

ISO 42001 AI Governance Self-Assessment Guide

Understand your organisation's readiness for ISO 42001 certification in under 15 minutes.

What is ISO 42001 — and why does it matter for your business?

ISO/IEC 42001:2023 is the first international standard for Artificial Intelligence Management Systems (AIMS). It defines how organisations that develop, deploy, or use AI should govern those systems responsibly — covering risk, transparency, fairness, accountability, and data quality.

The EU AI Act came into force in August 2024. Enterprise buyers, procurement teams, and regulators now require evidence of responsible AI governance. ISO 42001 certification is the recognised way to demonstrate that commitment and protect your business from legal and reputational risk.

How to complete this guide

For each question below, tick the box that best reflects your current situation. Once complete, use the scoring guide on page 2 to assess your readiness and identify recommended next steps. There are no wrong answers — this is a self-service starting point, not a formal audit.

	YES	PARTIAL	NO
1 UNDERSTANDING YOUR AI FOOTPRINT			
01 Have you identified all AI systems your organisation currently develops, deploys, or uses?	☐	☐	☐
02 Have you clarified your role — as an AI provider (building AI), deployer (embedding AI into products), or end-user?	☐	☐	☐
03 Is a member of your leadership team formally accountable for AI governance and risk?	☐	☐	☐
04 Have you defined which AI activities and systems fall within the scope of your governance framework?	☐	☐	☐
2 GOVERNANCE, POLICY & ORGANISATIONAL AWARENESS			
05 Does your organisation have a documented AI policy covering ethics, fairness, transparency, and responsible use?	☐	☐	☐
06 Is there a formal, accessible process for employees to raise concerns about AI system behaviour or outputs?	☐	☐	☐
07 Are AI-related roles, decision-making responsibilities, and accountabilities clearly assigned across your teams?	☐	☐	☐
08 Has your leadership team been formally briefed on the business, legal, and reputational risks of your AI systems?	☐	☐	☐

3 RISK ASSESSMENT, CONTROLS & DOCUMENTATION

- | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|
| 09 | Have you carried out a formal risk assessment of your AI systems, covering bias, data quality, security, and potential for harm? | ☐ | ☐ | ☐ |
| 10 | Do you actively monitor your AI systems for unexpected outputs, performance drift, or behavioural changes over time? | ☐ | ☐ | ☐ |
| 11 | Are your AI systems, training data sources, model logic, and decision processes formally documented and version-controlled? | ☐ | ☐ | ☐ |
| 12 | Do you have a documented process to detect, manage, and escalate AI system failures, errors, or potentially harmful outputs? | ☐ | ☐ | ☐ |
| 13 | Have you assessed the impact of your AI systems on the individuals, customers, or communities they affect? | ☐ | ☐ | ☐ |

4 SUPPLIER OVERSIGHT, AUDIT & CONTINUOUS IMPROVEMENT

- | | | | | |
|----|--|--------------------------|--------------------------|--------------------------|
| 14 | Are your AI-related technology vendors, data suppliers, and third-party partners subject to your governance standards? | ☐ | ☐ | ☐ |
| 15 | Have you assessed whether your AI systems fall within scope of the EU AI Act or UK AI regulatory requirements? | ☐ | ☐ | ☐ |
| 16 | Do you carry out periodic internal reviews or audits of your AI governance practices and controls? | ☐ | ☐ | ☐ |
| 17 | Is AI governance formally embedded in your management reviews, business strategy, and planning cycles? | ☐ | ☐ | ☐ |

What Your Results Mean

Mostly YES

Strong foundations in place.
A formal gap assessment and certification programme can begin promptly.

Mix of YES & PARTIAL

Good progress being made.
Targeted implementation support will close gaps and accelerate your path to certification.

Mostly PARTIAL or NO

Significant gaps identified.
An expert-led AIMS implementation programme is recommended to build your framework from scratch.

Ready to move forward?

Book a free 30-minute consultation with our Certified ISO 42001 Lead Auditors and Lead Implementors. We will review your self-assessment, identify your priority gaps, and provide a clear, practical roadmap to ISO 42001 certification — at a pace and cost that works for an organisation of your size.

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