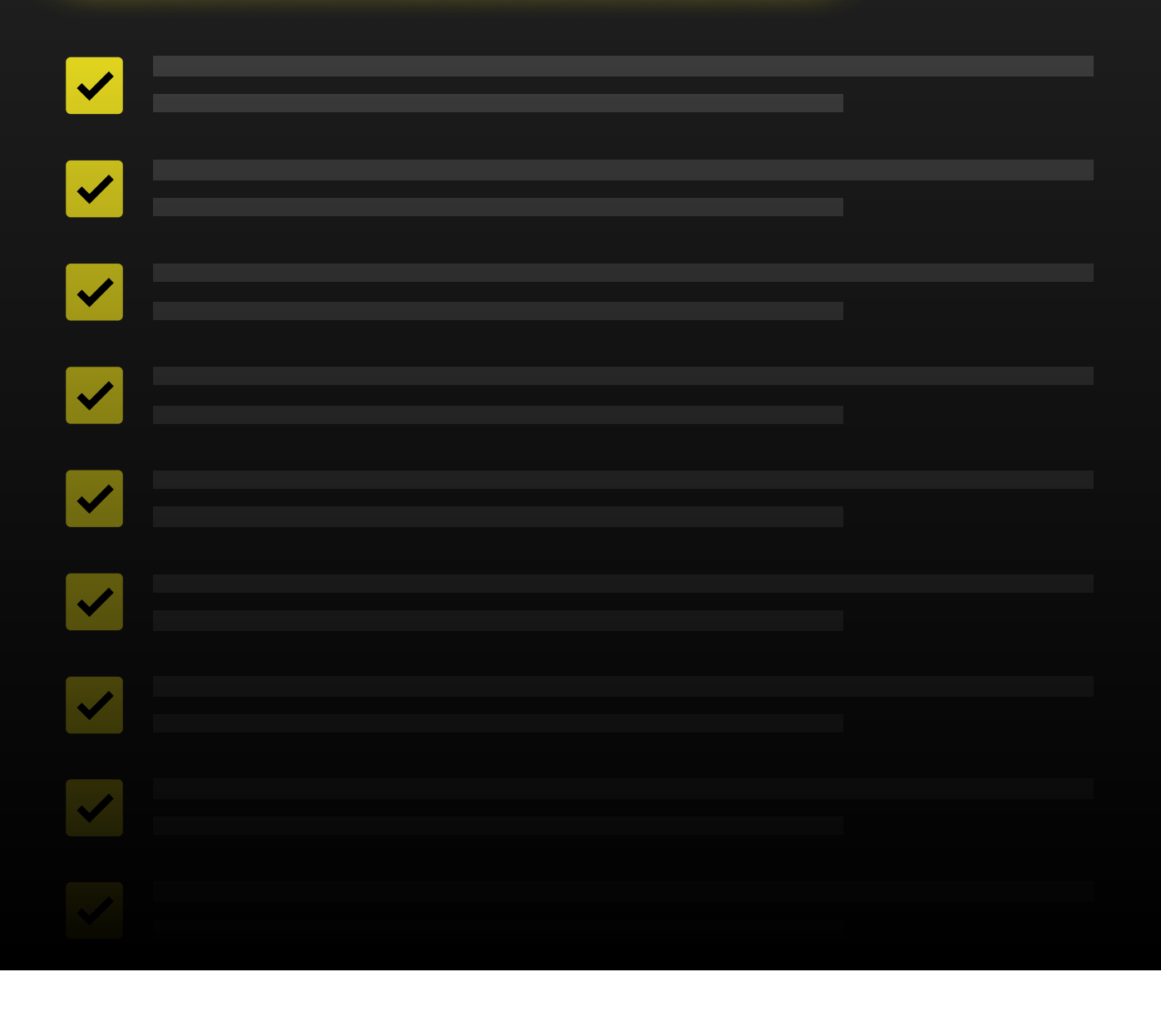


The Ultimate ISO 42001 Compliance Checklist

Build Trust and Govern AI Responsibly



Build Trust and Govern AI Responsibly

ISO 42001 isn't just another compliance badge: it's your organisation's proof that AI systems are safe, transparent, and responsibly managed across their entire lifecycle.

As the world's first AI management system standard, it helps you demonstrate that your models are governed, risks are controlled, and your AI practices can be trusted by customers, regulators, and partners.

To make the process smoother and stress-free, this **comprehensive checklist**—enhanced with **Hicomply's compliance automation features**—will guide you through every step, ensuring you're always audit-ready.



Step 1

Establish the Foundations of your AI Management System

Define your AIMS scope

– Clearly outline the systems, process, and AI activities included.

Map your stakeholders

– Identify internal and external parties involved in AI development and oversight.

Understand your organisational context

– Capture risks, opportunities, and external factors that impact AI governance.

Assign roles and responsibilities

– Document who owns what across the AI lifecycle.

How Hicomply Assists:

Structured AIMS foundations

– Build your scope, policies, and responsibilities in minutes—not days.

Approval workflows that keep you organised

– Assign owners, track progress, and maintain an audit-ready record without the manual back-and-forth.

15% completed

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Step 2

Plan Your AI Governance & Risk Approach

Identify AI-related risks

– Capture risks across model design, training data, deployment, and ongoing use.

Assess impact and likelihood

– Evaluate how severe each risk is and what could trigger it.

Set governance objectives

– Define measurable goals for responsible and compliant AI operations.

Document your risk methodology

– Record how risks are assessed, reviewed, and updated over time.

How Hicomply Assists:

Automated AI risk management

– Capture, score, and track risks with a consistent methodology that keeps everything clean and audit-ready.

Real-time risk visibility

– View your complete risk matrix on your dashboard, with controls and evidence mapped automatically so nothing gets missed.

30% completed

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Step 3

Build AI Policies, Processes & Documentation

Create core AI governance policies

– Define how AI is developed, deployed, and monitored across your organisation.

Document AI lifecycle processes

– Capture model development, testing, validation, and deployment procedures.

Set data governance requirements

– Specify how training, validation, and inference data is sourced, managed and protected.

Establish documentation standards

– Ensure consistent records across design, testing, decisions, and model performance.

How Hicomply Assists:

Pre-built AI governance templates

– Generate clear, compliant policies instantly, with automated formatting, versioning, and approvals.

Centralised documentation management

– Keep every policy, process, and record in one structured space—easy to update, easy to find, easy to evidence.

45% completed

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Step 4

Operationalise Controls Across the AI Lifecycle

Implement technical and governance controls

– Put measures in place for data quality, model integrity, and overall performance.

Ensure transparency and oversight

– Enable explainability and define where human review is required.

Monitor deployed models

– Track drift, anomalies, and unintended behaviours across real-world use.

Maintain secure development practices

– Apply change management, testing, and review procedures consistently.

How Hicomply Assists:

Control-to-requirement mapping

– Map each AI control directly to ISO 42001 requirements and related risks, keeping your governance tight and traceable.

Automated control workflows

– See completions, gaps, and overdue tasks at a glance, turning control management into a calm, predictable process.

60% completed

Step 5

Measure, Monitor & Review Your AI System Performance

Define monitoring metrics

– Set clear indicators for responsible AI performance, safety, and reliability.

Conduct internal AIMS audit

– Review whether processes, controls, and documentation are being followed.

Evaluate model performance

– Check accuracy, quality, drift, and unintended outputs on an ongoing basis.

Identify and resolve issues

– Log nonconformities and implement corrective actions promptly.

How Hicomply Assists:

Audit and performance dashboards

– View evidence, status, and gaps in one place, with a clear picture of how your AIMS is performing.

Automated issue tracking

– Log nonconformities and assign corrective actions with clear timelines so improvements never fall between the cracks.

75% completed

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Step 6

Prepare for Certification & Continuous Improvement

Complete your readiness review

– Confirm your AIMS, controls, and documentation align with ISO 42001.

Compile final audit evidence

– Gather policies, risk records, control evidence, and monitoring outputs.

Engage leadership in the review

– Ensure management evaluates AIMS performance and approves key decisions.

Plan ongoing improvements

– Use audit insights and monitoring results to refine your AI governance.

How Hicomply Assists:

Continuous compliance monitoring

– Real-time visibility that helps you stay ahead of issues rather than react to them.

Automated evidence collection

– Pull in proof from your systems automatically, without chasing screenshots or updates.

Custom dashboards & alerts

– Clear views of your risks, controls, tasks, and audit readiness in one place.

Audit support & readiness reports

– Generate clean, structured audit reports that give your auditors exactly what they need, all in one place.

Seamless integrations

– Connect Hicomply to the tools you already use so compliance fits naturally into your existing workflows.

100% completed

Step 7

Pass Your ISO 42001 Audit with Confidence

By following this checklist, you're not just working toward certification—you're building a responsible, well-structured AI governance framework that customers, regulators, and auditors can genuinely trust.

Need to automate your ISO 42001 compliance process?

With Hicomply, you get an **all-in-one compliance automation platform** that streamlines ISO 42001 from start to finish—**simplifying documentation, strengthening oversight, integrating with your existing tools and keeping your AI systems continuously audit-ready.**

Say Hi to Faster, Smarter Compliance

Get a Demo

The Ultimate ISO 42001 Compliance Checklist

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