# **Fawzooz AI - AIMS Internal Audit Report**

Audit Report ID: [e.g., AIMS-AUD-2025-Q3]

Audit Start Date: [Date]

Audit End Date: [Date]

Lead Auditor: [Name of Lead Auditor]

Audit Team: [Names of other auditors, if any]

### 1. Audit Overview

#### 1.1. Audit Objectives

The primary objectives of this internal audit were to:

* Determine the conformity of the Fawzooz AI Management System (AIMS) with the requirements of ISO/IEC 42001:2023 and with Fawzooz AI's own policies and procedures.
* Evaluate the effectiveness of the AIMS in achieving its stated AI objectives.
* Identify nonconformities, areas for improvement, and examples of best practices.

#### 1.2. Audit Scope

This audit covered the following aspects of the AIMS:

* **Processes:** AI Risk Management, AI System Development Lifecycle (SDLC), Incident Management.
* **AI Systems:** [List the specific AI systems included in the audit sample, e.g., "Anxiety Support Chatbot (v2.1)", "Mindful Moments Recommender (v3.2)"].
* **Clauses of ISO 42001:** [List the specific clauses audited, e.g., "Clause 6: Planning", "Clause 8: Operation", "Annex A.4: AI system lifecycle"].
* **Locations/Departments:** [e.g., AI Development Team, Clinical Oversight Team].

#### 1.3. Audit Criteria

The audit was conducted against the following criteria:

* ISO/IEC 42001:2023 Standard
* Fawzooz AI AIMS Manual (v1.0)
* AI Policy (v1.0)
* AI Risk Management Procedure (v1.0)
* AI SDLC Policy (v1.0)
* Relevant legal and regulatory requirements (e.g., GDPR, HIPAA).

### 2. Executive Summary of Findings

*(A high-level summary for the AI Governance Committee and senior leadership.)*

This audit found that the AIMS is [e.g., "generally well-established and maintained," "partially effective," "in need of significant improvement"].

* **Total Nonconformities:** [Number] ( [Number] Major, [Number] Minor)
* **Opportunities for Improvement:** [Number]
* **Key Strengths / Positive Findings:** [e.g., "Strong commitment from leadership," "Excellent documentation practices in the SDLC," "High level of staff awareness regarding ethical principles."]
* **Key Areas of Concern:** [e.g., "Inconsistent application of the risk treatment process," "Gaps in post-deployment monitoring for model drift," "Delays in incident response documentation."]

Overall, the AIMS provides a [e.g., "solid foundation for responsible AI governance, but requires greater consistency in operational execution."]

### 3. Detailed Audit Findings

#### 3.1. Summary of Nonconformities

*(A nonconformity is the failure to meet a requirement.)*

| **NC ID** | **Severity** | **Clause/Requirement** | **Description of Nonconformity** | **Evidence** |
| --- | --- | --- | --- | --- |
| **NC-001** | Major | ISO 42001: A.4.5 | The update to the "Anxiety Support Chatbot" (v2.1) was deployed without the mandatory re-validation against fairness metrics, as required by the AI SDLC Policy. | Deployment checklist for v2.1 was incomplete; test logs show no record of fairness re-validation tests. |
| **NC-002** | Minor | ISO 42001: A.7.2 | Incident report AI-INC-2025-003 was not completed within the 48-hour timeframe specified in the Incident Response Procedure. | Timestamp on incident closure vs. timestamp on final report submission shows a 72-hour delay. |
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#### 3.2. Opportunities for Improvement (OFI)

*(Observations that are not nonconformities but could enhance the system's effectiveness.)*

| **OFI ID** | **Area/Process** | **Description of Opportunity for Improvement** | **Recommendation** |
| --- | --- | --- | --- |
| **OFI-001** | AI Risk Register | The risk register is comprehensive, but the "Existing Controls" field is sometimes used inconsistently. | Standardize the language and provide a drop-down list of common controls to improve consistency and reportability. |
| **OFI-002** | Training & Awareness | While formal training is well-documented, there is no formal process for sharing lessons learned from incidents with the wider development team. | Implement a quarterly "Lessons Learned" bulletin or brief workshop to disseminate key findings from recent incidents. |
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#### 3.3. Positive Findings and Best Practices

*(Areas where the AIMS is performing exceptionally well.)*

* The AI Impact Assessment (AIA) process is robust and consistently involves cross-functional teams, including clinical and ethical advisors.
* The version control and documentation for AI model training (code, data, parameters) are meticulously maintained, ensuring excellent reproducibility.
* Staff interviewed during the audit demonstrated a very high level of understanding and commitment to Fawzooz AI's ethical principles.

### 4. Audit Conclusion

The audit concludes that the Fawzooz AI Management System [e.g., "is conformant with ISO 42001:2023, subject to the effective closure of the identified nonconformities."] The framework for responsible AI is in place, but operational discipline must be reinforced, particularly in the areas of change validation and incident management.

A follow-up audit will be scheduled for [e.g., 90 days from the date of this report] to verify the implementation and effectiveness of the corrective actions.

### 5. Report Distribution List

* AI Governance Committee
* Chief Executive Officer
* Chief Technology Officer
* Chief Information Security Officer
* Relevant Department Heads