

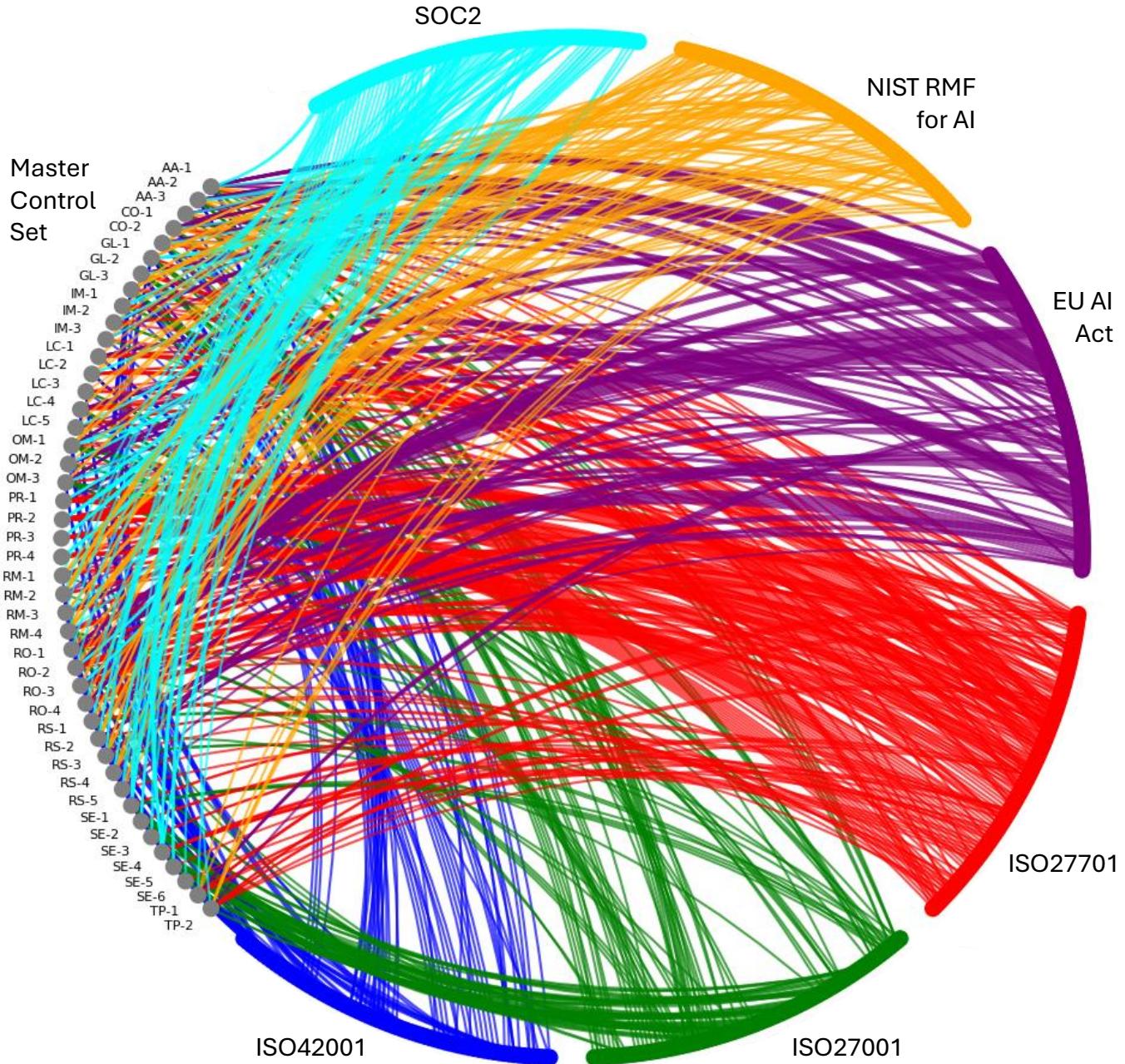
AI Governance Master Controls

Mapping the 6 most important AI control sources into one real-world, practical framework.



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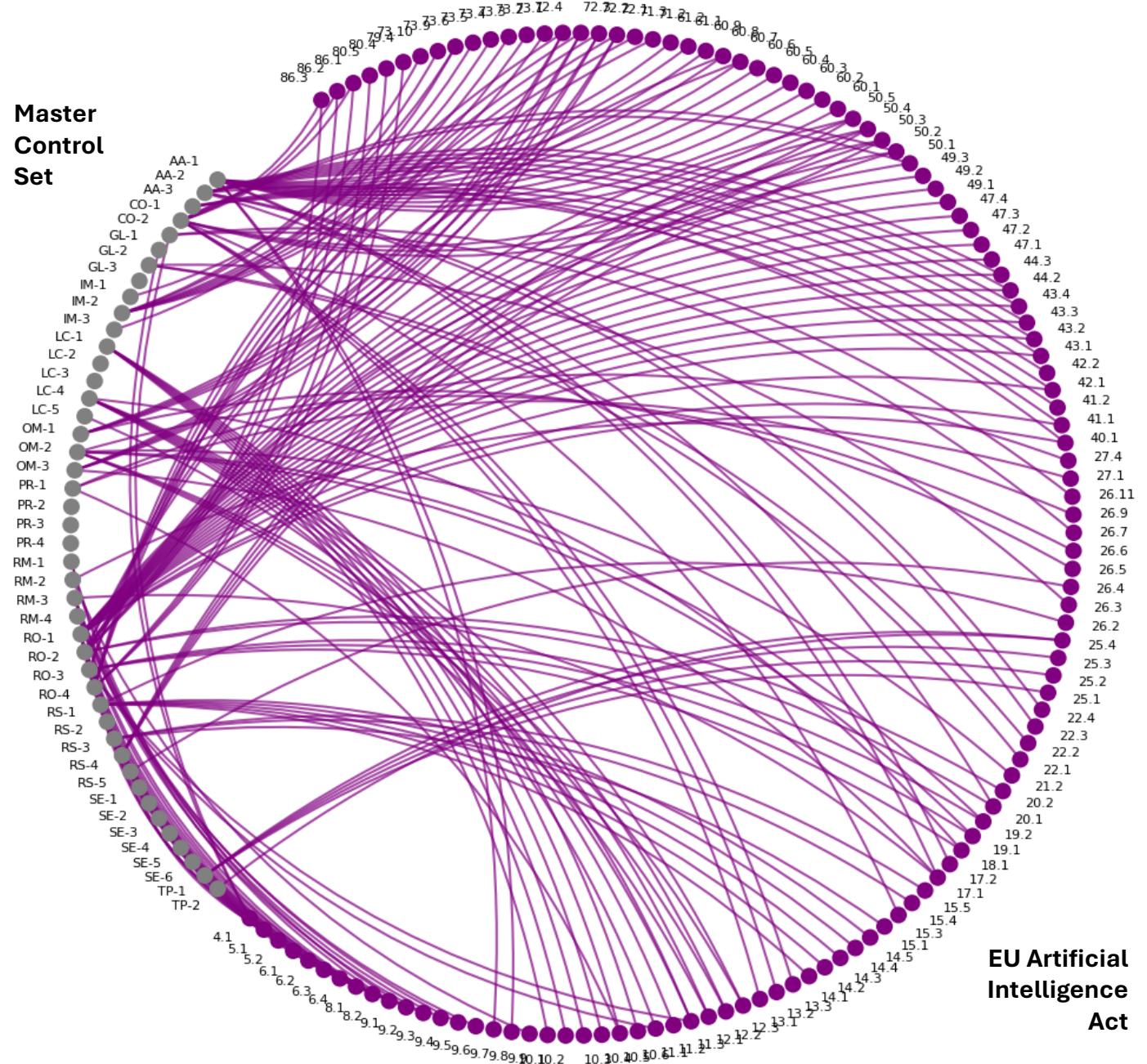
AI Governance Master Controls

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| GL-1 | Executive Commitment and Accountability |
| GL-2 | Roles, Responsibilities & Resources |
| GL-3 | Strategic Alignment & Objectives |
| RM-1 | Risk Management Framework and Governance |
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| RO-2 | Transparency, Disclosure and Reporting |
| RO-3 | Record-Keeping |
| RO-4 | Post-Market Monitoring |
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| LC-2 | System Development and Lifecycle Management |
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| LC-4 | Technical Documentation |
| LC-5 | Change Management & Version Control |
| SE-1 | Security Governance, Architecture and Engineering |
| SE-2 | Identity & Access Management |
| SE-3 | Software Security |
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| SE-6 | Physical Security |
| RS-1 | Human Oversight and Intervention |
| RS-2 | Safety |
| RS-3 | Robustness |
| RS-4 | Explainability and Interpretability |
| RS-5 | Fairness and Bias Management |
| PR-1 | Privacy by Design and Governance |
| PR-2 | Personal Data Management |
| PR-3 | Privacy Compliance and Monitoring |
| PR-4 | Privacy-Enhancing Technologies and Mechanisms |
| AA-1 | Internal Assessment & Audit |
| AA-2 | Independent Assessment and Certification |
| AA-3 | Safety and Security Validation |
| OM-1 | System Performance Monitoring |
| OM-2 | Event Logging |
| OM-3 | Continuous Improvement |
| TP-1 | Third-Party Provider Responsibilities |
| TP-2 | Supplier Risk Management |
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| CO-2 | Stakeholder Engagement and Feedback |
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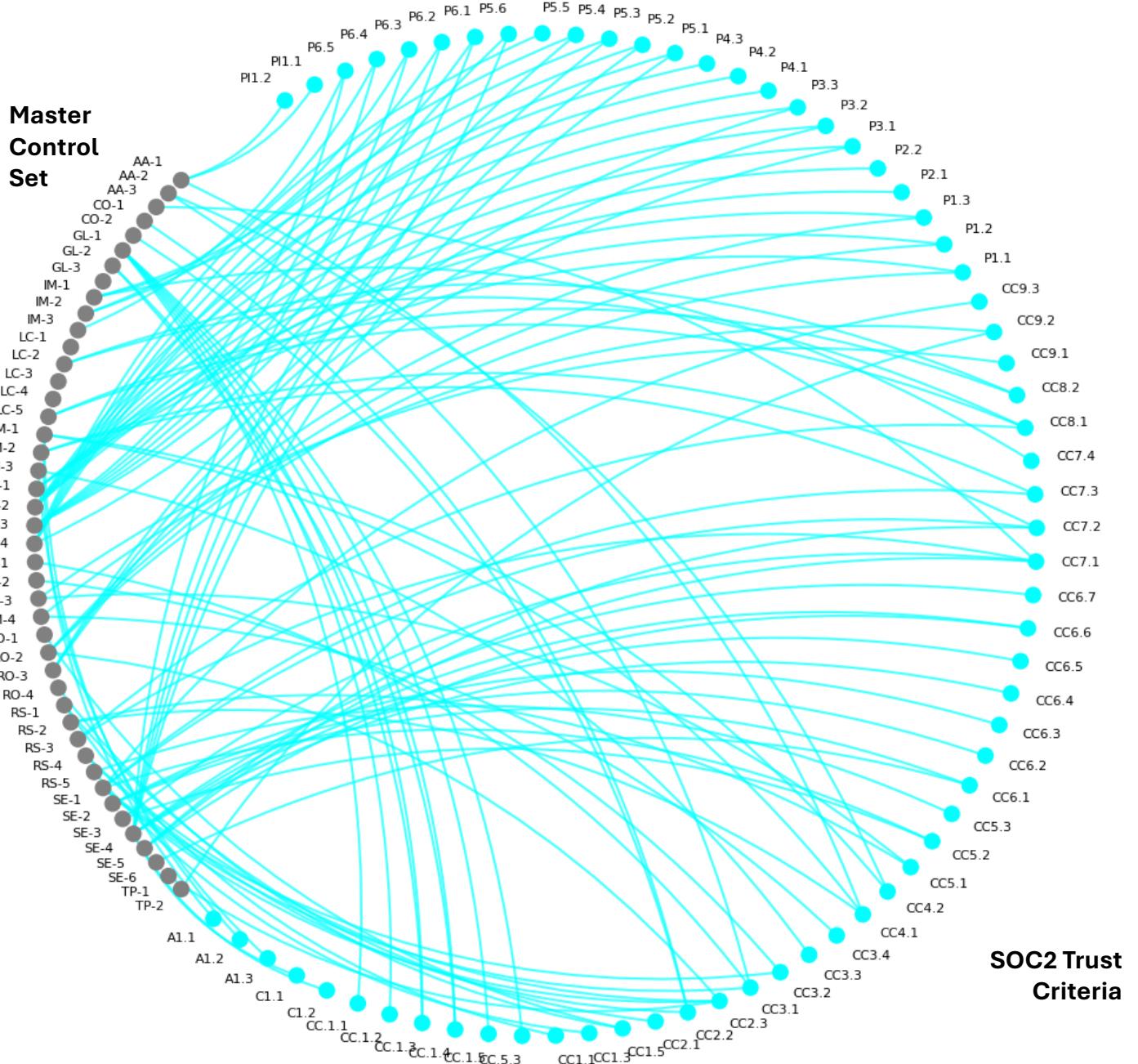


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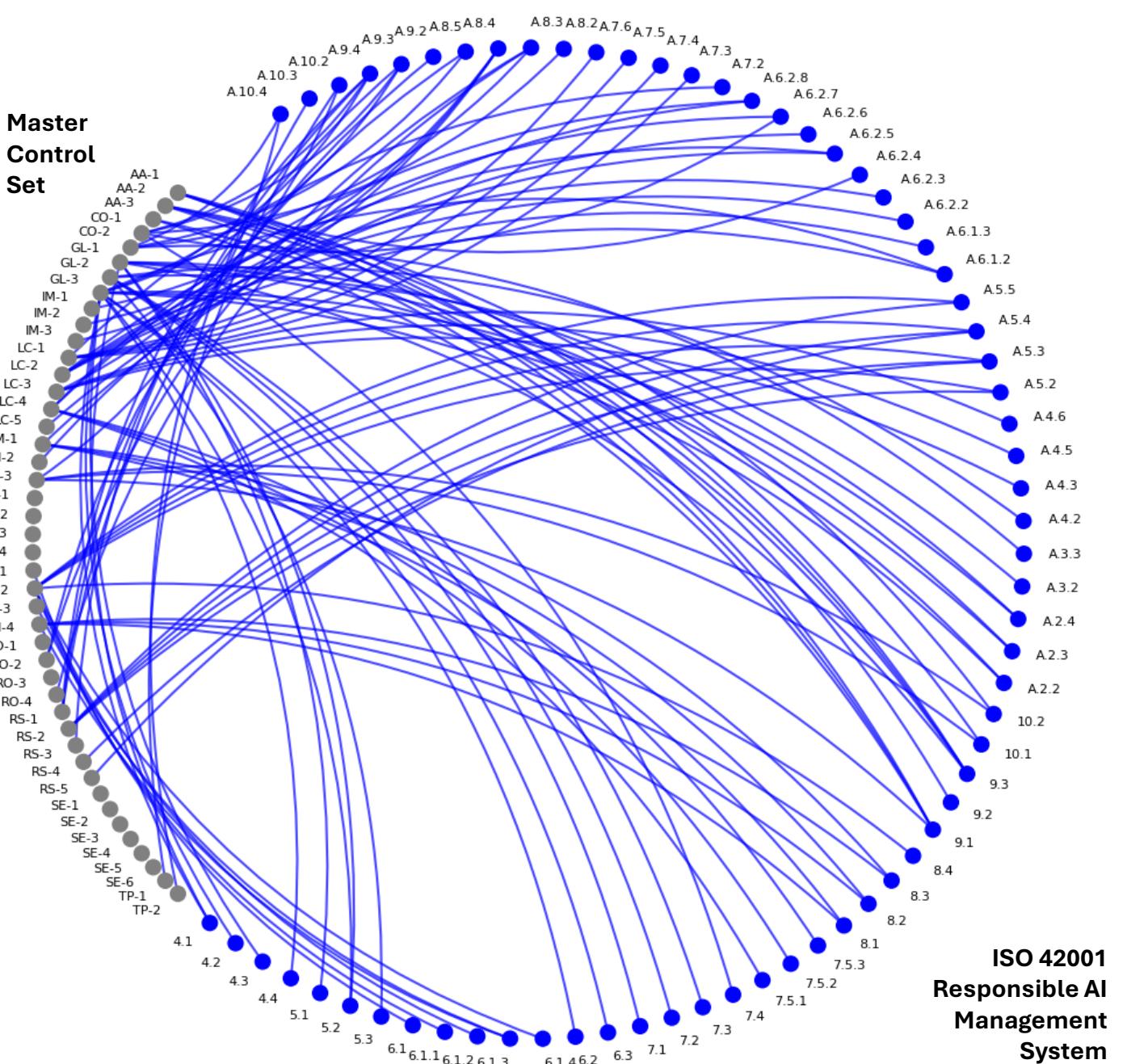


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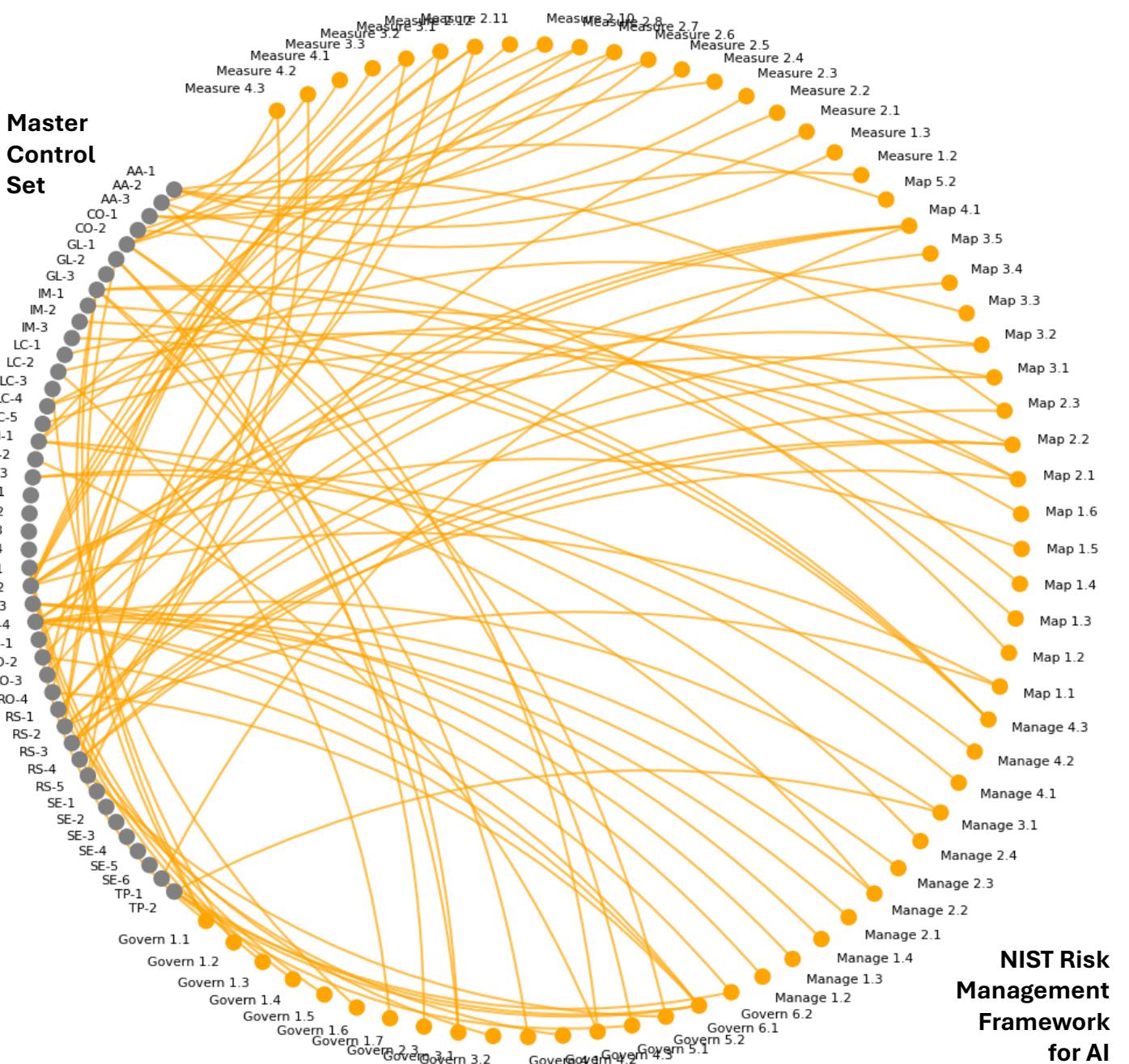


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**ISO 42001
Responsible AI
Management
System**

AI Governance Master Controls

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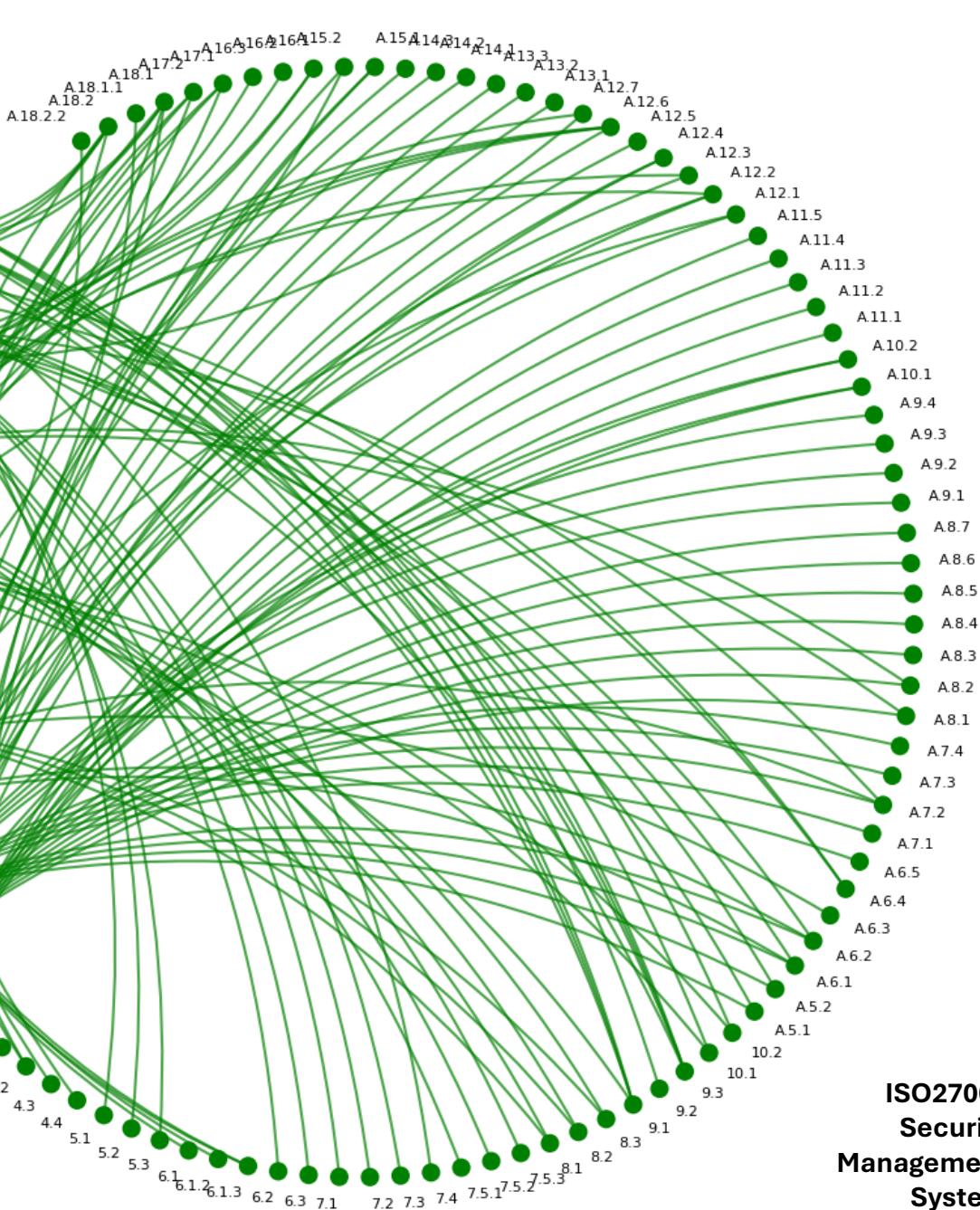
NIST Risk Management Framework for AI

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Master Control Set



ISO27001 Security Management System



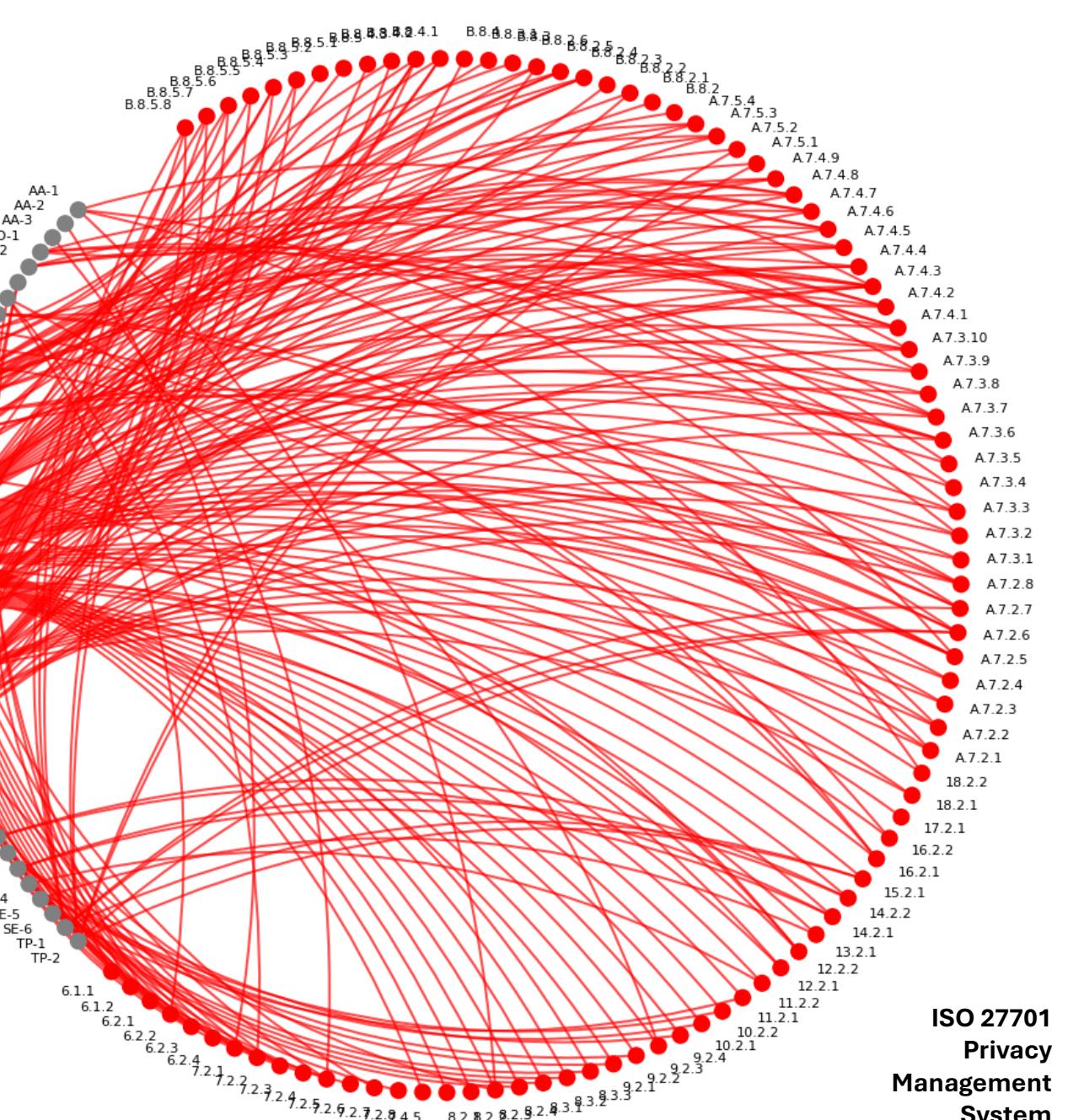
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Master Control Set



ISO 27701 Privacy Management System



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AI Governance Master Controls

Governance & Leadership Domain

GL-1 Executive Commitment and Accountability

GL-2 Roles, Responsibilities & Resources

GL-3 Strategic Alignment & Objectives



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SOC2:

GL-1: CC.1.1-CC.1.5, CC.5.3

GL-2: CC.1.3-CC.1.4

GL-3: -

NIST RMF AI:

GL-1: Govern 1.1, Govern 2.3, Govern 3.1

GL-2: -

GL-3: Map 1.3, Map 1.4, Govern 1.1-1.2, Govern 3.1, Govern 4.1

AA-1
AA-2
AA-3
CO-1
CO-2
GL-1
GL-2
GL-3
IM-1
IM-2
IM-3
LC-1
LC-2
LC-3
LC-4
LC-5
OM-1
OM-2
OM-3
PR-1
PR-2
PR-3
PR-4
RM-1
RM-2
RM-3
RM-4
RO-1
RO-2
RO-3
RO-4
RS-1
RS-2
RS-3
RS-4
RS-5
SE-1
SE-2
SE-3
SE-4
SE-5
SE-6
TP-1
TP-2

ISO42001

GL-1: 4.1, 5.1-5.2, 9.3, A.2.2-A.2.4

GL-2: 5.3, 7.1-7.3, A.3.2, A.4.2

GL-3: 4.1-4.4, 5.2, 6.2-6.3, A.2.2-A.2.4, A.6.1.2, A.9.3-A.9.4

ISO27001

GL-1: 5.1-5.2, 9.3, A.5.1, A.5.2

GL-2: 5.3, 7.1-7.3, A.6.1, A.6.2, A.7.2

GL-3: 4.1-4.4, 6.2-6.3

AI Governance Master Controls

Risk Management Domain

- RM-1 Risk Management Framework and Governance
- RM-2 Risk Identification and Impact Assessment
- RM-3 Risk Treatment and Control Implementation
- RM-4 Risk Monitoring and Response



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SOC2:

- RM-1: CC.3.1
- RM-2: CC.3.2
- RM-3: CC5.1, CC9.1
- RM-4: CC.3.4, CC.9.2

NIST RMF AI:

- RM-1: Govern 1.3-1.5, Map 1.5
- RM-2: Map 1.1, Map 3.1-3.2, Measure 2.6-2.8, Measure 2.10, Measure 2.12
- RM-3: Manage 1.2-Manage 1.4
- RM-4: Measure 3.1-3.2, Manage 2.1-2.3, Manage 3.1, Govern 6.1-6.2

EU AI ACT

- RM-1: 9.1, 9.2
- RM-2: 9.9, 27.1
- RM-3: 8.1-8.2, 9.3-9.5, 17.1
- RM-4: 9.6

ISO27701

- RM-1: 12.2.1, A.7.2.5, A.7.2.8, B.8.2.6
- RM-2: A.7.2.5, A.7.3.10, A.7.4.4
- RM-3: A.7.4.1, A.7.4.2, A.7.4.4, A.7.4.5
- RM-4: A.7.4.3, A.7.4.9, B.8.2.4, B.8.2.5, B.8.4.3

ISO27001

- RM-1: 5.1-5.2, 9.3, A.5.1, A.5.2
- RM-2: 5.3, 7.1-7.3, A.6.1, A.6.2, A.7.2
- RM-3: 4.1-4.4, 6.2-6.3
- RM-4: 4.1-4.4, 6.2-6.3

ISO42001

- RM-1: 6.1
- RM-2: 6.1.1-6.1.2, 6.1.4, 8.4, A.5.2-A.5.5
- RM-3: 6.1.3
- RM-4: 6.1.3, 8.1-8.3

AI Governance Master Controls

Regulatory Operations Domain

- RO-1 Regulatory Compliance Framework
- RO-2 Transparency, Disclosure and Reporting
- RO-3 Record-Keeping
- RO-4 Post-Market Monitoring



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SOC2:

- RO-1: CC.1.5
- RO-2: CC.2.3, P1.1-1.3
- RO-3: P3.1-3.3
- RO-4: CC.1.5

NIST RMF AI:

- RO-1: Govern 1.1, Map 4.1
- RO-2: Govern 6.1, Map 4.1
- RO-3: Map 4.1-Measure 2.12
- RO-4: Govern 6.1, Measure 2.12

EU AI ACT

- RO-1: 5.1-5.2, 6.1-6.4, 8.1-8.2, 40.1, 41.1, 42.1, 43.1-43.4, 44.2-44.3, 47.1-47.4, 49.1-49.3
- RO-2: 50.1-50.5, 86.1-86.3, 20.1-20.2, 60.7-60.8
- RO-3: 11.1, 11.3, 18.1, 19.1-19.2, 71.2-71.3
- RO-4: 72.1-72.4, 79.4, 80.4-80.5

ISO27701

- RO-1: 18.2.1, A.7.2.1-A.7.2.4, B.8.2.1-B.8.2.2, B.8.2.4-B.8.2.5
- RO-2: 6.2.3, A.7.3.2-A.7.3.3, A.7.3.8-A.7.3.9, A.7.5.3-A.7.5.4
- RO-3: 8.2.3, A.7.2.8, A.7.3.1, A.7.4.3
- RO-4: 6.2.3, A.7.3.6-A.7.3.7, A.7.3.10, A.7.4.3

ISO42001

- RO-1:
- RO-2: A.8.3, A.8.5
- RO-3:
- RO-4: A.8.3

ISO27001

- RO-1: A.18.1
- RO-2: A.6.3
- RO-3: A.7.2
- RO-4:

AI Governance Master Controls

Security Domain

- SE-1 Security Governance, Architecture and Engineering
- SE-2 Identity & Access Management
- SE-3 Software Security
- SE-4 Data Security
- SE-5 Network Security
- SE-6 Physical Security



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SOC2

- SE-1: CC2.3, CC3.1-CC3.2, CC5.2, CC7.2-7.3, CC9.3
- SE-2: CC6.1-6.3
- SE-3: CC5.2, CC7.1
- SE-4: CC1.1-1.2, CC6.4-6.7, P5.1-5.4, P5.6
- SE-5: CC6.6, CC7.1-7.2
- SE-6: CC6.1

NIST RMF AI

- SE-1: -
- SE-2: -
- SE-3: -
- SE-4: -
- SE-5: -
- SE-6: -

EU AI ACT

- SE-1: -
- SE-2: -
- SE-3: -
- SE-4: -
- SE-5: -
- SE-6: -

ISO27701

- SE-1: 14.2.1-14.2.2
- SE-2: 9.2.1-9.2.2, 9.2.4
- SE-3: 14.2.1-14.2.2
- SE-4: 8.2.4, 8.3.1-8.3.3, 10.2.1-10.2.2, 11.2.2
- SE-5: 13.2.1
- SE-6: 11.2.1

ISO27001

- SE-1: A.5.1-5.2, A.6.1-A.6.2, A.6.5, A.7.1-7.4, A.12.1-12.3, A.17.1-17.2, A.18.1-18.2
- SE-2: A.9.1-A.9.4
- SE-3: A.14.1-A.14.2, A.12.2
- SE-4: A.8.1-8.7, A.10.1-10.2, A.12.4-12.5, A.14.3
- SE-5: A.13.1-A.13.3, A12.4, A.12.6, A.10.1-A.10.2
- SE-6: A.11.1-11.5

ISO42001

- SE-1: -
- SE-2: -
- SE-3: -
- SE-4: -
- SE-5: -
- SE-6: -

AI Governance Master Controls

Privacy Domain

- PR-1 Privacy by Design and Governance
- PR-2 Personal Data Management
- PR-3 Privacy Compliance and Monitoring
- PR-4 Privacy-Enhancing Technologies and Mechanisms



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SOC2:

- PR-1: P1.1-1.3
- PR-2: P2.1-2.2, P3.1-3.3, P4.1-4.3
- PR-3: P6.1-6.5
- PR-4: P5.1-5.6

NIST RMF

- PR-1: -
- PR-2: -
- PR-3: -
- PR-4: -

EU AI ACT

- PR-1: 10.5, 26.9, 27.4
- PR-2: -
- PR-3: -
- PR-4: -

ISO27701

- PR-1: 6.1.1- 6.1.2, 6.2.1-6.2.4, 7.2.1-7.2.3, 7.2.5, 7.2.7, 12.2.1, A.7.4.1-A.7.4.9, B.8.4
- PR-2: 8.2.1-8.2.4, 8.3.1-8.3.3, A.7.2.1-A.7.2.8, A.7.3.1-7.3.10, 7.4.5, A.7.5.1-A.7.5.4, B.8.2-8.3, B.8.4.2, B.8.5
- PR-3: 12.2.2, 15.2.1, 16.2.1-16.2.2, 17.2.1, 18.2.1-18.2.2, A.7.2.5-A.7.2.7, A.7.3.6, B.8.2.4-8.2.5
- PR-4: 9.2.1-9.2.4, 10.2.1-10.2.2, 11.2.1-11.2.2, 13.2.1, 14.2.1-14.2.2, A.7.4.5, A.7.4.9, B.8.4.3

ISO42001

- PR-1: -
- PR-2: -
- PR-3: -
- PR-4: -

ISO27001

- PR-1: -
- PR-2: -
- PR-3: -
- PR-4: -

AI Governance Master Controls

Safe Responsible AI Domain

- RS-1 Human Oversight and Intervention
- RS-2 Safety
- RS-3 Robustness
- RS-4 Explainability and Interpretability
- RS-5 Fairness and Bias Management



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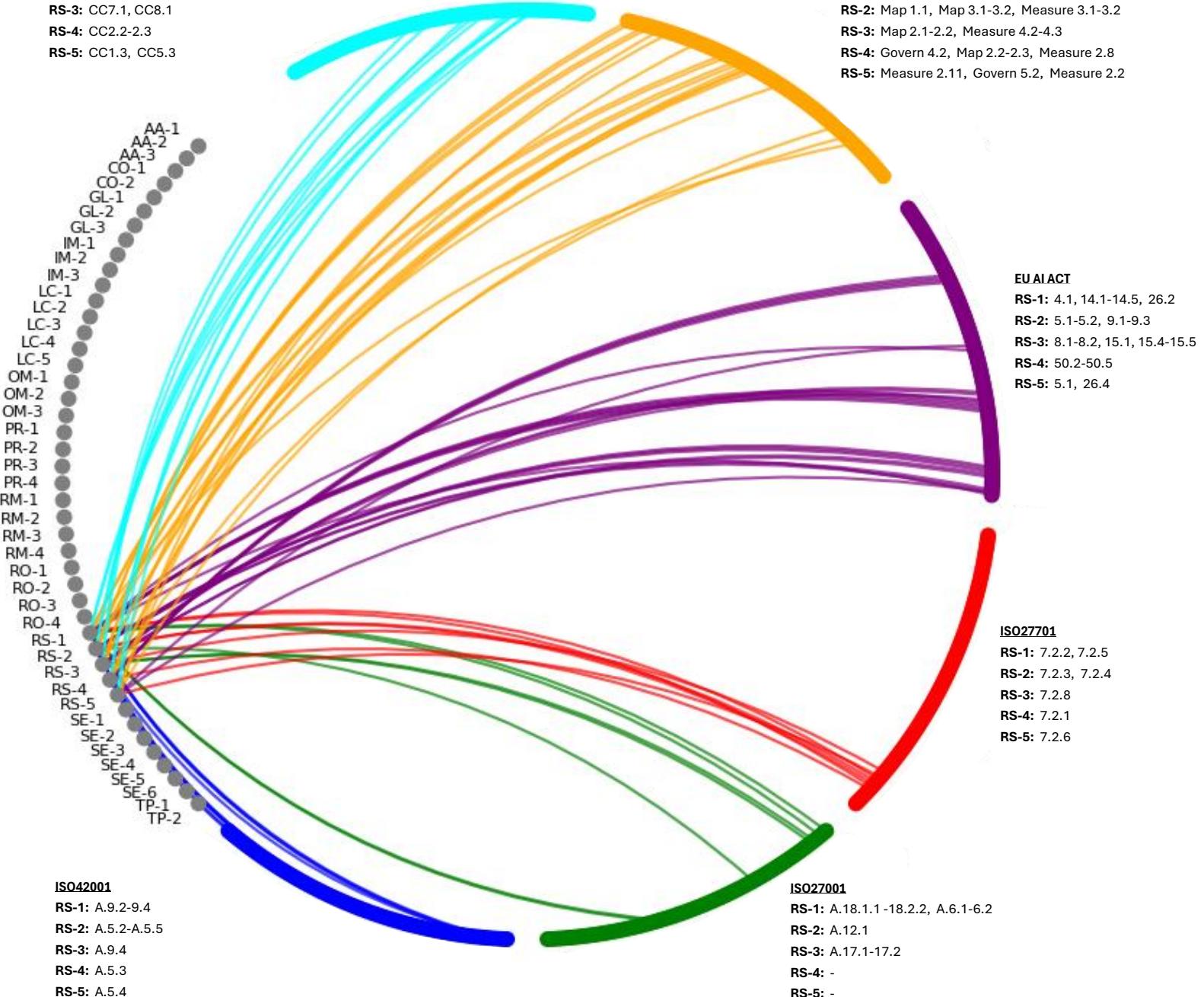
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SOC2

- RS-1: CC1.1, CC2.1
- RS-2: CC4.1, CC5.1
- RS-3: CC7.1, CC8.1
- RS-4: CC2.2-2.3
- RS-5: CC1.3, CC5.3

NIST RMF AI

- RS-1: Govern 3.2, Map 3.4-3.5
- RS-2: Map 1.1, Map 3.1-3.2, Measure 3.1-3.2
- RS-3: Map 2.1-2.2, Measure 4.2-4.3
- RS-4: Govern 4.2, Map 2.2-2.3, Measure 2.8
- RS-5: Measure 2.11, Govern 5.2, Measure 2.2



AI Governance Master Controls

System, Data & Model Lifecycle Domain

- LC-1 Data Quality and Governance
- LC-2 System Development and Lifecycle Management
- LC-3 Resource Management and Infrastructure
- LC-4 Technical Documentation
- LC-5 Change Management & Version Control



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SOC2

- LC-1: -
- LC-2: CC8.1, CC8.2
- LC-3: -
- LC-4: -
- LC-5: CC8.1, CC8.2

ISO42001

- LC-1: A.7.2-A.7.6
- LC-2: A.6.1.2-A.6.1.3, A.6.2.2-A.6.2.3, A.6.2.5
- LC-3: A.4.3, A.4.5-4.6, A.10.2
- LC-4: 7.5.1-7.5.3, A.6.2.7-6.2.8
- LC-5: A.6.2.5

NIST RMF AI

- LC-1: Map 2.1
- LC-2: Map 1.6, Govern 1.7
- LC-3: Govern 1.6
- LC-4: Map 2.2, Map 3.3
- LC-5: Map 2.1

EU AI ACT

- LC-1: 10.1-10.6
- LC-2: -
- LC-3: -
- LC-4: 11.1-11.3, 12.1-12.3, 18.1
- LC-5: 11.3

ISO27701

- LC-1: A.7.4.1-7.4.2, A.7.4.6-7.4.8, B.8.4.1-8.4.2
- LC-2: A.7.4.1-7.4.2, A.7.4.5-7.4.8, B.8.4.1-8.4.2
- LC-3: A.7.2.6-7.2.7, B.8.5.6
- LC-4: A.7.2.8, A.7.5.3-7.5.4, B.8.2.6, B.8.5.3
- LC-5: A.7.3.7, B.8.5.7-8.5.8

ISO27001

- LC-1: -
- LC-2: -
- LC-3: A.8.1-8.2
- LC-4: 7.5.1-7.5.3
- LC-5: A.12.2

AI Governance Master Controls

Operational Monitoring Domain

- OM-1 System Performance Monitoring
- OM-2 Event Logging
- OM-3 Continuous Improvement



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SOC2:

- OM-1: CC4.1-CC4.2, A1.1-A1.2
- OM-2: CC7.2-CC7.3
- OM-3: CC3.3, A1.3

NIST RMF AI:

- OM-1: Measure 1.2, Measure 2.4, Manage 2.2, Manage 2.4
- OM-2: Govern 4.3
- OM-3: Manage 4.1-4.2

EU AI ACT

- OM-1: 26.5, 72.1-72.4
- OM-2: 12.1-12.3, 19.1-19.2, 21.2, 26.6
- OM-3: 17.1, 72.1-72.4

ISO27001

- OM-1: 12.2.2, A.7.4.3
- OM-2: 12.2.2
- OM-3: A.7.3.6, A.7.4.3

ISO27001

- OM-1: 8.1-8.3, A.12.3, A.12.6, A.17.1-17.2
- OM-2: A.12.6-12.7
- OM-3: 9.1, 10.1-10.2, A.12.6, A.15.2, A.18.1-18.2

ISO42001

- OM-1: 8.1-8.3, A.6.2.6
- OM-2: A.6.2.8
- OM-3: 9.1, 10.1-10.2, A.10.4

AI Governance Master Controls

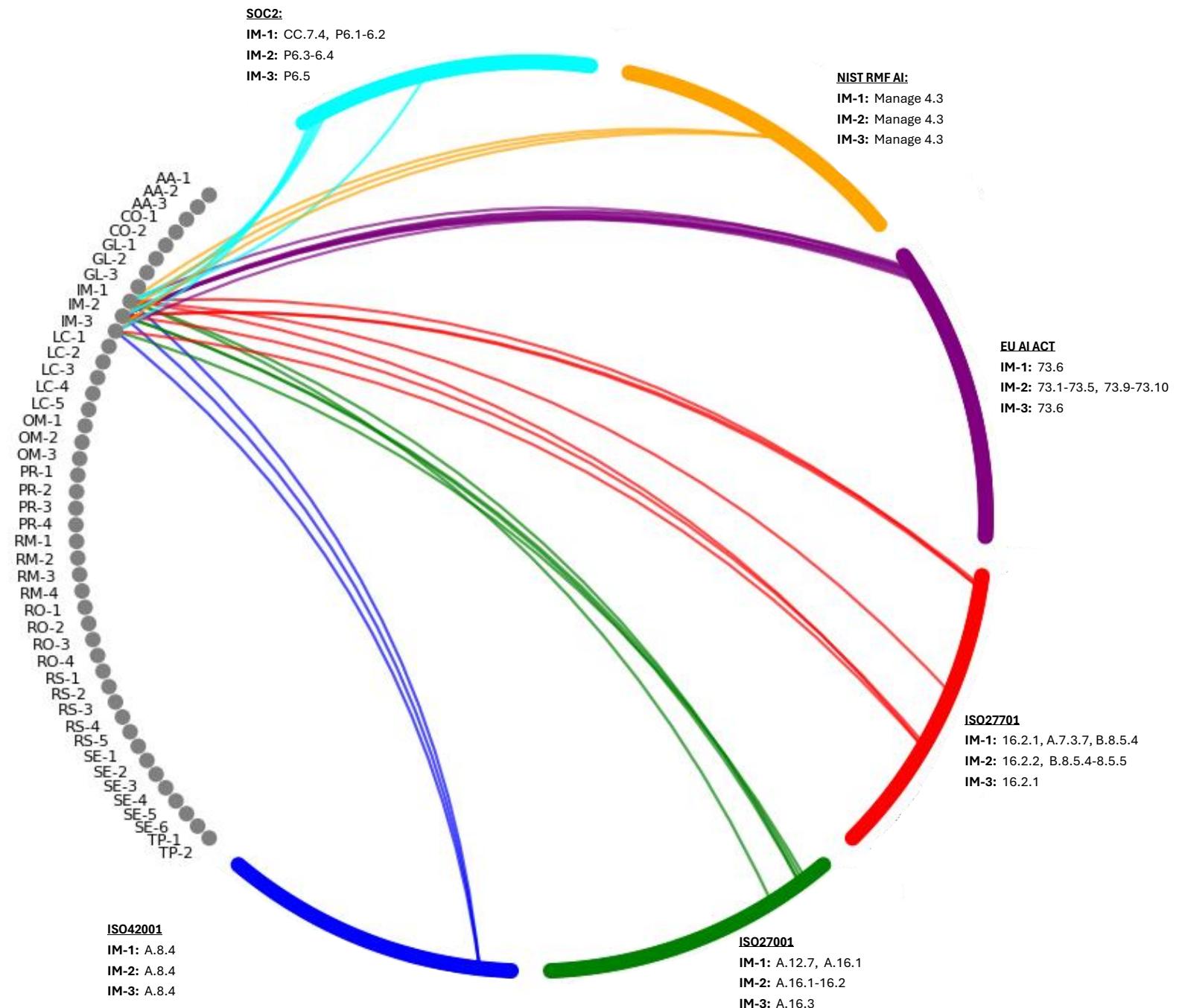
Incident Management Domain

- IM-1 Incident Detection and Response
- IM-2 Incident Reporting and Notification
- IM-3 Incident Analysis and Improvement



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AI Governance Master Controls

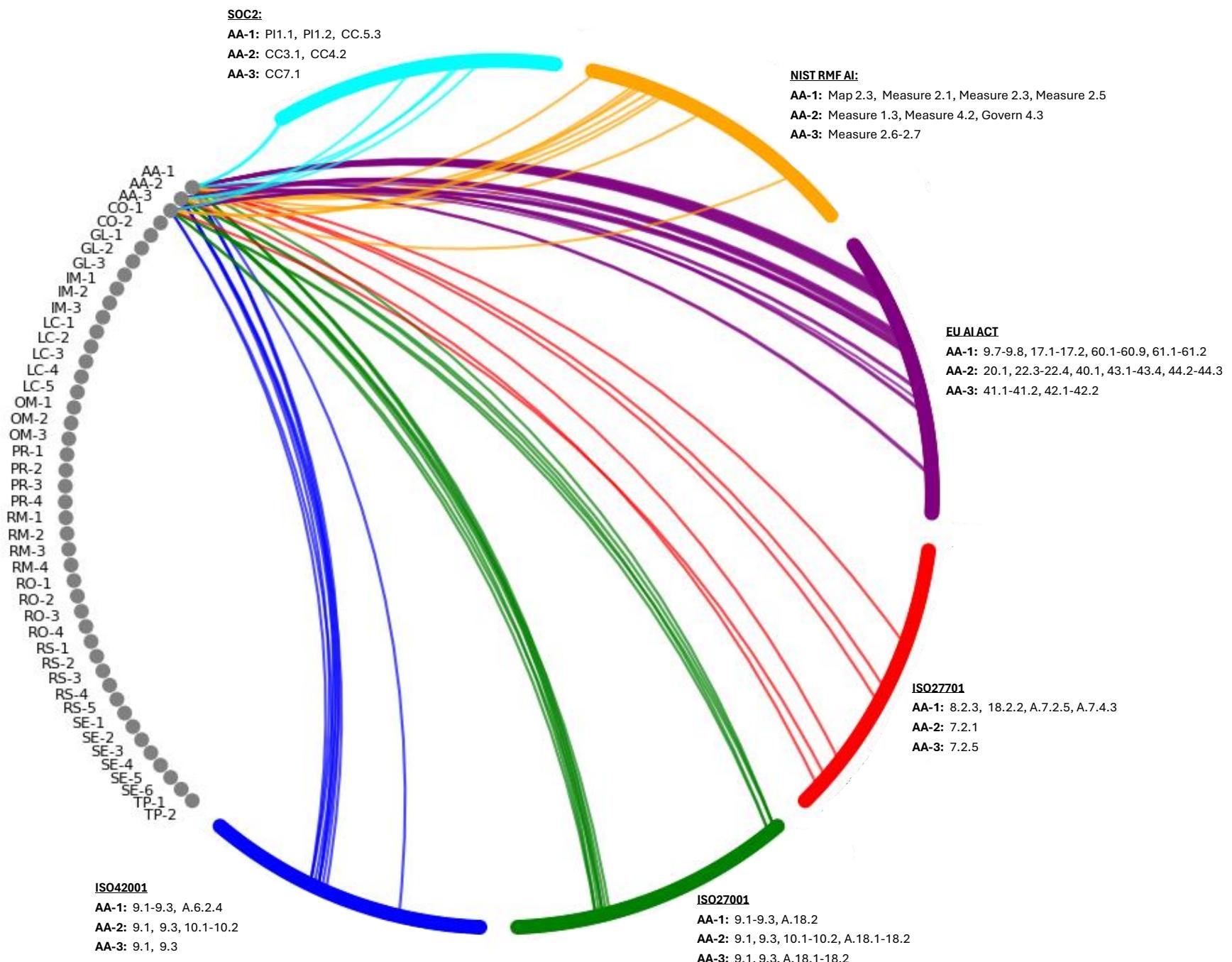
Assurance & Audit Domain

- AA-1 Internal Assessment & Audit
- AA-2 Independent Assessment and Certification
- AA-3 Safety and Security Validation



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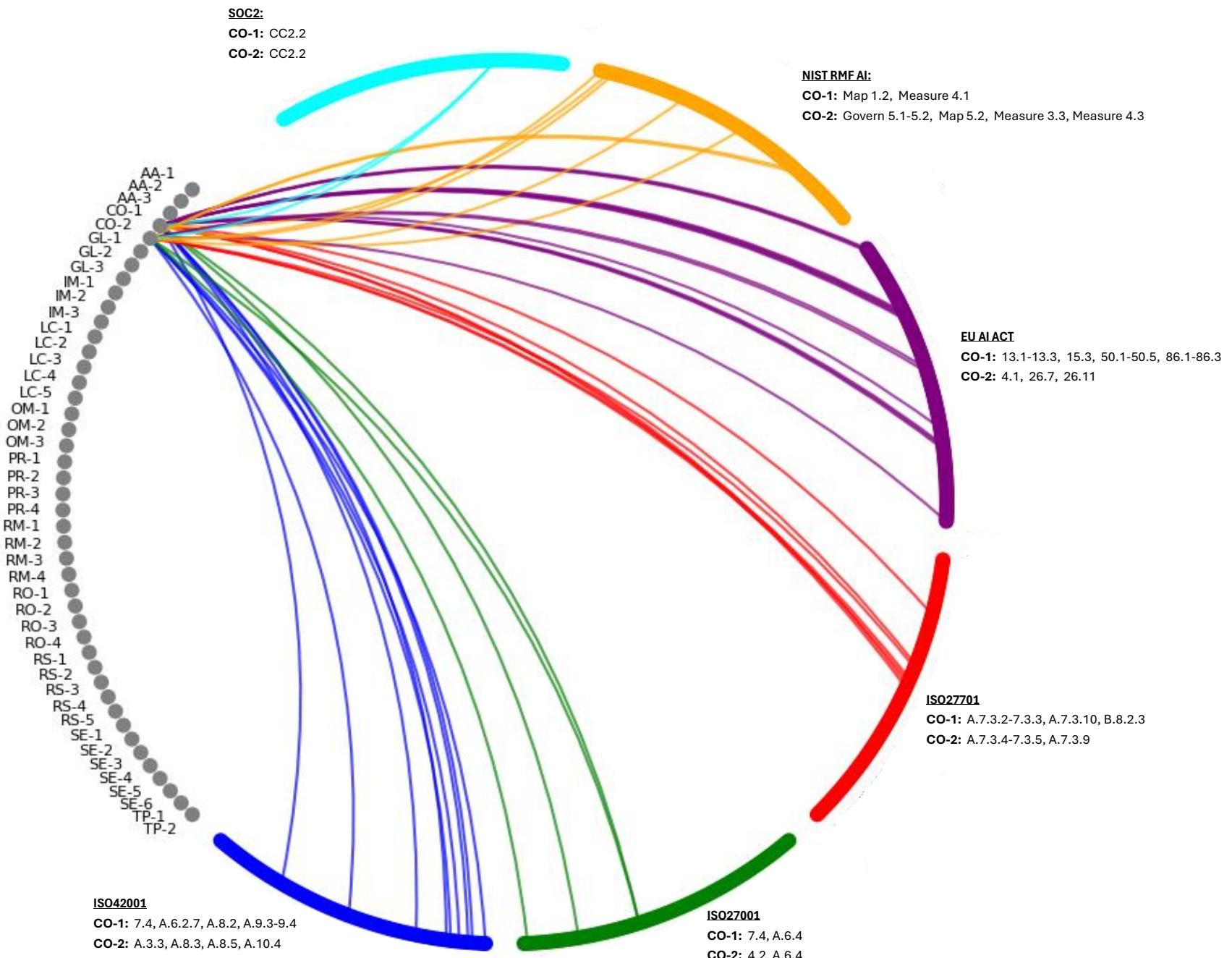
AI Governance Master Controls

Communications & Transparency Domain

- CO-1 AI System Transparency
- CO-2 Stakeholder Engagement and Feedback



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AI Governance Master Controls

Third Party & Supply Chain Domain

TP-1 Third-party provider responsibilities

TP-2 Supplier risk management

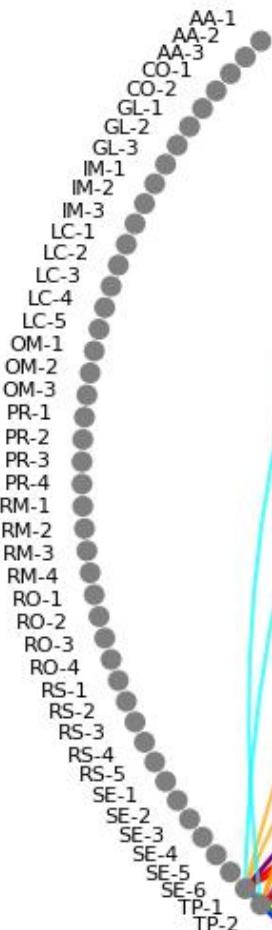


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SOC2:

TP-1: CC.2.3

TP-2: CC.9.2



NIST RMF AI:

TP-1: Map 4.1, Govern 6.1

TP-2: Govern 5.1, Manage 3.1, Govern 6.1-6.2

EU AI ACT

TP-1: 25.1-25.4

TP-2: 25.4

ISO42001

TP-1: A.10.2

TP-2: A.10.3

ISO27001

TP-1: A.15.1

TP-2: A.15.1, A.15.2



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