SmartSuite

Framework / Risk Management / ISO Management Systems

ISO/IEC 42001:2023

ISO/IEC 42001:2023 is the first AI management system standard: requirements for an AIMS in clauses 4 to 10, with Annex A reference controls and Annex B guidance.



What it is

ISO/IEC 42001:2023 is the international standard that sets out requirements for an artificial intelligence management system (AIMS) in any organization that provides or uses products or services built on AI systems. ISO and IEC published the first edition on December 18, 2023 (joint technical committee ISO/IEC JTC 1/SC 42, Artificial intelligence); as of October 14, 2026 ISO's catalog record shows it as published, with no amendment and no revision project.

The standard follows the harmonized structure of ISO management system standards: clause 4 (context of the organization), 5 (leadership), 6 (planning), 7 (support), 8 (operation), 9 (performance evaluation) and 10 (improvement). Four annexes follow: Annex A (normative) reference control objectives and controls, Annex B (normative) implementation guidance for AI controls, Annex C (informative) potential AI-related organizational objectives and risk sources, and Annex D (informative) use of the AI management system across domains or sectors. Clause 1 applies it to any organization regardless of size, type and nature, and ISO/IEC 22989:2022 supplies the AI terminology.

At a glance

PUBLISHER International Organization for Standardization (ISO) and International Electrotechnical Commission (IEC)	TYPE Standard	VERSION ISO/IEC 42001:2023 (first edition)
EFFECTIVE December 18, 2023	DOMAIN Risk Management	FAMILY ISO Management Systems
REGION International	ADOPTION MODEL Certification	IMPLEMENTATION COMPLEXITY High

Source: iso.org/standard/81230.html

Why it matters

- **Leadership that owns AI** Clause 5 covers leadership and commitment (5.1), the AI policy (5.2) and roles, responsibilities and authorities (5.3).
- **An impact assessment for each AI system** Clauses 6.1.4 and 8.4 both address AI system impact assessment, a step separate from AI risk assessment (6.1.2 and 8.2).
- **Risks and opportunities managed together** Clause 6.1 covers actions to address risks and opportunities, and clauses 8.2 and 8.3 repeat AI risk assessment and treatment in operation.
- **Suppliers and partners in scope** The Introduction lists management of suppliers, partners and third parties that provide or develop AI systems among the crucial processes.

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How SmartSuite supports ISO 42001

AI System Inventory and AIMS Scope

Record each AI system, its owner and its purpose in AI Governance inventories, the basis for the scope decision in clause 4.3.

AI Risk Assessments (6.1.2 and 8.2)

Run AI risk assessments in AI Governance with owners, treatment decisions (6.1.3 and 8.3) and approvals.

AI System Impact Assessments (6.1.4 and 8.4)

Keep each impact assessment with its approval and the AI system it covers, ready for an auditor to read.

Policy, Objectives and Controls

Hold the AI policy (5.2), AI objectives (6.2) and Annex A controls in Compliance Management with owners, testing and evidence.

Third-Party AI Suppliers

Assess and monitor suppliers and partners that provide or develop AI systems in Third Party Risk Management.

Internal Audit and Management Review

Plan the internal audits of 9.2, report findings and track corrective actions under 10.2 in Internal Audit Management.

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 and when was it published?

ISO/IEC 42001:2023 is the international standard that specifies requirements and provides guidance for establishing, implementing, maintaining and continually improving an AI management system (clause 1). ISO and IEC published the first edition on December 18, 2023, prepared by ISO/IEC JTC 1/SC 42. As of October 14, 2026 ISO's catalog record lists no amendment and no revision project.

How is ISO/IEC 42001 structured?

Clauses 4 to 10 follow the harmonized management system structure: context of the organization, leadership, planning, support, operation, performance evaluation and improvement. Annex A (normative) lists reference control objectives and controls, Annex B (normative) gives implementation guidance for AI controls, Annex C (informative) lists potential AI-related organizational objectives and risk sources, and Annex D (informative) covers use across domains or sectors.

What is the difference between an AI risk assessment and an AI system impact assessment?

The standard treats them as separate steps. Clause 6.1.2 sets the AI risk assessment and 6.1.4 the AI system impact assessment in planning, and clauses 8.2 and 8.4 repeat them in operation. ISO/IEC 42005:2025, published on May 28, 2025, gives guidance on impact assessment and looks at how an AI system may affect individuals, groups or society.

Can an organization be certified to ISO/IEC 42001?

Yes. ISO/IEC 42001 is voluntary and can be audited by a certification body. ISO/IEC 42006:2025, published on July 7, 2025, sets additional requirements for bodies that audit and certify an AI management system and supplements ISO/IEC 17021-1. Certification is of the management system and does not certify an individual AI product.

Does ISO/IEC 42001 satisfy the EU AI Act?

This page makes no such claim. ISO/IEC 42001 is a voluntary management system standard, not a law, and obligations under the EU Artificial Intelligence Act come from the Act itself. Check the Act and any standards the EU formally cites in support of it before relying on conformity with ISO/IEC 42001 for a legal purpose.

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

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