



# International Association for Assessment Board Inc. (IAAB)

**IAAB Guideline for Assessment of Artificial Intelligence Management Systems based on  
ISO/IEC 17021-1 for ISO/IEC 42001 standard**

**IAAB GDCB – 33:2024, Issue 1**

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## **Application of ISO/IEC 17021-1 based on ISO/IEC 42001 standard**

### **1. INTRODUCTION**

ISO/IEC 17021-1 is an International Standard

- that sets out the general requirements for bodies operating audit and certification of organizations' management systems.
- this document aims to guide certification bodies (CBs) in the consistent application of ISO/IEC 17021-1 for the accreditation of organizations that provide audit and certification services in accordance with ISO/IEC 42001.

#### **SCOPE**

This document specifies normative criteria for CBs auditing and certifying organizations' Compliance management systems to ISO/IEC 42001, in addition to the requirements contained in ISO/IEC 17021-1.

### **2. NORMATIVE REFERENCES**

The following normative references applies:

- The normative references given in ISO/IEC 17021-1 and the following apply.
- ISO/IEC 42001\* Information technology — Artificial intelligence — Management system

\*Note: Standard version refers to the latest version

### **3. TERMS AND DEFINITIONS**

Terms and Definitions (Selected) refers to ISO/IEC 42001 standard:

#### **AI system impact assessment**

formal, documented process by which the impacts on individuals, groups of individuals, or both, and societies are identified, evaluated and addressed by an organization developing, providing or using products or services utilizing artificial intelligence.

#### **Governing body**

person or group of people who are accountable for the performance and conformance of the organization

#### **Statement of applicability**

documentation of all necessary controls and justification for inclusion or exclusion of controls

**Abbreviation used in this document:**

|                                            |      |
|--------------------------------------------|------|
| Certification Body                         | CB   |
| Artificial Intelligence Management Systems | AIMS |
| Technical Expert                           | TE   |
| Team Leader                                | TL   |
| Artificial Intelligence                    | AI   |

**4. PRINCIPLES**

|            |                                     |                                                                                                                                                         |
|------------|-------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>4.1</b> | <b>General</b>                      | No additional requirements for ISO/IEC 42001.                                                                                                           |
| <b>4.2</b> | <b>Impartiality</b>                 | No additional requirements for ISO/IEC 42001.                                                                                                           |
| <b>4.3</b> | <b>Competence</b>                   | No additional requirements for ISO/IEC 42001.                                                                                                           |
| <b>4.4</b> | <b>Responsibility</b>               | ISO/IEC 42001 requires the organization to comply with the statutory and regulatory requirements applicable Artificial Intelligence Management Systems. |
| <b>4.5</b> | <b>Openness</b>                     | No additional requirements for ISO/IEC 42001.                                                                                                           |
| <b>4.6</b> | <b>Confidentiality</b>              | No additional requirements for ISO/IEC 42001.                                                                                                           |
| <b>4.7</b> | <b>Responsiveness to Complaints</b> | No additional requirements for ISO/IEC 42001.                                                                                                           |
| <b>4.8</b> | <b>Risk-based Approach</b>          | No additional requirements for ISO/IEC 42001.                                                                                                           |

**5. GENERAL REQUIREMENTS:**

|            |                                      |                                                                                                                                                  |
|------------|--------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>5.1</b> | <b>Legal and Contractual Matters</b> | The CB shall establish appropriate agreements with their clients to release audit report information to regulators that recognize ISO/IEC 42001. |
| <b>5.2</b> | <b>Management of Impartiality</b>    | No additional requirements for ISO/IEC 42001.                                                                                                    |
| <b>5.3</b> | <b>Liability and Financing</b>       | No additional requirements for ISO/IEC 42001.                                                                                                    |

**6. STRUCTURAL REQUIREMENTS**

|            |                                                  |                                               |
|------------|--------------------------------------------------|-----------------------------------------------|
| <b>6.1</b> | <b>Organization Structure and Top Management</b> | No additional requirements for ISO/IEC 42001. |
| <b>6.2</b> | <b>Operational Control</b>                       | No additional requirements for ISO/IEC 42001. |

## 7. RESOURCEREQUIREMENTS

|     |                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-----|-----------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 7.1 | <b>Competence of Personnel</b>                            | <p>CB shall have competent personal having knowledge ISO/IEC 42001.</p> <p>All personnel involved in ISO/IEC 42001 certification shall meet the competency requirements of Annexure 2 &amp; 3</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| 7.2 | <b>Personnel Involved in the Certification Activities</b> | <p><b>Application reviewer</b></p> <p>Application reviewer shall meet the competency requirements of Annexure 2 &amp; 3</p> <p>Application reviewer may be certification decision personal if he/she compliance the requirement of Personnel making the certification decision as per Annexure 2.</p> <p><b>Auditor</b></p> <p>Each auditor shall have demonstrated competence as defined in Annexure 2 &amp; 3.</p> <p>The CB shall identify authorizations of its auditors using the Technical Areas in Tables in Annexure 1.</p> <p><b>Auditor experience</b></p> <p>The auditor shall comply with the following criteria, which shall be demonstrated in audits under guidance and supervision:</p> <ul style="list-style-type: none"> <li>a) Has gained experience in the entire process of auditing Compliance management systems, including review of documentation, implementation audit and audit reporting.</li> <li>b) Has gained experience by participating as a trainee in a minimum of Ten (10) audits or total of at least Fifteen (15) man-days audit for initial ISO/IEC 42001 Audit or surveillance audit / re-certification audit program.</li> </ul> <p><b>Audit team leaders:</b></p> <p>Shall fulfill the following:</p> <ul style="list-style-type: none"> <li>a) Has experienced as an audit team leader role under the supervision of a qualified team leader for at least Twelve audits or at least 20 man-days audit for initial ISO/IEC 42001 Audit or surveillance audit / re-certification audit program.</li> </ul> <p><b>Technical Expert (TE)</b></p> <p>Shall fulfill the following:</p> <p>Has minimum three years relevant experience in field of Compliance management systems.</p> <p><b>Personnel making the certification decision</b></p> <p>The CB shall ensure that personnel (group or individual) making</p> |

|     |                                                     |                                                                                                                                                                                                                                                                                                                                               |
|-----|-----------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|     |                                                     | <p>the certification decision fulfil the competence in Annexure 2.</p> <p>This does not mean that each individual in the group needs to comply with all requirements, but the group as a whole shall meet all the requirements. When the certification decision is made by an individual, the individual shall meet all the requirements.</p> |
| 7.3 | <b>Use of Individual External Technical Experts</b> | Technical Expert should have minimum 2 years' experience in field of Artificial Intelligence producer / developer / User / multiple roles such as producer & developer.                                                                                                                                                                       |
| 7.4 | <b>Personnel Records</b>                            | CB shall maintain records of all personal records including technical expert.                                                                                                                                                                                                                                                                 |
| 7.5 | <b>Outsourcing</b>                                  | No additional requirements for ISO/IEC 42001.                                                                                                                                                                                                                                                                                                 |

## 8. INFORMATION REQUIREMENTS

|     |                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-----|----------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 8.1 | <b>Public Information</b>                                | CB shall provide the information about the list of Certified clients, suspended clients, or withdrawn & cancelled clients to the public without the request or to the regulatory authority when demanded.                                                                                                                                                                                                                  |
| 8.2 | <b>Certification Documents</b>                           | <p>The CB shall precisely document</p> <ul style="list-style-type: none"> <li>- Name of the organization</li> <li>- Location(s)</li> <li>- the scope of certification</li> <li>- Last date of Audit at client (site/online)</li> <li>- issue date, date of surveillance audit</li> <li>- expiry date</li> <li>- in case of any modification in certification mention the modification, date shall be mentioned.</li> </ul> |
| 8.3 | <b>Reference to Certification and Use of Marks</b>       | No additional requirements for ISO/IEC 42001.                                                                                                                                                                                                                                                                                                                                                                              |
| 8.4 | <b>Confidentiality</b>                                   | No additional requirements for ISO/IEC 42001.                                                                                                                                                                                                                                                                                                                                                                              |
| 8.5 | <b>Information Exchange Between a CB and its Clients</b> | <p>In case of CB Suspension or Cancellation of the accreditation, this relevant information shall be informed to the certified clients &amp; information shall be made publicly available.</p> <p>In case of CB merged or sold to another CB, CB shall inform to client relevant information for surveillance or Re-certification audit.</p>                                                                               |

## 9. PROCESS REQUIREMENTS

|     |                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|-----|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 9.1 | <b>PROCESS REQUIREMENTS</b> | <p><b>Outsourced process:</b></p> <p>CB shall verify the applicants outsourced process for compliance person / organization where applicable.</p> <p><b>Determining audit time:</b></p> <p>Annexure 4 provides a starting point for estimating the audit time of an initial certification audit (Stage 1 + Stage 2).</p> <p>Audit time is dependent on factors such as the audit scope, objectives, and specific regulatory requirements to be audited, as well on the range, class and complexity, and the size and complexity</p> |
|-----|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|     |                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----|----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|     |                                  | <p>of the organization.</p> <p>When CBs are planning audits, sufficient time shall be allowed for the audit team to determine the conformity status of the client organization's compliance management system with respect to the relevant regulatory requirements.</p> <p>Note: Time required to audit national or regional regulatory requirements and dossier reviews shall be additional and justified, so as not to diminish the audit of the ISO/IEC 42001.</p> <p><b>Multi-site sampling</b><br/>Annexure 1 applicable for the multi-site</p>                                                                                                                                                                                                                                                                           |
| 9.2 | <b>Planning Audits</b>           | The audit team shall have the competence for the Technical Area (Annexure A in conjunction with relevant knowledge and skills as defined in Annexure B) for the scope of audit.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 9.3 | <b>Initial Certification</b>     | <p><b>Stage 1</b></p> <p>The stage 1 can be performed on-site or</p> <p>Virtual audits can also be performed with justifications</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 9.4 | <b>Conducting Audits</b>         | <p>Identifying and recording audit findings Examples of major nonconformities which require the acceptance, and the verification of the effectiveness of correction and corrective actions are as follows:</p> <ul style="list-style-type: none"> <li>a) failure to fully address applicable requirements and implement an entire process for ISO/IEC 42001;</li> <li>b) failure to implement applicable requirements for ISO/IEC 42001;</li> <li>c) failure to implement appropriate correction and corrective action;</li> <li>d) deviations with the regulatory requirements;</li> <li>e) repeated nonconformities from previous audits.</li> </ul>                                                                                                                                                                         |
| 9.5 | <b>Certification Decision</b>    | No additional requirements for ISO/IEC 42001.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|     | <b>Transfer of certification</b> | <p>When transferring certification from one certification body to another certification body, the accepting certification body shall have a process for obtaining sufficient information to take a decision on certification. Consideration of documents related to sufficient information are not limited to the below documents:</p> <ol style="list-style-type: none"> <li>1. Client's filled Application Form;</li> <li>2. Client's Stage-1, Stage-2 Audit, surveillance audit and recertification reports, which are applicable;</li> <li>3. Correction &amp; Corrective Actions Report filled by Client;</li> <li>4. Decision of Certification Grant;</li> <li>5. Certificate Copy;</li> <li>6. A Copy of Signed Client Agreement with Certification Body;</li> <li>7. Any Complaint from Client/Stakeholder.</li> </ol> |
| 9.6 | <b>Maintaining Certification</b> | <p><b>Surveillance:</b></p> <p>the surveillance programme shall include a review of actions taken for notification of adverse events, advisory notices in addition to the compliance AIMS requirements.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |

|     |                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
|-----|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|     |                       | <p><b>Short notice audit:</b><br/>Short notice or unannounced audits may be required in case of:</p> <p>a) scope of certification indicates a possible significant deficiency in the AIMS;</p> <p>b) significant changes occur due to regulations, or any factor known to the CB, and which could affect the compliance with the regulatory requirements;</p> <p>c) when required by legal requirements under public law or by the relevant Regulatory Authority.</p> <p>The following are examples of such changes for considering a short notice or unannounced audit:</p> <p>a) AIMS – impact and changes;<br/>b) new ownership;<br/>c) new regulations;<br/>d) new processes, process changes;<br/>e) Request from Client or AB.</p> <p>An unannounced or short-notice audit may also be necessary if the CB has justifiable concerns about implementation of corrective actions or compliance with standard and regulatory requirements.</p> <p>CB shall inform to the client about the short notice audit and shall be documented.</p> <p>CB shall make an agreement with client for witness audit which will be witnessed AB or IAAB or both assessors.</p> |
| 9.7 | <b>Appeals</b>        | No additional requirements for ISO/IEC 42001                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 9.8 | <b>Complaints</b>     | No additional requirements for ISO/IEC 42001                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 9.9 | <b>Client Records</b> | No additional requirements for ISO/IEC 42001                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |

## 10. MANAGEMENT SYSTEM REQUIREMENTS

|        |                                 |                                               |
|--------|---------------------------------|-----------------------------------------------|
| 10.1   | <b>Option A:</b>                | <b>General Management System Requirements</b> |
| 10.1.1 | <b>General</b>                  | No additional requirements for ISO/IEC 42001. |
| 10.1.2 | <b>Management system manual</b> | No additional requirements for ISO/IEC 42001. |
| 10.1.3 | <b>Control of documents</b>     | No additional requirements for ISO/IEC 42001. |
| 10.1.4 | <b>Control of records</b>       | No additional requirements for ISO/IEC 42001. |
| 10.1.5 | <b>Internal audits</b>          | No additional requirements for ISO/IEC 42001. |
| 10.1.6 | <b>Management review</b>        | No additional requirements for ISO/IEC 42001. |
| 10.1.7 | <b>Corrective actions</b>       | No additional requirements for ISO/IEC 42001. |
| 10.2   | <b>Option B:</b>                | No additional requirements for ISO/IEC 42001. |
| 10.2.1 | <b>General</b>                  | No additional requirements for ISO/IEC 42001. |
| 10.2.2 | <b>Scope</b>                    | No additional requirements for ISO/IEC 42001. |
| 10.2.3 | <b>Management review</b>        | No additional requirements for ISO/IEC 42001. |

## Annexure 01: Technical Sector for Artificial Intelligence Management Systems (AIMS)

Artificial Intelligence is usually divided into several major technical sectors, here's a common breakdown such as:

| Sector                                        | Description                                                                               |
|-----------------------------------------------|-------------------------------------------------------------------------------------------|
| <b>Machine Learning (ML)</b>                  | Training computers to learn patterns from data.                                           |
| <b>Deep Learning</b>                          | Using neural networks with many layers to model complex patterns.                         |
| <b>Natural Language Processing (NLP)</b>      | Understanding and generating human language (text, speech).                               |
| <b>Computer Vision</b>                        | Teaching machines to interpret and process images and videos.                             |
| <b>Robotics</b>                               | Building intelligent robots that can sense, plan, and act in the physical world.          |
| <b>Reinforcement Learning</b>                 | Training agents through trial and error using rewards.                                    |
| <b>Generative AI</b>                          | Creating new content (text, images, music) using AI models like GPT, DALL-E.              |
| <b>Speech Recognition and Generation</b>      | Converting spoken language to text and vice versa.                                        |
| <b>Knowledge Representation and Reasoning</b> | Making machines represent knowledge and perform logical reasoning.                        |
| <b>Expert Systems</b>                         | Rule-based systems that mimic decision-making abilities of human experts.                 |
| <b>Edge AI</b>                                | Running AI models on local devices instead of the cloud (e.g., smartphones, IoT devices). |
| <b>Explainable AI (XAI)</b>                   | Making AI decision-making processes transparent and understandable.                       |
| <b>AI Ethics and Safety</b>                   | Ensuring AI systems are fair, safe, unbiased, and ethical.                                |
| <b>Quantum Machine Learning</b>               | Combining quantum computing and machine learning.                                         |
| <b>Cognitive Computing</b>                    | Simulating human thought processes in a computerized model.                               |
| <b>Autonomous Systems</b>                     | Systems that make decisions and operate independently (like self-driving cars).           |
| <b>Data Labeling and Annotation</b>           | Preparing high-quality datasets for training AI models.                                   |
| <b>AI Hardware and Accelerators</b>           | Specialized chips and devices for faster AI computations (e.g., GPUs, TPUs).              |

Artificial Intelligence is used in various sectors, IAAB identify three primary complexity categories of compliance risks based on the nature and severity of an organization that fundamentally affect the auditor time.

These are:

- **High** – organizations operations with significant nature and severity (typically the construction industry, heavy manufacturing or processing type organizations),
- **Medium** – organizations operations with medium nature and severity (typically light manufacturing organizations with some significant risks), and
- **Low** – organizations operations with low nature and severity (typically small organizations).

| Business Sector                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Complexity category |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|
| <ul style="list-style-type: none"> <li>• mining and quarrying</li> <li>• manufacture of coke and refined petroleum products</li> <li>• oil and gas extraction</li> <li>• pulping part of paper manufacturing including paper recycling processing</li> <li>• oil refining</li> <li>• chemicals (including pesticides, fabrication of batteries and accumulators), and pharmaceuticals</li> <li>• gas production, storage and distribution</li> <li>• electricity generation and distribution</li> <li>• nuclear</li> <li>• storage of large quantities of hazardous material</li> <li>• non-metallic processing and products covering ceramics, concrete, cement, lime, plaster, etc.</li> <li>• primary productions of metals</li> <li>• hot and cold forming and metal fabrication</li> <li>• manufacturing and assembly of metal structures</li> <li>• shipyards (depending on the activities could be medium)</li> <li>• aerospace industry</li> <li>• automotive industry</li> <li>• manufacturing of weapons and explosives</li> <li>• recycling of hazardous waste</li> <li>• hazardous and non-hazardous waste processing e.g. incineration etc. effluent and sewerage processing</li> <li>• industrial and civil construction and demolition (including building completion with electrical, hydraulic and air conditioning installation activities)</li> <li>• slaughter houses</li> <li>• transport and distribution of dangerous goods (by land, air and water)</li> <li>• defense activities/crisis management</li> <li>• telecommunications</li> <li>• healthcare/hospitals/veterinary/social works</li> <li>• corporate activities and management, HQ and management of holding companies</li> <li>• public administration, local authorities</li> <li>• financial institutions, advertising agency</li> </ul> | High                |
| <ul style="list-style-type: none"> <li>• aquaculture (breeding, rearing, and harvesting of plants and animals in all types of water environments)</li> <li>• fishing (offshore fishing is high)</li> <li>• farming/forestry (depending on the activities could be high)</li> <li>• food, beverage and tobacco – processing</li> <li>• textiles and clothing except for dyeing</li> <li>• leather and leather product except for tanning</li> <li>• manufacturing of wood and wooden products including manufacturing of boards, treatment/impregnation of wood</li> <li>• paper production and paper products excluding pulping</li> <li>• non-metallic processing and products covering glass, ceramics, clay, etc.</li> <li>• general mechanical engineering assembly</li> <li>• manufacturing of metallic products</li> <li>• surface and other chemically based treatment for metal fabricated products excluding primary production and for general mechanical</li> <li>• engineering (depending on the treatment and the size of the</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Medium              |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| <ul style="list-style-type: none"> <li>• component could be high)</li> <li>• production of bare printed circuit boards for electronics industry</li> <li>• rubber and plastic injection molding, forming and assembly</li> <li>• electrical and electronic equipment assembly</li> <li>• manufacturing of transport equipment and their repairs - road, rail and air (depending on the size of the equipment, could be high)</li> <li>• recycling, composting, landfill (of non-hazardous waste)</li> <li>• water abstraction, purification and distribution including river</li> <li>• management (note commercial effluent treatment is graded as high)</li> <li>• fossil fuel wholesale and retail (depending on the amount of fuel, could be high)</li> <li>• transport of passengers (by air, land and sea)</li> <li>• transport and distribution of non-dangerous goods (by land, air and water)</li> <li>• research &amp; development in natural and technical sciences (depending on the business sector could be high). Technical testing and laboratories</li> <li>• hotels, leisure services and personal services excludes restaurants</li> <li>• education services (depending on the object of teaching activities could be high or low)</li> <li>• manufacturing of fiberglass</li> <li>• dyeing of textiles and clothing</li> <li>• tanning of leather and leather products</li> <li>• fishing (offshore, coastal dredging and diving)</li> </ul> |     |
| <ul style="list-style-type: none"> <li>• wholesale and retail (depending on the product, could be medium or high, e.g. fuel)</li> <li>• general business services include industrial cleaning, hygiene cleaning &amp; dry cleaning.</li> <li>• engineering services (could be medium depending on type of services)</li> <li>• post office services</li> <li>• restaurants</li> <li>• commercial estate agency, estate management</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Low |

### **Additional Manday Consideration:**

In case of high-risk CB should calculate additional man days if needed based on the complexity / legal requirements and calculated effective number of personnel.

### **Effective Number of Personnel**

The effective number of personnel consists of all personnel (permanent, temporary, and part-time) involved within the scope of certification including those working on each shift.

When included within the scope of certification, it shall also include non-permanent (e.g. contractors) personnel.

### **Calculation of the Effective Number of Personnel**

The effective number of personnel as defined above is used as a basis for the calculation of audit time of management systems of AIMS.

Considerations for determining the effective number of employees include

- part-time personnel and employees partially in scope,
- those working on shifts, administrative and
- all categories of office staff,
- similar or repetitive processes.

In case of seasonal trainings and operations the calculation of the effective number of personnel shall be based on the personnel typically present in peak season operations.

Part time personnel and employees partially in scope Dependent upon the hours worked, part time personnel numbers and employees partially in scope may be reduced or increased and converted to an equivalent number of full-time personnel.

{e.g. 50 part time employee working 4 hours/day equates to 25 full time employees (FTE)}

The justification to determine the effective number of personnel shall maintain the record by CB.

### **Multi-site Organization**

A multi-site organization does not need to be a distinct legal entity, but all sites must:

- Have a legal or contractual link with the central function.
- Operate under a unified management system that is established, monitored, and audited by the central function.

The central function has the authority to enforce corrective actions at any site when necessary.

Where applicable, this requirement should be formally documented in an agreement between the central function and the sites.

### **ELIGIBILITY OF A MULTI-SITE ORGANIZATION FOR CERTIFICATION**

- The organization shall have a single management system.
- The organization shall identify its central function.
- The central function is part of the organization and shall not be subcontracted to an external organization.
- The central function shall have organizational authority to define, establish and maintain the single management system.
- The organization's single management system shall be subject to a centralized management review.
- All sites shall be subject to the organization's internal audit programme.
- The central function shall be responsible for ensuring that data is collected and analyzed from all sites and shall be able to demonstrate its authority and ability to initiate organizational change as required in regard, but not limited, to:
  - (i) system documentation and system changes;
  - (ii) management review;
  - (iii) complaints;
  - (iv) evaluation of corrective actions;
  - (v) internal audit planning and evaluation of the results; and
  - (vi) statutory and regulatory requirements pertaining to the applicable standard(s).

### **Methodology for Auditing of a Multi-site Organization Using Site Sampling**

- Sampling of a set of sites is permitted where the sites are each performing very similar processes/activities.
- Not all organizations fulfilling the definition of "multi-site organization" will be eligible for sampling.
- **Sampling**
- **The sample shall be partly selective based on the factors set out below and partly random, and shall result in a representative range of different sites being selected, ensuring all processes covered by the scope of certification will be audited as per the below table:**

| Number of Sites | Sample size          |
|-----------------|----------------------|
| 2-5             | 02                   |
| 6-10            | 05                   |
| 11-20           | 08                   |
| 21-50           | 10                   |
| 51-100          | 16                   |
| 101-200         | 20                   |
| 201-500         | 25                   |
| 500 - 1000      | 40                   |
| Above 1000      | Based on calculation |

Note: CB may increase or decrease the sample size along with the justification. But CB shall cover “Core area / activities of scope” in selected samples. Record of justification of sample size shall be maintained.

## Annexure 2: Required types of knowledge and skills for personnel involved with ISO/IEC 42001 certification activities

The following table specifies the type of knowledge and skills that an CB shall define for specific functions.

| Knowledge and skills                                                                   | Certification Body functions |                               |                  |                                                            |
|----------------------------------------------------------------------------------------|------------------------------|-------------------------------|------------------|------------------------------------------------------------|
|                                                                                        | Application Reviewer         | Auditor and Audit team leader | Technical Expert | Reviewing audit reports and making certification decisions |
| Knowledge of business management practices of learning Services                        |                              | X                             | X                |                                                            |
| Knowledge of audit principles, practices and techniques related to learning Services   |                              | X                             | X                | X                                                          |
| Knowledge of ISO/IEC 42001 standard & normative documents related to learning Services | X                            | X                             |                  | X                                                          |
| Knowledge of certification body's processes related to learning Services               | X                            | X                             |                  | X                                                          |
| Knowledge of client's business sector related learning Services                        | X                            | X                             | X                | X                                                          |
| Knowledge of client products, processes and organization related to learning Services  | X                            | X                             | X                |                                                            |
| Language skills appropriate to all levels within the client organization               |                              | X                             |                  |                                                            |
| Note-taking and report-writing skills                                                  |                              | X                             |                  |                                                            |
| Presentation skills                                                                    |                              | X                             |                  |                                                            |

**Annexure 3: Required types of Qualification and Work experience and skills for personnel involved with ISO/IEC 42001 certification activities**

| Qualification and Work experience                                               | Certification functions |         |                        |                  |                                                 |
|---------------------------------------------------------------------------------|-------------------------|---------|------------------------|------------------|-------------------------------------------------|
|                                                                                 | Application reviewer    | Auditor | Audit team leader (TL) | Technical Expert | Report reviewer<br>Certification decision maker |
| Education (i.e. Graduate or equal qualification)                                | X                       | X       | X                      |                  | X                                               |
| Work experience (Minimum 3 years) TL have minimum 4 years                       |                         | X       | X                      | X                |                                                 |
| Lead Auditor Certificate of ISO/IEC 42001 Standards & other relevant Standards* |                         | X       | X                      |                  |                                                 |
| Industry specific knowledge (as per applicable)                                 |                         | X       | X                      | X                | X                                               |
| Assessment experience on ISO/IEC 42001 standard                                 |                         | X       | X                      |                  |                                                 |

**\*May be additional standards applicable ISO/IEC 17029, ISO/IEC 17011, ISO/IEC TR 24028:2020, ISO/IEC 23894, ISO/IEC 22989, ISO/IEC 5259-3, ISO/IEC TR 24027:2021 & ISO/IEC 5338.**

**Annexure 4: Requirements for Audit Man-Day for Stage 1, Stage 2, Surveillance, Recertification audit  
For High Complexity Category\***

| Effective number of employees | Stage 1 Audit Man-day | Stage 2 Audit Man-day | Surveillance 1 Audit Man-day | Surveillance 2 Audit Man-day | Recertification Audit Man-day |
|-------------------------------|-----------------------|-----------------------|------------------------------|------------------------------|-------------------------------|
| 1-10                          | 2                     | 3                     | 2                            | 2                            | 4                             |
| 11-20                         | 2.5                   | 3.5                   | 2.5                          | 2.5                          | 4.5                           |
| 21-50                         | 3                     | 4                     | 3                            | 3                            | 5                             |
| 51-100                        | 4                     | 5                     | 4                            | 4                            | 6                             |
| 101-250                       | 5                     | 7                     | 5                            | 5                            | 8                             |
| 251-500                       | 7                     | 10                    | 7                            | 7                            | 12                            |
| 501- 1000                     | 9                     | 15                    | 9                            | 9                            | 17                            |

**\*For Medium Complexity Category CB may reduce: 10% - 15% man-day(s).**

**\*For Low Complexity Category CB may reduce: 20-30% man-day(s).**

**Annexure 5: Integrated audit or combined audit**

ISO/IEC 42001 audit can combine / Integrated audit with other management system, CB can add the Audit time for 30-50% as per applicable, justification required for added audit time. In case CB reduce the audit time, CB show the valid justification with Man-day calculation for audit time reduction. CB shall maintain the record for Audit time calculation.

**Annexure 6: Other country Audit**

- A. CB shall make risk assessment before conduct audit other country then CB resident country, CB shall cover in Risk assessment include, but are not limited to economic, sociology, working environment, security of assessment team, language interpreter, Religion and Other relevant factors. Records of risk assessment shall be maintained.
- B. CB shall make risk assessment before conduct audit more than 1 country then CB resident country, CB shall cover in Risk assessment include, but are not limited to economic, sociology, working environment, security of assessment team, language interpreter, Religion and Other relevant factors. Records of risk assessment shall be maintained.
- C. CB may take interpreter for language support.



## FURTHER INFORMATION

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