# **Fawzooz AI - Statement of Applicability (SoA) for ISO/IEC 42001:2023**

Version: 1.0

Effective Date: [Date]

Document Owner: [e.g., Chief Information Security Officer (CISO)]

Approved By: [e.g., AI Governance Committee (AIGC)]

### 1. Purpose and Scope

This Statement of Applicability (SoA) is a central, mandatory document of the Fawzooz AI Management System (AIMS). Its purpose is to formally document the decisions made regarding the implementation of the controls listed in Annex A of the ISO/IEC 42001:2023 standard.

This document provides:

* A definitive list of all controls and a declaration of whether each is applicable to Fawzooz AI's AIMS.
* A justification for the inclusion of applicable controls, linking them to our AI risks, business requirements, and legal obligations.
* A justification for the exclusion of any controls deemed not applicable.
* A reference to the specific documentation or system where each included control is implemented.

The scope of this SoA is aligned with the scope of the AIMS as defined in the AIMS Manual.

### 2. Relationship to Risk Assessment

The decisions documented in this SoA are directly informed by the outcomes of our AI risk assessment and treatment process. Controls are selected to treat identified risks. The results of the risk assessment are documented in the **AI Risk Register**.

### 3. Statement of Applicability Controls

| **Control Ref.** | **Control Title** | **Included (Yes/No)** | **Justification for Inclusion / Exclusion** | **Reference to Implementation** | **Implementation Status** |
| --- | --- | --- | --- | --- | --- |
| **A.2.2** | AI policy | **Yes** | **Inclusion:** Essential for establishing top management's intent and direction for responsible AI, as required by Clause 5.2. | AI Policy (v1.0) | Implemented |
| **A.3.2** | AI roles and responsibilities | **Yes** | **Inclusion:** Necessary to ensure clear accountability for all aspects of the AIMS and AI lifecycle. | AIMS Manual (Sec 5.3), AI SDLC Policy (Sec 2) | Implemented |
| **A.3.3** | Competence | **Yes** | **Inclusion:** To ensure all personnel involved with AI systems have the necessary skills and knowledge, which is critical for safety and effectiveness. | AI Training and Awareness Records, HR Competence Matrix | Implemented |
| **A.4.2** | AI system requirements | **Yes** | **Inclusion:** A fundamental control to ensure that all requirements (functional, ethical, legal, safety) are defined and documented before development begins. | AI SDLC Policy (Phase 1) | Implemented |
| **A.4.5** | AI system verification and validation | **Yes** | **Inclusion:** Critical for ensuring AI systems are safe, fair, secure, and perform as intended before deployment. This directly treats risks of model bias and malfunction. | AI SDLC Policy (Phase 4), V&V Test Reports | Implemented |
| **A.5.2** | AI risk assessment | **Yes** | **Inclusion:** This is the core process for identifying and understanding the risks our AI systems pose to users and the organization. | AI Risk Management Procedure, AI Risk Register | Implemented |
| **A.5.3** | AI risk treatment | **Yes** | **Inclusion:** Necessary to ensure that all identified risks are actively managed to an acceptable level. | AI Risk Management Procedure, AI Risk Register | Implemented |
| **A.8.2** | Data quality | **Yes** | **Inclusion:** Essential for a mental wellness AI company. Poor data quality can lead to biased, ineffective, or unsafe AI performance. | Data Governance Policy for AI, Data Management Plans | Implemented |
| **A.8.3** | Data provenance | **Yes** | **Inclusion:** Required to ensure traceability and reproducibility of our AI models, which is vital for incident investigation and validation. | Model Development and Training Logs | Implemented |
| **A.9.2** | Responsible use of AI | **Yes** | **Inclusion:** This control ensures we provide clear guidance to our users on the intended and proper use of our AI applications to prevent misuse and manage expectations. | User Terms of Service, In-App Guidance | Implemented |
| **A.9.4** | AI system transparency | **Yes** | **Inclusion:** A core ethical principle for Fawzooz AI. This control ensures we provide users with understandable information about how our AI systems work. | Public-facing AI Principles Document, System Information Notices | In Progress |
| **A.10.4** | Human oversight | **Yes** | **Inclusion:** A critical safety control for our mental wellness applications. This ensures human intervention is possible, especially in high-risk scenarios. | AI SDLC Policy (Phase 2), Crisis Intervention Protocol | Implemented |
| *...* | *... (and so on for all other Annex A controls)* |  |  |  |  |