



# Prepare for ISO 42001

A Framework for the Management of AI

Ali Moshayedi, AI Client Manager

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# Agenda

- 1 What is ISO 42001?
- 2 Benefits of ISO 42001
- 3 Preparation Steps
- 4 Common Pitfalls
- 5 Panel Discussion
- 6 Q&A





# What is ISO 42001?

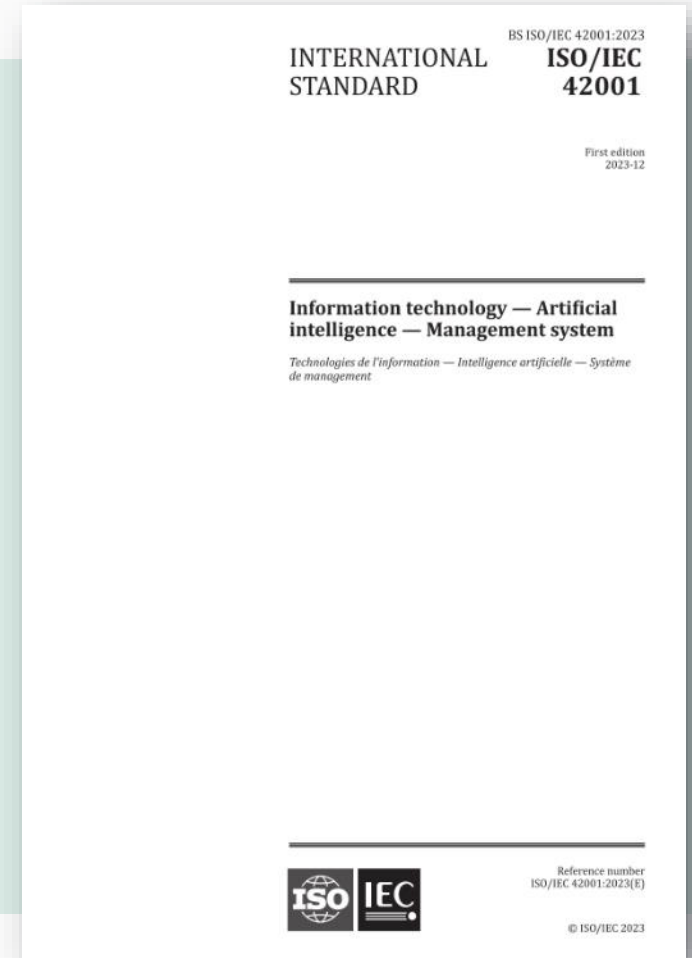




# ISO 42001 AI Management System

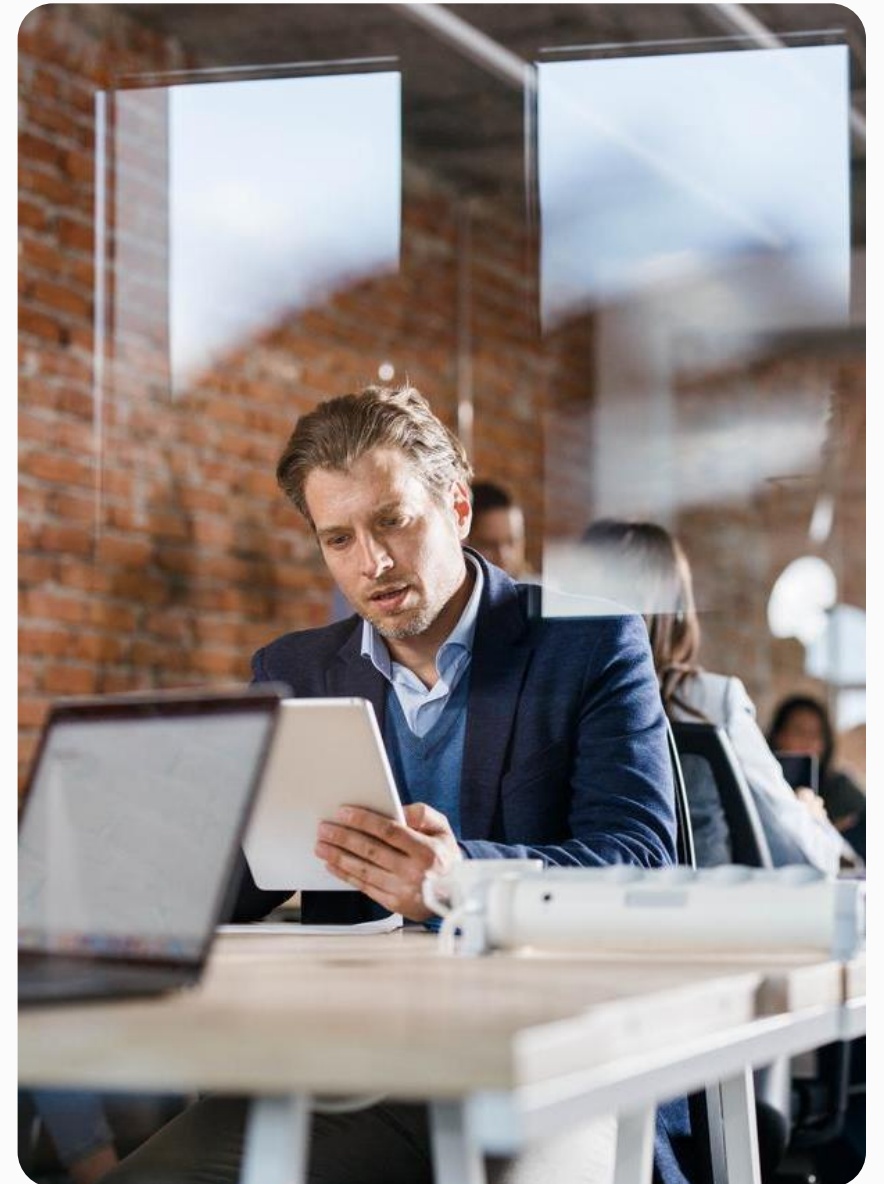


- Standard designed for AI management system
- 10 clauses, 38 controls and 9 control objectives
- Written in accordance with the family of harmonized standards, think 9001 (quality), 27001 (information security), etc.
- It's AI-agnostic, from logistic regression to generative AI



# ISO 42001 Clauses

- 4: Context of the Organization
- 5: Leadership
- 6: Planning
- 7: Support
- 8: Operation
- 9: Performance Evaluation
- 10: Improvement



# ISO 42001 Control Objectives

**A.2** Policies related to AI

**A.5** Assessing impacts of AI systems

**A.8** Information for interested parties of AI systems

**A.3** Internal organization

**A.6** AI system life cycle

**A.9** Use of AI systems

**A.4** Resources for AI systems

**A.7** Data for AI systems

**A.10** Third-party and customer relationships



# Poll Question

1





# Benefits of ISO 42001





# Regulatory and Legal Compliance

The recently enforced European AI Act requires legal compliance based on a risk-based approach.

High-risk AI systems need automatic recording of events over their lifetime to ensure traceability of the functioning of the system.

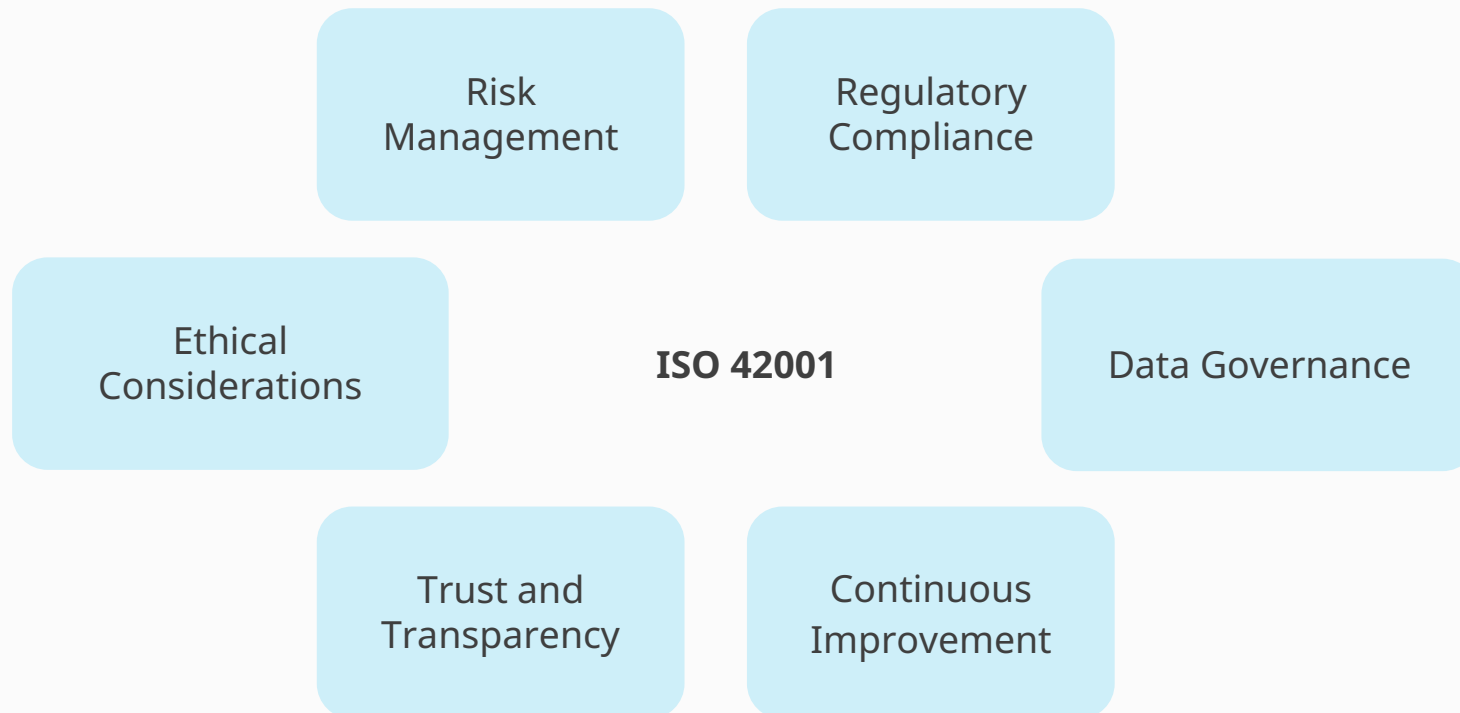
ISO 42001 offers some groundwork, but additional steps are needed to fully comply with the AI Act's requirements.

Download our latest whitepaper: The EU AI Act – What AI providers and deployers need to know:



# Other Benefits

The value of having an ISO 42001 goes beyond just having a badge of honour. It strengthens risk management, improves profitability through better efficiency and ensures compliance with legal and regulatory requirements, boosting trust with clients and stakeholders.





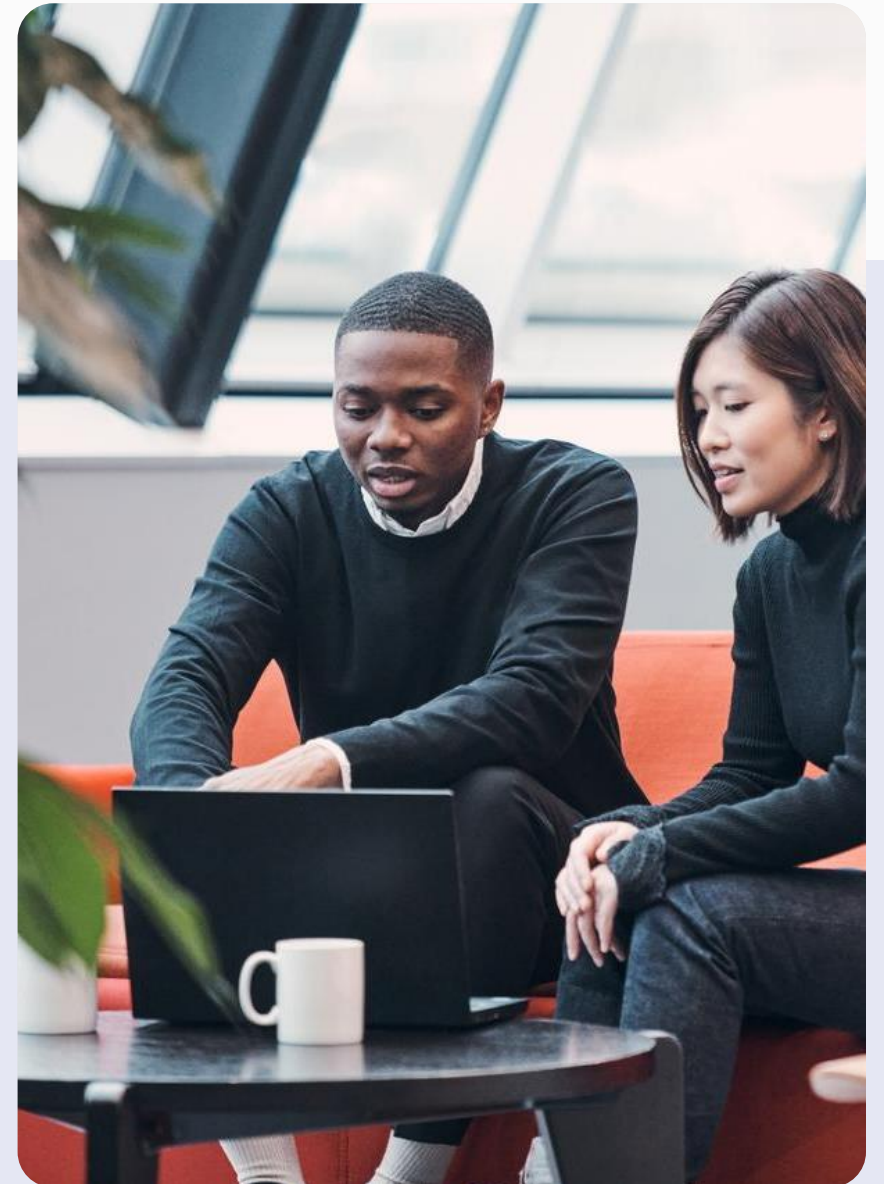


# Preparation Steps



# Gap Analysis: Paving the Way Forward

- Where does your organization stand in relation to the standard?
- A thorough assessment comparing your current AI controls against the ISO 42001 requirements.
- Identify areas where your organization is non-compliant or lacking sufficient controls.



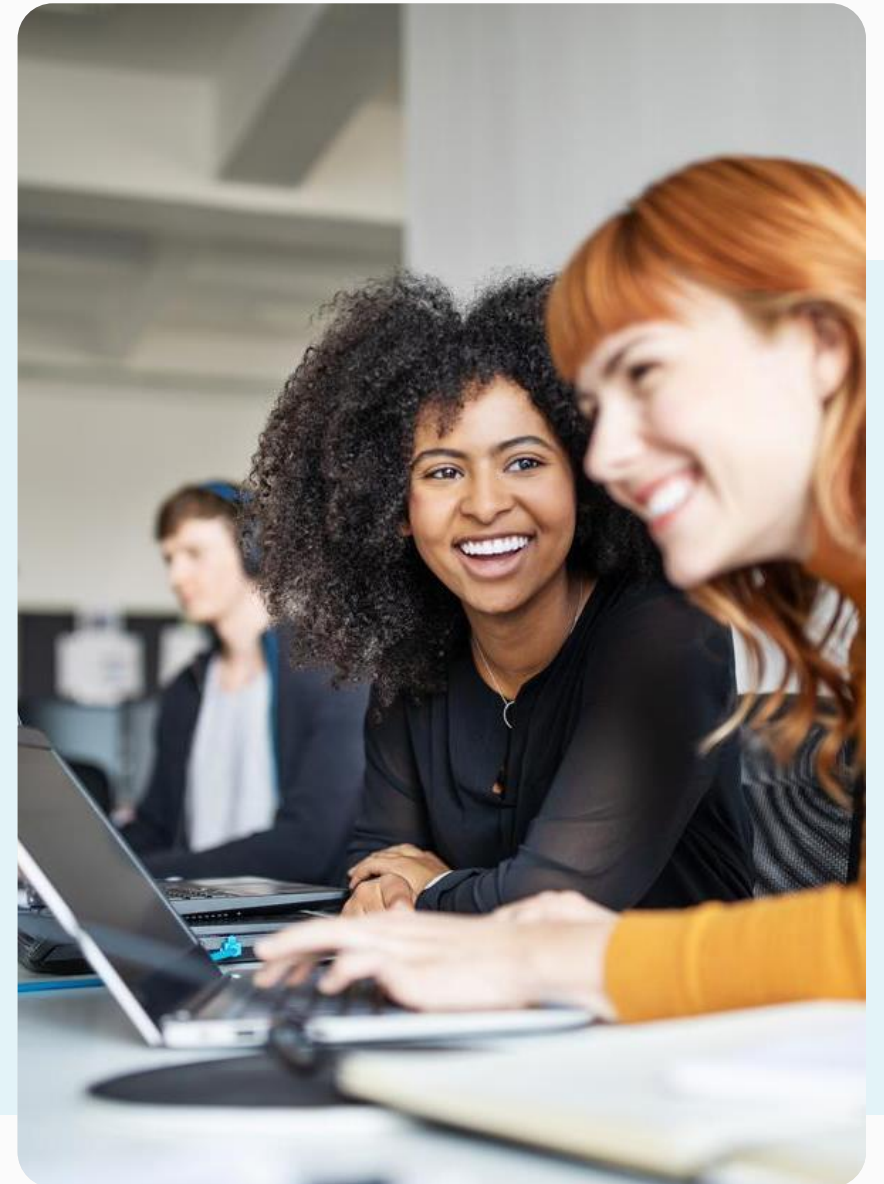


# Implementation Team

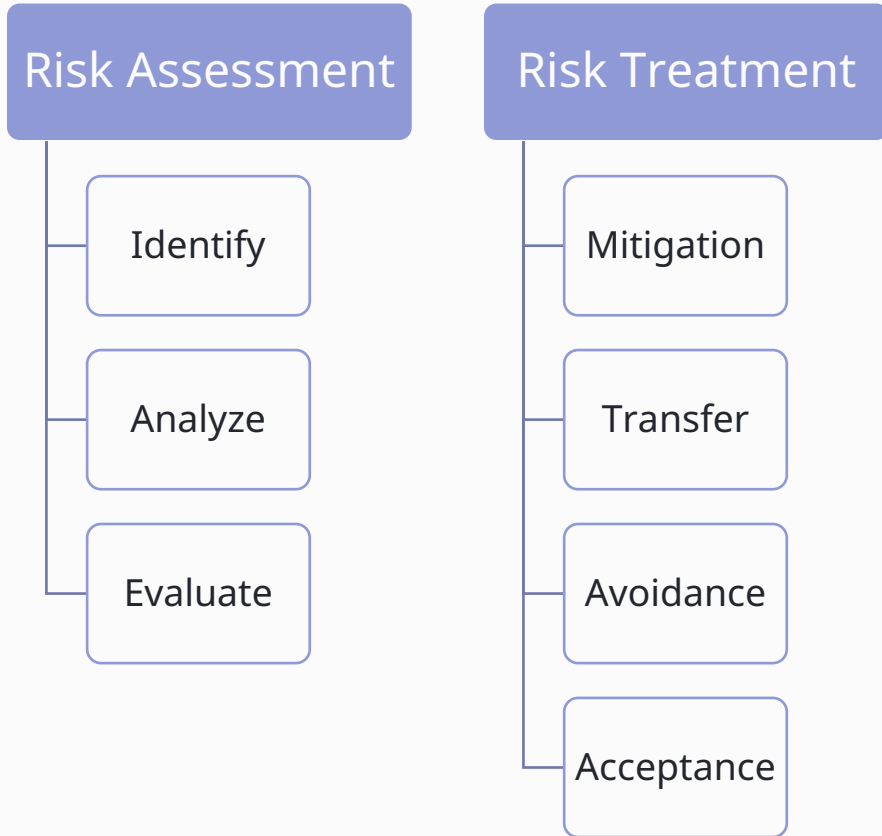
- Roles and Responsibilities
- AI Policy
- Team Definitions

**Table A.1 — Control objectives and controls**

<b>A.2 Policies related to AI</b>		
Objective: To provide management direction and support for AI systems according to business requirements.		
	Topic	Control
A.2.2	AI policy	The organization shall document a policy for the development or use of AI systems.
A.2.3	Alignment with other organizational policies	The organization shall determine where other policies can be affected by or apply to, the organization's objectives with respect to AI systems.
A.2.4	Review of the AI policy	The AI policy shall be reviewed at planned intervals or additionally as needed to ensure its continuing suitability, adequacy and effectiveness.
<b>A.3 Internal organization</b>		
Objective: To establish accountability within the organization to uphold its responsible approach for the implementation, operation and management of AI systems.		
	Topic	Control
A.3.2	AI roles and responsibilities	Roles and responsibilities for AI shall be defined and allocated according to the needs of the organization.
A.3.3	Reporting of concerns	The organization shall define and put in place a process to report concerns about the organization's role with respect to an AI system throughout its life cycle.



# Risk Assessment and Treatment



		A	B	C	D	E
		Negligible	Minor	Moderate	Significant	Severe
E	Very Likely	Low Med	Medium	Med Hi	High	High
D	Likely	Low	Low Med	Medium	Med Hi	High
C	Possible	Low	Low Med	Medium	Med Hi	Med Hi
B	Unlikely	Low	Low Med	Low Med	Medium	Med Hi
A	Very Unlikely	Low	Low	Low Med	Medium	Medium



# Documentation

- One of the fundamental necessities for acquiring certificate
- Creates the foundation to work on during the audit

The AI policy shall:

- be available as documented information;

The scope shall be available as documented information.

## 3.10

### **documented information**

information required to be controlled and maintained by an *organization* ([3.1](#)) and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media and from any source.

# Internal Audits and Management Review

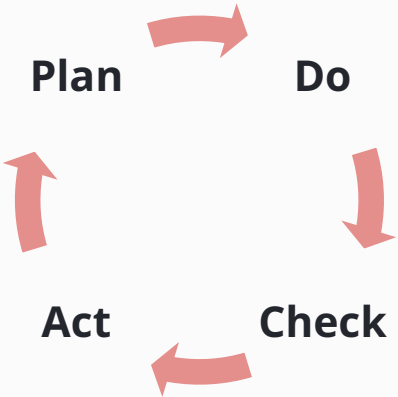
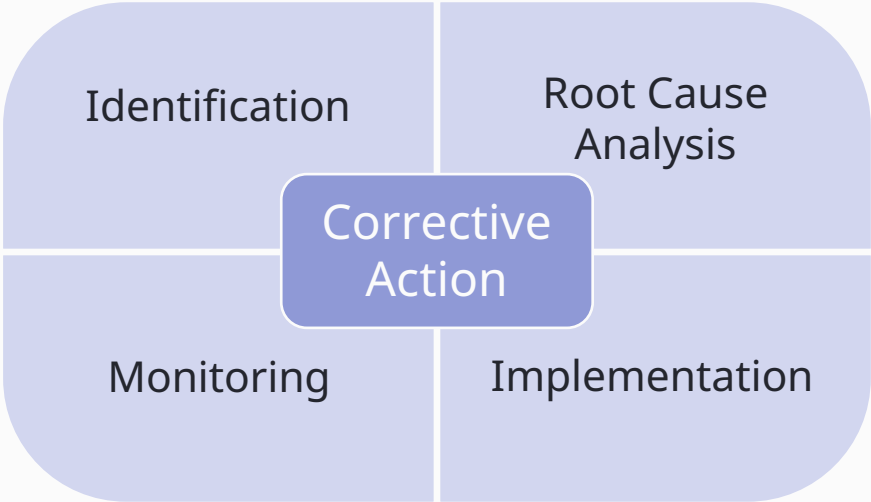
Internal Audit: Assessing  
the Effectiveness

Management Review:  
Decision Making

Continuous  
Improvement



# Continual Improvement



# BSI Services

Training Courses

## Artificial Intelligence Training Courses

Including:

- Understanding AI Concepts and Definitions
- Internal Auditor (TPECS)
- Lead Auditor (TPECS)
- Lead Implementer
- AI Controls Implementation





# Common Pitfalls





# Lack of Management Support

- Resource allocation
- Business priority
- Commitment

Management support provides the authority and resources for implementation, ensures AIMS is prioritized as a business objective and fosters commitment and cultural change in the organization.



# Inadequate Documentation

Proper documentation serves as a roadmap for your AIMS and ensures that everyone is on the same page.



# Unsuitable Scope

Scope sets the boundary and extent for the AIMS.

- **What** will be managed
- **Who** is responsible
- **Where** the AIMS will apply

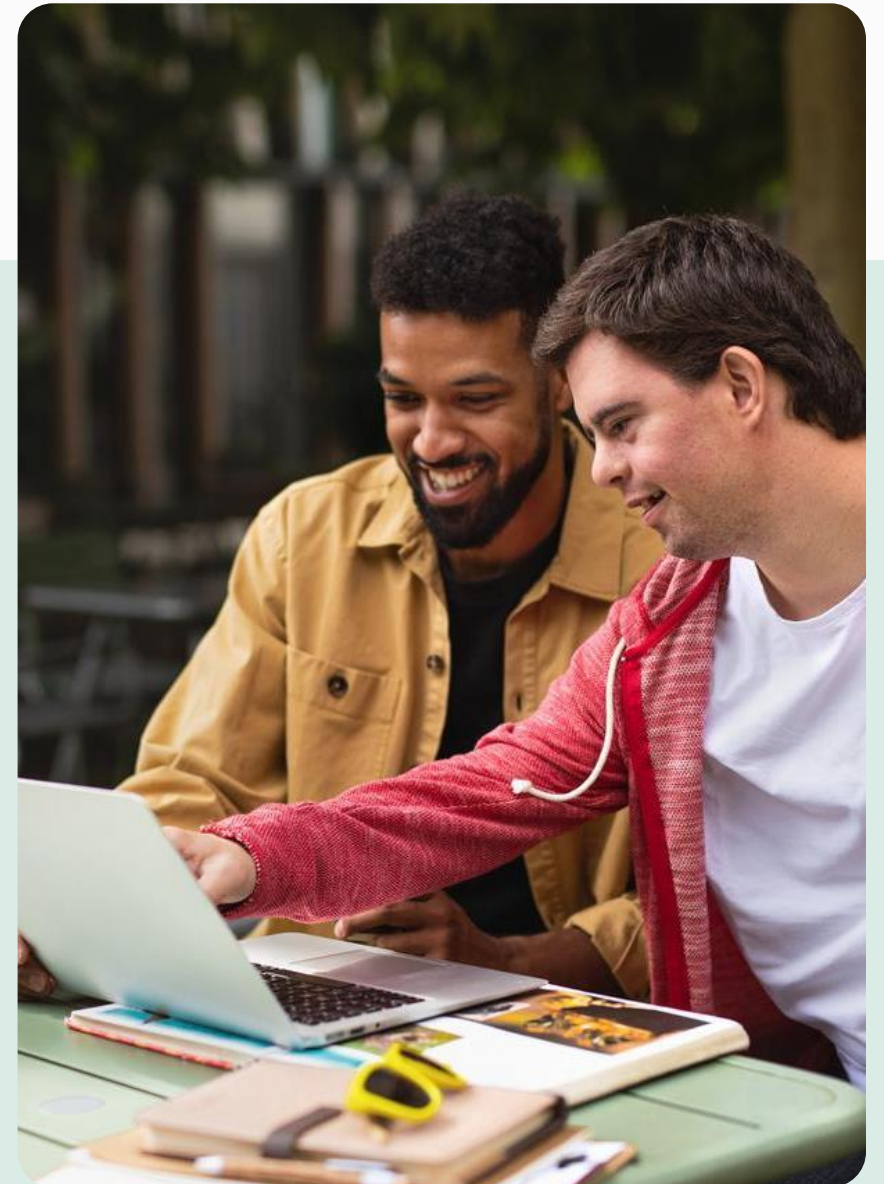
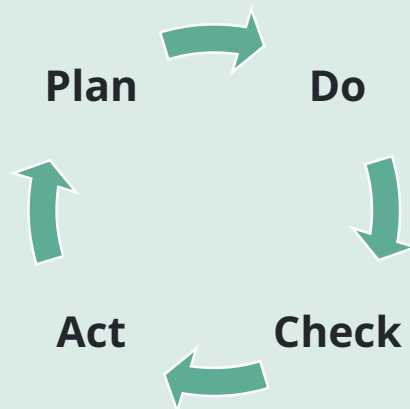




# Certification Tunnel Vision

- Certificate is an outcome, not the only goal
- AIMS implementation is not just about checking boxes

View ISO 42001 as a journey of continuous improvement rather than a one-time project.



# Summary

ISO 42001 is applicable to any organization, regardless of size, type, and nature, that provides or uses products or services that utilize AI systems.

## ISO 42001 journey

### Plan

Review ISO 42001 and establish strategic direction in line with requirements

### Train

Train relevant staff on achieving competence and professional aptitude against requirements

### Implement

Implement AI management system requirements in your company

### Certification

After a successful audit, we will issue a certificate confirming effective implementation

### Maintain

Maintain effectiveness to meet requirements of ISO 42001, alongside additional training



# Panel Session





# Poll Question 2





Thank you

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