**Audit Interview Questionnaire**

# Guidelines for Interviewer

* This audit questionnaire is a template and a reference to be followed.
* The concerned domain of the questionnaire (risk management, transparency, etc.) is **based on the interviewee’s role**.
* The total number of questions also depends on the interviewee’s **role** and **experience**.
* Each question should assess understanding of a **specific clause**.
* Top Management including executives and managers would have **5 to 7** questions while Employees would have **3 to 5** questions to respect the interviewees availability and feasibility keeping in view their seniority.
* The **Assessment section** would be filled by the Interviewer after the interview.
* This template conducts a **mock** interview of an AI Engineer.

**Interviewee Name:**.........................................John Smith..............................................................

**Interviewee Role:**................................................AI Developer......................................................

**Interviewer Name:**..............................................Alex Jones..........................................................

**Interviewer Role:**..................................................AI GRC Analyst................................................

**Domain:**......................................................Model Performance and Robustness..........................

Questions

**Question:** Can you walk me through the validation and verification process for a new or updated model? How do you ensure it meets the predefined performance objectives and is suitable for its intended use?

**Rationale:** This question directly assesses the engineer's understanding of relevant clauses in ISO 42001, which require that AI systems meet specified performance criteria and are validated before deployment and after modifications. The analyst wants to understand the methodology, tests, and metrics used.

**Answer:**

**Question:** How do you continuously monitor a model's performance after it has been deployed? What specific metrics are you tracking to detect degradation, and what is the process for flagging and addressing a significant drop in performance?

**Rationale:** This question checks for compliance with ISO 42001 in the relevant domain, which mandate continuous monitoring to detect performance degradation and require a process for model retraining and updating to maintain accuracy. The analyst is looking for evidence of a proactive monitoring system.

**Answer:**

**Question:** What measures have you taken to evaluate the model's susceptibility to adversarial attacks, such as data poisoning or evasion? Can you describe any defenses that have been implemented to enhance its resilience?

**Rationale:** This question addresses relevant clauses from ISO 42001, which require organizations to assess and mitigate security risks from adversarial inputs. The GRC analyst is verifying that technical risks are being actively managed by the engineering team.

**Answer:**

# Assessment

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| --- | --- | --- |
| **Assessment Category** | **Auditor’s Rating** | **Auditor’s Notes** |
| AIMS Understanding | (1-5) | [Notes on how well the interviewee understands their role and the AIMS.] |
| Evidence of Implementation | (1-5) | [Notes on specific examples or evidence provided by the interviewee.] |
| Adherence to Policies | (1-5) | [Notes on whether the interviewee’s actions align with documented policies.] |

**Date of Interview:** DD/MM/YYYY

**Signed:** XYZ

**END**