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Information technology — Artificial intelligence — Requirements for bodies providing audit and certification of artificial intelligence management systems



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This page explains the meaning of the language and structure of this Standard.

Refer to Standards Australia's Standardisation Guide 006 for more details about drafting rules.

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Requirements

To conform to a Standard, all requirements in the Standard need to be met.

A requirement is any statement in the Standard which uses the word "shall".

Recommendations, permissions and possibilities

The following words are commonly used in Standards, but statements using them do not have to be followed to conform to the Standard:

(a) "should" means that something is recommended.

(b) "may" means that something is permitted.

(c) "can" means that something is possible.

Structure of Standards

A Standard always has the following parts:

(i) The Preface states who developed the Standard, what the Standard is aiming to do, and how it relates to other documents.

(ii) The Scope states what the Standard is about, what it covers and what it does not cover.

(iii) The Normative references clause lists other documents that are referenced in the Standard as part of requirements.

(iv) The Terms and definitions clause defines important terms to help with understanding the Standard.

A Standard may also include other parts, such as the following:

(1) A normative appendix sets additional requirements that need to be conformed to.

(2) An informative appendix provides additional information or guidance. They usually do not contain requirements. If an informative appendix does contain requirements, the Standard will explain when those requirements apply.

(3) A Bibliography lists documents referenced in the Standard but not as part of requirements.

Many Standards include notes. Notes provide recommendations and/or guidance only. They never contain requirements.

Preface

This Standard was prepared by the Standards Australia Committee IT-043, Artificial Intelligence.

The objective of this document is to specify additional requirements for AS/NZS ISO/IEC 17021.1:2015. The requirements contained in this document, when implemented, support the demonstration of competence, consistency and reliability by the bodies performing auditing and certification of an artificial intelligence management system (AIMS) according to AS ISO/IEC 42001:2023 for organizations that provide, develop or use AI systems.

Certification of AIMS is a third-party conformity assessment activity (as described in AS/NZS ISO/IEC 17000:2020, 4.5), and bodies performing this activity are third-party conformity assessment bodies.

This document also provides the necessary information and confidence to customers about the way certification has been granted.

NOTE This document can be used as a criteria document for accreditation or peer assessment.

This document is identical to, and has been reproduced from, ISO/IEC 42006:2025, *Information technology — Artificial intelligence — Requirements for bodies providing audit and certification of artificial intelligence management systems.*

As this document has been reproduced from an international document, a comma is to be read as a full point when referring to a decimal marker.

Australian or Australian/New Zealand Standards that are identical adoptions of international normative references may be used interchangeably. Refer to the online catalogue for information on specific Standards.

The terms “normative” and “informative” are used in Standards to define the application of the appendices or annexes to which they apply. A “normative” appendix or annex is an integral part of a Standard, whereas an “informative” appendix or annex is only for information and guidance.

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives or www.iec.ch/members_experts/refdocs).

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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html. In the IEC, see www.iec.ch/understanding-standards.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 42, *Artificial Intelligence*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html and www.iec.ch/national-committees.

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Introduction

A management system for organizations providing, developing or using artificial intelligence (AI) systems or placing them on the market as suppliers is set up according to ISO/IEC 42001. It entails, but is not limited to, various special aspects regarding the management of risks, data protection, data quality, information and cyber security, ethics as well as the validation and verification of algorithms. Also, the life cycle processes for traditional software systems need to include AI-specific life cycle characteristics defined in ISO/IEC 5338[1] which can be considered.

The object of conformity assessment in ISO/IEC 42001 and the necessary combination and complex interface functions in a management system according to ISO/IEC 42001 result in specific requirements for the certification bodies and their processes when they certify such management systems. Certification bodies can use this document to perform their roles in the auditing and certification of organizations with AI management systems (AIMS).

The certification of a management system according to ISO/IEC 42001 can be embedded in a conformity assessment scheme for products, processes and services according to ISO/IEC 17065[2] in support of ISO/IEC 17067,[3] ISO/IEC 17030[4] applies if it is intended to mark the AI product, process or service with a mark of conformity. The certification document(s) for the AI management system according to ISO/IEC 42001 can be utilised within a ISO/IEC 17065 scheme according to ISO/IEC 17065:2012, 7.4.5 to avoid double tests.

Accreditation bodies and peer assessors can use this document to assess the minimum requirements for personnel competence in certification bodies along with their certification processes.

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Information technology — Artificial intelligence — Requirements for bodies providing audit and certification of artificial intelligence management systems

1 Scope

This document specifies additional requirements to ISO/IEC 17021-1. The requirements contained in this document, when implemented, support the demonstration of competence, consistency and reliability by the bodies performing auditing and certification of an artificial intelligence management system (AIMS) according to ISO/IEC 42001 for organizations that provide, develop or use AI systems.

Certification of AIMS is a third-party conformity assessment activity (as described in ISO/IEC 17000:2020, 4.5), and bodies performing this activity are third-party conformity assessment bodies.

This document also provides the necessary information and confidence to customers about the way certification has been granted.

NOTE This document can be used as a criteria document for accreditation or peer assessment.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17000:2020, *Conformity assessment — Vocabulary and general principles*

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO/IEC 42001:2023, *Information technology — Artificial intelligence — Management system*

ISO/IEC 22989:2022, *Information technology — Artificial intelligence — Artificial intelligence concepts and terminology*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17000, ISO/IEC 17021-1, ISO/IEC 42001, ISO/IEC 22989 and the following apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at https://www.electropedia.org/

3.1
artificial intelligence management system
AIMS
set of interrelated or interacting elements of an organization to establish policies and objectives, as well as processes to achieve those objectives, in the provision, development or use of an AI system

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