SmartSuite

Framework / Risk Management / ISO Management Systems

ISO/IEC 42001:2023

ISO/IEC 42001 is an AI management system standard for managing AI risk, ethics, security, and regulatory compliance.

What it is

ISO/IEC 42001 is an international management system standard that provides a structured approach for organizations to manage artificial intelligence (AI) responsibly, addressing requirements around risk, ethics, cybersecurity, and regulatory compliance. The framework establishes a systematic methodology for governing AI systems throughout their lifecycle to enhance trust, transparency, and reliability.

Developed and published by the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC), ISO/IEC 42001 applies to organizations of any size or sector that develop, deploy, or use AI technologies. It covers focus areas including risk management, data protection, ethical considerations, security controls, and compliance with applicable laws governing AI use.

At a glance

PUBLISHER International Organization for Standardization (ISO)	TYPE Standard	VERSION ISO/IEC 42001:2023
EFFECTIVE December 2023	DOMAIN Risk Management	FAMILY ISO Management Systems
REGION International	ADOPTION MODEL Risk Management	IMPLEMENTATION COMPLEXITY High

Source: https://www.iso.org/standard/81230.html

Why it matters

- **Strengthen AI governance** Enable oversight and accountability for AI systems, ensuring responsible practices across development, deployment, and ongoing operations.
- **Enhance regulatory alignment** Support compliance with emerging AI-specific laws and ethical guidelines, reducing legal exposure and regulatory uncertainty.
- **Improve risk and incident management** Facilitate identification, assessment, and mitigation of AI-related risks while enhancing the ability to respond to incidents promptly.
- **Protect sensitive data and privacy** Implement controls to safeguard personal and sensitive information utilized by AI, addressing confidentiality and data protection requirements.

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How SmartSuite supports ISO 42001

AI System Inventory and Scope

Catalog AI use cases, models, data sources, and owners with clear scope boundaries.

AI Risk Assessments and Controls

Track AI risks, mitigations, approvals, and residual risk decisions end-to-end.

Policies, Standards, and Governance

Manage AI governance policies, review cadences, and accountability across teams.

Monitoring and Model Oversight

Schedule ongoing checks for performance, drift, misuse, and control effectiveness.

Incident and Escalation Workflows

Run AI-related incidents with timelines, decisions, and corrective actions documented.

Audit-Ready AI Compliance Reporting

Report readiness, open risks, and compliance status across AI systems and owners.

Common framework mappings

ISO 31000:2018 | ISO 27001:2022 | ISO 27701 | NIST AI RMF v1.0

Official resources

ISO/IEC 42001 Standard

Defines the Artificial Intelligence Management System requirements for AI governance and compliance.

iso.org/standard/81230.html

Frequently asked questions

What is ISO/IEC 42001 used for?

ISO/IEC 42001 is used to establish an Artificial Intelligence Management System (AIMS) that enables organizations to manage AI risks, ensure ethical use, satisfy regulatory requirements, and implement security controls throughout the AI lifecycle. The framework is designed to help organizations govern AI development, deployment, and maintenance responsibly.

Is ISO/IEC 42001 certification mandatory or voluntary?

Certification to ISO/IEC 42001 is voluntary unless specifically required by a regulator or contractual obligation. Organizations may seek certification to demonstrate their commitment to responsible AI management, regulatory compliance, and risk mitigation.

Who does ISO/IEC 42001 apply to?

ISO/IEC 42001 applies to any organization that develops, deploys, or uses artificial intelligence technologies, regardless of size, industry, or geographic location. The standard is relevant for both AI technology providers and organizations integrating AI into their operations.

What are the key requirements and artifacts of ISO/IEC 42001?

Key requirements include establishing AI-specific governance frameworks, defining the scope of the AIMS, implementing policies and controls, performing AI risk assessments, and ensuring compliance with applicable laws. Required artifacts often include documented controls, risk registers, policy documents, and audit trails related to AI systems.

How is ISO/IEC 42001 implemented in practice?

Implementation typically involves integrating AIMS principles with existing risk management and compliance programs. Organizations tailor policies and controls to their AI risk profile, conduct risk assessments, document controls, and monitor AI system effectiveness through regular internal audits and continuous improvement cycles.

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How does ISO/IEC 42001 relate to other compliance frameworks like ISO 27001?

ISO/IEC 42001 can be aligned and integrated with existing frameworks such as ISO 27001 for information security or ISO 9001 for quality management. This integration allows organizations to embed AI-specific controls within their broader compliance posture and leverage existing governance activities.

How would SmartSuite support ISO/IEC 42001?

SmartSuite supports ISO/IEC 42001 by offering integrated tools for AI risk tracking, centralized control management, and automated evidence collection. Its platform facilitates audit readiness, comprehensive compliance tracking, and real-time reporting, enabling organizations to continuously monitor and improve their AI management system in alignment with ISO/IEC 42001 requirements.

License included / downloadable: No ISO/IEC 42001 requires purchase through ISO or authorized standards organizations. License not included with platform

Full framework page and mappings: smartsuite.com/frameworks/iso-iec-42001-artificial-intelligence-management-system-aims

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