



ADVISIA ISO 42001 READINESS

ASSESSMENT

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ISO/IEC 42001 Readiness Assessment

A 5-Minute Diagnostic for AI Readiness

Purpose: This diagnostic helps your organization evaluate its current alignment with the ISO/IEC 42001:2023 standard. It measures your posture across the five core pillars of a robust AI Management System.

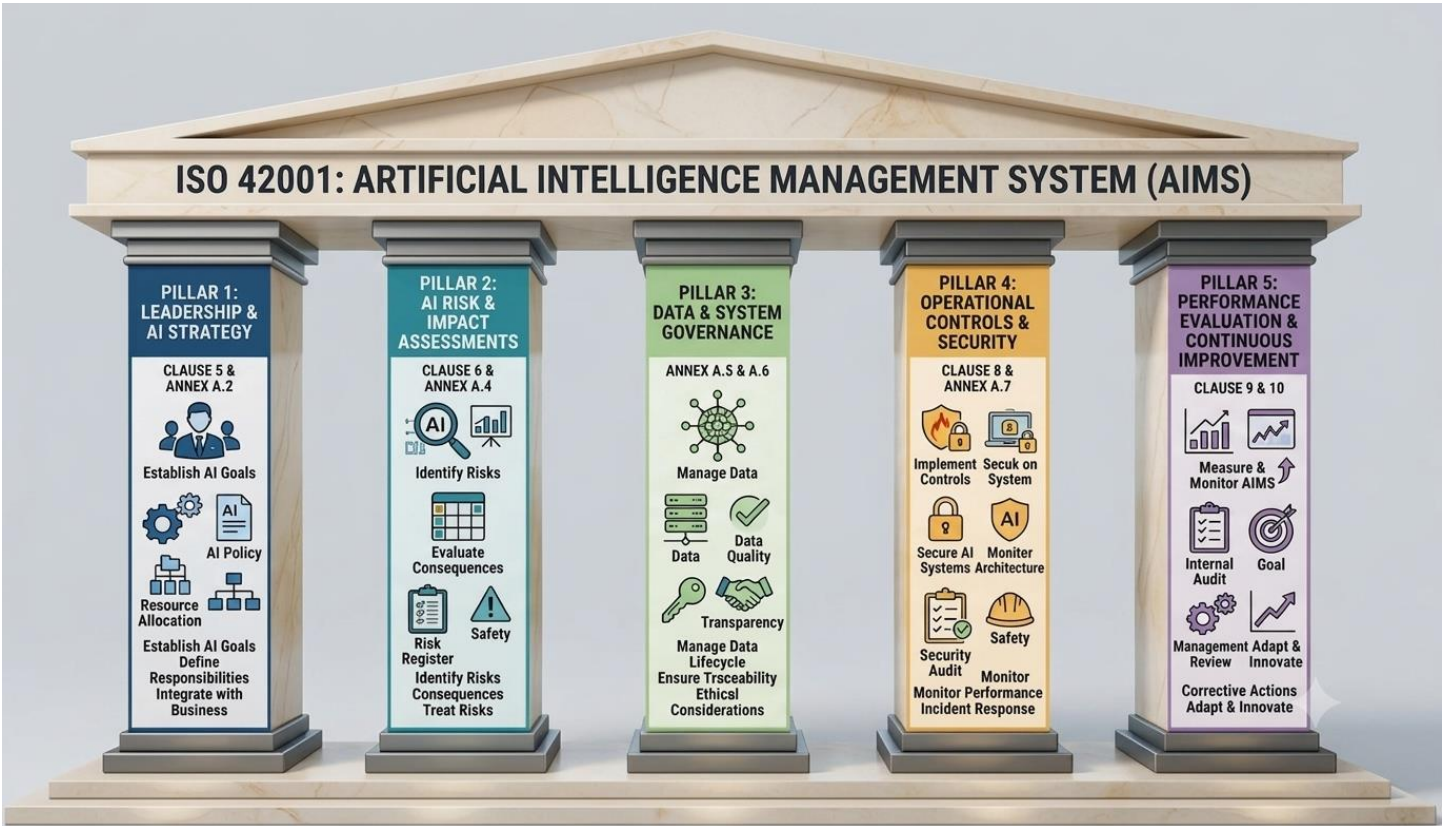
How to Take This Assessment:

For each statement below, score your organization based on the following scale:

- **0 = Non-Existent:** We have not addressed this yet.
- **1 = Ad-Hoc:** We do this informally or on a case-by-case basis, but it is not documented.
- **2 = Defined:** We have a documented policy or process, but it is not fully integrated or continuously monitored.
- **3 = Optimized:** This is a mature, fully implemented process embedded into our organizational culture and regularly audited.

We utilize a weighted scoring system where participants self-assess on a scale of **0 to 3 across 15 core elements**, distributed spanning five critical pillars. Upon completion, the total score determines your organization's AI Readiness Level.

The 5 Pillars of ISO 42001 Readiness



Pillar 1: Leadership & AI Strategy (Clause 5 & Annex A.2)

- **1.1 AI Policy Alignment:** Your organization has a formal, documented AI Policy approved by executive leadership that explicitly outlines the intentional and responsible use of AI.
 - *Score (0–3):* _____

- **1.2 Leadership Commitment:** Management actively allocates resources (budget, time, and personnel) specifically for AI compliance, risk management, and governance.
 - *Score (0–3):* _____

- **1.3 Roles & Responsibilities:** Distinct roles (e.g., AI Officer, Risk Owners) and accountability structures are formally mapped out and communicated across the organization.
 - *Score (0–3):* _____

Pillar 1 Subtotal: _____ (*Max 9*)

Pillar 2: AI Risk & Impact Assessments (Clause 6 & Annex A.4)

- **2.1 AI System Impact Assessments:** Before deploying or developing an AI system, you conduct formal assessments on its potential impact on individuals, society, data privacy, and fairness.
 - *Score (0–3):* _____

- **2.2 Risk Identification & Mitigation:** You have a repeatable process to identify AI-specific risks (e.g., algorithmic bias, hallucinations, data drift) and document clear mitigation steps.
 - *Score (0–3):* _____

- **2.3 Stakeholder Communication:** A mechanism exists to report AI risks and system objectives to both internal teams and external stakeholders or clients.
 - *Score (0–3):* _____

Pillar 2 Subtotal: _____ (*Max 9*)

Pillar 3: Data & System Governance (Annex A.5 & A.6)

- **3.1 Data Lineage & Quality:** You track the origin, quality, and processing steps of all data used to train, fine-tune, or operate your AI models.
 - *Score (0–3):* _____

- **3.2 AI System Life Cycle Controls:** Your organization has formal controls governing the entire life cycle of an AI system, from initial design and development to decommissioning.
 - *Score (0–3):* _____

- **3.3 Transparency & Explainability:** You can explain how your AI systems arrive at specific outputs or decisions, particularly when those outputs impact users or business operations.
 - *Score (0–3):* _____

Pillar 3 Subtotal: _____ (*Max 9*)

Pillar 4: Operational Controls & Security (Clause 8 & Annex A.7)

- **4.1 Third-Party AI Vendor Management:** You have a rigorous vetting process for third-party AI tools, APIs, and vendors to ensure they comply with your security and privacy standards.
 - *Score (0–3):* _____

- **4.2 AI Cyber & Asset Security:** Your cybersecurity framework includes specific protocols to protect AI models from specialized threats, such as prompt injection, data poisoning, or model inversion.
 - *Score (0–3):* _____

- **4.3 Incident Response & Reporting:** There is a defined workflow to flag, investigate, and mitigate anomalies or unintended behaviors in your deployed AI systems.
 - *Score (0–3):* _____

Pillar 4 Subtotal: _____ (*Max 9*)

Pillar 5: Performance Evaluation & Continuous Improvement (Clause 9 & 10)

- **5.1 Internal Audits & Monitoring:** You routinely monitor AI system metrics (accuracy, drift, usage patterns) and conduct structured internal audits of your governance processes.
 - *Score (0–3):* _____

- **5.2 Management Review:** Executive leadership regularly reviews the performance metrics of the AI Management System to ensure it meets strategic business goals.
 - *Score (0–3):* _____

- **5.3 Corrective Action Culture:** Your organization uses a formalized process to log system failures or non-conformities and implement permanent fixes.
 - *Score (0–3):* _____

5.4 Pillar 5 Subtotal: _____ (*Max 9*)

Your Total AI Readiness Score Calculation

Pillars	Score
Pillar 1: Leadership & AI Strategy (Clause 5 & Annex A.2)	
Pillar 2: AI Risk & Impact Assessments (Clause 6 & Annex A.4)	
Pillar 3: Data & System Governance (Annex A.5 & A.6)	
Pillar 4: Operational Controls & Security (Clause 8 & Annex A.7)	
Pillar 5: Performance Evaluation & Continuous Improvement (Clause 9 & 10)	
Total AI Readiness Score	/ 45

The Final Results & Roadmap

Locate your score range below to view your organization's maturity level and immediate next steps.

0 to 15 Points: Level 1 – Reactive & Exposed

- **The Reality:** Your organization is leveraging AI, but largely in an unmonitored or ad-hoc capacity. Without structured policies, you face significant vulnerabilities regarding data privacy, regulatory compliance, and operational shadow AI.
- **The Roadmap:**
 - Immediately halt unauthorized AI tool usage and establish a foundational AI usage guidelines document.
 - Identify and inventory every AI asset currently used across departments.
 - *Consultant Value Point:* Transitioning from Level 1 to compliance requires a structured architecture. Let's map your initial AI inventory and build your core policy.

16 to 30 Points: Level 2 – Defined but Fragmented

- **The Reality:** You have solid foundational pieces in place. You likely have data protocols and some security measures, but they aren't talking to each other. Your AI governance lacks the unified framework required to pass a formal ISO 42001 certification audit.
- **The Roadmap:**
 - Formalize your Risk and Impact Assessment workflows so they are mandatory for every new AI project.
 - Bridge the gap between IT security and business leadership by defining clear AI accountability roles.
 - *Consultant Value Point:* This is where most organizations get stuck. We can stitch your existing processes into a cohesive, audit-ready AI Management System (AIMS).

31 to 45 Points: Level 3 – Optimized & Audit-Ready

- **The Reality:** Exceptional work. Your organization treats AI governance as a core business driver. You have deep technical and operational controls in place.
- **The Roadmap:**
 - Conduct a rigorous gap analysis against the precise documentation requirements of ISO/IEC 42001.
 - Engage an independent third party to perform a mock pre-assessment audit.
 - *Consultant Value Point:* Even highly mature systems can stumble on the specific documentation structures external registrars demand. Let's fine-tune your controls to guarantee a seamless certification process.

Next Steps :

Share your final Level with us at info@advisiaglobal.ai. We will reach out to schedule a brief consultation. Together, we will conduct a detailed AI Readiness assessment and design the exact roadmap your company needs to achieve compliance.