

Checklist

Six areas to confirm before an AI management system audit

01 Inventory

- ☐ List every AI system in use
- ☐ Record purpose and data sources
- ☐ Separate vendor and in-house builds
- ☐ Flag high-impact uses

02 Owners

- ☐ Name an accountable executive
- ☐ Assign an owner per AI system
- ☐ Define review responsibilities
- ☐ Confirm backup contacts

03 Risk process

- ☐ Set risk criteria and appetite
- ☐ Assess impacts for each system
- ☐ Log treatments and residual risk
- ☐ Schedule periodic reassessment

04 Policy

- ☐ Approve an AI policy
- ☐ Align with objectives and law
- ☐ Communicate it to all staff
- ☐ Review on a fixed cycle

05 Supplier review

- ☐ Identify all AI suppliers
- ☐ Check supplier controls and terms
- ☐ Record data handling duties
- ☐ Track reviews and renewals

06 Evidence log

- ☐ Link records to each control
- ☐ Store dated approvals
- ☐ Keep audit and test results
- ☐ Note gaps and open actions

Tick a box only when supporting evidence is on file.