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

Technologies de l'information — Intelligence artificielle — Exigences pour les organismes procédant à l'audit et à la certification des systèmes de gestion de l'intelligence artificielle

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Foreword

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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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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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