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	Documentation required for ISO/IEC 42001:2023 certifications					
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S.No.	Document name	Clause number
1	AIMS Manual	-
2	Identification of the role of the organization	4.0 (4.1, 4.2, 4.3, 4.4)
3	Internal and external issues	
4	List of Interested parties (Internal and external)	
5	Needs and expectations of the interested parties	
6	Documentation of the scope of the certifications keeping the role of the organization in consideration.	
7	Process interaction document	
8	Document with commitment statement of the top management	
9	Roles, responsibilities and authorities of the people in the organization	
10	Communication of roles, responsibilities and authorities of the people in the organization and their contribution in the development in the AIMS.	
11	Identification of the key personals in the organization and making sure that they are promoted as a leader for their team.	
12	AI Policy	
13	Communication evidence of the policy (to the relevant interested parties)	
14	Procedure to calculate risk and opportunities in the organization.	6 (6.1(6.1.1, 6.1.2, 6.1.3,6.1.4), 6.2, 6.3)
15	AI Risk criteria (can be mentioned in the procedure)	
16	Plan to address the risk and opportunities in the organization	
17	Procedure for risk assessment (include risk analysis, risk criteria, risk treatment)	
18	Statement of applicability as per Annex A.	
19	Procedure for AI system impact assessment.	
20	AI Objectives and plan to achieve the objectives	
21	Procedure for planning and control of changes.	
22	Comprehensive list of resource required and availability of the resources for establishment, Implementation , maintenance and continual improvement of the AIMS.	
23	Organization chart depicting point number 22.	
24	Competence criteria (required v/s Available)	
25	Procedure to acquire the necessary competence and evaluation of the effectiveness.	



26	Records of training (training calendar, training need Identification, Training record, training effectiveness evaluation)	
27	Skill matrix v/s skills required	
28	Record of improvement in the awareness of Policy, the contribution of the people in AIMS, objectives, etc.	
29	Communication matrix and record of communications	
30	Procedure of control of documents	
31	Procedure of control of records	
32	List of forms and formats (Along with unique identification of each forms/formats)	
33	List of documents (Along with unique identification of each document)	
34	Procedure of control of organizational processes	8 (8.1, 8.2, 8.3, 8.4)
35	List of all processes and their inclusion in the procedure	
36	AI Risk Assessment	
37	AI Risk Treatment	
38	AI System Impact Assessment	
39	Procedure of internal audit	9 (9.1, 9.2 (9.2.1, 9.2.2), 9.3 (9.3.1, 9.3.2, 9.3.3))
40	Procedure of Management review meeting	
41	Internal audit record (Audit plan, audit monitoring, list of trained internal auditors, Internal audit report, Closure report of gaps identified in the Internal audit)	
42	Communication of agenda of management review meeting to the concerned persons	
43	Minutes of meeting	
44	Outcome of the meeting	
45	Closure evidences of all the complaints, analysis of the feedback, closure evidences of the gaps identified in the Internal audit, planning and execution of the points raised in the Management review meeting and implementation record all other points raised through various sources for the development of AIMS.	10 (10.1, 10.2)
45	Process, procedure and records as deemed importance and applicable as per Annex A (reference control objectives and controls)	Annexure A.

- Note:-
- The above list of documents is a list prepared on the understanding of the individual.
 - There can be few more documents as per the size and type of the organization
 - Kindly refer to the standard for complete understanding of the standard and documentation & Implementation of the standard in your organization.
 - This document is to be used only as a reference document and not the exact interpretation of the standard.
 - All the documents that shall be prepared by the organization shall depict the relevance of AIMS in the context and content of the documents.



Annex A (normative)

Reference control objectives and controls

A.1

General

The controls detailed in Table A.1 provide the organization with a reference for meeting organizational objectives and addressing risks related to the design and operation of AI systems. Not all the control objectives and controls listed in Table A.1 are required to be used, and the organization can design and implement their own controls (see 6.1.3).

Annex B provides implementation guidance for all the controls listed in Table A.1.

Table A.1 — Control objectives and controls		
A.2 Policies related to AI		
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.
A.3 Internal organization		
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.
A.4 Resources for AI systems		
Objective: To ensure that the organization accounts for the resources (including AI system components and assets) of the AI system in order to fully understand and address risks and impacts.		
	Topic	Control
A.4.2	Resource documentation	The organization shall identify and document relevant resources required for the activities at given AI system life cycle stages and other AI-related activities relevant for the organization.
A.4.3	Data resources	As part of resource identification, the organization shall document information about the data resources utilized for the AI system.
A.4.4	Tooling resources	As part of resource identification, the organization shall document information about the tooling resources utilized for the AI system.
A.4.5	System and computing resources	As part of resource identification, the organization shall document information about the system and computing resources utilized for the AI system.
A.4.6	Human resources	As part of resource identification, the organization shall document information about the human resources and their competences utilized for the development, deployment, operation, change management, maintenance, transfer and decommissioning, as well as verification and integration of the AI system.
A.5 Assessing impacts of AI systems		
Objective: To assess AI system impacts to individuals or groups of individuals, or both, and societies affected by the AI system throughout its life cycle.		
	Topic	Control
A.5.2	AI system impact assessment process	The organization shall establish a process to assess the potential consequences for individuals or groups of individuals, or both, and societies that can result from the AI system throughout its life cycle.



A.5.3	Documentation of AI system impact assessments	The organization shall document the results of AI system impact assessments and retain results for a defined period.
A.5.4	Assessing AI system impact on individuals or groups of individuals	The organization shall assess and document the potential impacts of AI systems to individuals or groups of individuals throughout the system's life cycle.
A.5.5	Assessing societal impacts of AI systems	The organization shall assess and document the potential societal impacts of their AI systems throughout their life cycle.
A.6 AI system life cycle		
A.6.1 Management guidance for AI system development		
Objective: To ensure that the organization identifies and documents objectives and implements processes for the responsible design and development of AI systems.		
	Topic	Control
A.6.1.2	Objectives for responsible development of AI system	The organization shall identify and document objectives to guide the responsible development AI systems, and take those objectives into account and integrate measures to achieve them in the development life cycle.
A.6.1.3	Processes for responsible AI system design and development	The organization shall define and document the specific processes for the responsible design and development of the AI system.
A.6.2 AI system life cycle		
Objective: To define the criteria and requirements for each stage of the AI system life cycle.		
	Topic	Control
A.6.2.2	AI system requirements and specification	The organization shall specify and document requirements for new AI systems or material enhancements to existing systems.
A.6.2.3	Documentation of AI system design and development	The organization shall document the AI system design and development based on organizational objectives, documented requirements and specification criteria .



A.6.2.4	AI system verification and validation	The organization shall define and document verification and validation measures for the AI system and specify criteria for their use.
A.6.2.5	AI system deployment	The organization shall document a deployment plan and ensure that appropriate requirements are met prior to deployment.
A.6.2.6	AI system operation and monitoring	The organization shall define and document the necessary elements for the ongoing operation of the AI system. At the minimum, this should include system and performance monitoring, repairs, updates and support.
A.6.2.7	AI system technical documentation	The organization shall determine what AI system technical documentation is needed for each relevant category of interested parties, such as users, partners, supervisory authorities, and provide the technical documentation to them in the appropriate form.
A.6.2.8	AI system recording of event logs	The organization shall determine at which phases of the AI system life cycle, record keeping of event logs should be enabled, but at the minimum when the AI system is in use.
A.7 Data for AI systems		
Objective: To ensure that the organization understands the role and impacts of data in AI systems in the application and development, provision or use of AI systems throughout their life cycles.		
	Topic	Control
A.7.2	Data for development and enhancement of AI system	The organization shall define, document and implement data management processes related to the development of AI systems
A.7.3	Acquisition of data	The organization shall determine and document details about the acquisition and selection of the data used in AI systems.
A.7.4	Quality of data for AI systems	The organization shall define and document requirements for data quality and ensure that data used to develop and operate the AI system meet those requirements
A.7.5	Data provenance	The organization shall define and document a process for recording the provenance of data used in its AI systems over the life cycles of the data and the AI system.



A.7.6	Data preparation	The organization shall define and document its criteria for selecting data preparations and the data preparation methods to be used.
A.8 Information for interested parties of AI systems		
Objective: To ensure that relevant interested parties have the necessary information to understand and assess the risks and their impacts (both positive and negative).		
	Topic	Control
A.8.2	System documentation and information for users	The organization shall determine and provide the necessary information to users of the AI system
A.8.3	External reporting	The organization shall provide capabilities for interested parties to report adverse impacts of the AI system.
A.8.4	Communication of incidents	The organization shall determine and document a plan for communicating incidents to users of the AI system.
A.8.5	Information for interested parties	The organization shall determine and document their obligations to reporting information about the AI system to interested parties.
A.9 Use of AI systems		
Objective: To ensure that the organization uses AI systems responsibly and per organizational policies.		
	Topic	Control
A.9.2	Processes for responsible use of AI systems	The organization shall define and document the processes for the responsible use of AI systems.
A.9.3	Objectives for responsible use of AI system	The organization shall identify and document objectives to guide the responsible use of AI systems.
A.9.4	Intended use of the AI system	The organization shall ensure that the AI system is used according to the intended uses of the AI system and its accompanying documentation.
A.10 Third-party and customer relationships		
Objective: To ensure that the organization understands its responsibilities and remains accountable, and risks are appropriately apportioned when third parties are involved at any stage of the AI system life cycle.		



	Topic	Control
A.10.2	Allocating responsibilities	The organization shall ensure that responsibilities within their AI system life cycle are allocated between the organization, its partners, suppliers, customers and third parties.
A.10.2	Suppliers	The organization shall establish a process to ensure that its usage of services, products or materials provided by suppliers aligns with the organization's approach to the responsible development and use of AI systems.
A.10.4	Customers	The organization shall ensure that its responsible approach to the development and use of AI systems considers their customer expectations and needs.