

## საქართველოს სტანდარტი

სსკ: 03.100.70; 35.020

საინფორმაციო ტექნოლოგია - ხელოვნური ინტელექტი - მენეჯმენტის  
სისტემა

# სსტ ისო/იეკ 42001:2023/2024

## საინფორმაციო მონაცემები

1 მიღებულია და დაშვებულია სამოქმედოდ: სსიპ-საქართველოს სტანდარტებისა და მეტროლოგიის ეროვნული სააგენტოს გენერალური დირექტორის 21/03/2024 წლის № 20 განკარგულებით

2 მიღებულია „თავფურცლის“ თარგმნის მეთოდით: სტანდარტიზაციის საერთაშორისო ორგანიზაციის (ისო) სტანდარტი ისო/იეკ 42001:2023 „საინფორმაციო ტექნოლოგია - ხელოვნური ინტელექტი - მენეჯმენტის სისტემა“

### 3 პირველად

4 რეგისტრირებულია: სსიპ-საქართველოს სტანდარტებისა და მეტროლოგიის ეროვნული სააგენტოს რეესტრში: 21/03/2024 წლის №268-1.3-034825

წინამდებარე სტანდარტის ნებისმიერი ფორმით გავრცელება სააგენტოს ნებართვის გარეშე აკრძალულია

INTERNATIONAL  
STANDARD

ISO/IEC  
42001

First edition  
2023-12

---

---

## Information technology — Artificial intelligence — Management system

*Technologies de l'information — Intelligence artificielle — Système  
de management*

საინფორმაციო ნაწილი. სრული ტექსტის სანახავად შეიძინეთ სტანდარტი.



Reference number  
ISO/IEC 42001:2023(E)

© ISO/IEC 2023



**COPYRIGHT PROTECTED DOCUMENT**

© ISO/IEC 2023

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office  
CP 401 • Ch. de Blandonnet 8  
CH-1214 Vernier, Geneva  
Phone: +41 22 749 01 11  
Email: [copyright@iso.org](mailto:copyright@iso.org)  
Website: [www.iso.org](http://www.iso.org)

Published in Switzerland

# Contents

Page

Foreword.....	v
Introduction.....	vi
<b>1 Scope.....</b>	<b>1</b>
<b>2 Normative references.....</b>	<b>1</b>
<b>3 Terms and definitions.....</b>	<b>1</b>
<b>4 Context of the organization.....</b>	<b>5</b>
4.1 Understanding the organization and its context.....	5
4.2 Understanding the needs and expectations of interested parties.....	6
4.3 Determining the scope of the AI management system.....	6
4.4 AI management system.....	6
<b>5 Leadership.....</b>	<b>7</b>
5.1 Leadership and commitment.....	7
5.2 AI policy.....	7
5.3 Roles, responsibilities and authorities.....	8
<b>6 Planning.....</b>	<b>8</b>
6.1 Actions to address risks and opportunities.....	8
6.1.1 General.....	8
6.1.2 AI risk assessment.....	9
6.1.3 AI risk treatment.....	9
6.1.4 AI system impact assessment.....	10
6.2 AI objectives and planning to achieve them.....	10
6.3 Planning of changes.....	11
<b>7 Support.....</b>	<b>11</b>
7.1 Resources.....	11
7.2 Competence.....	11
7.3 Awareness.....	12
7.4 Communication.....	12
7.5 Documented information.....	12
7.5.1 General.....	12
7.5.2 Creating and updating documented information.....	12
7.5.3 Control of documented information.....	13
<b>8 Operation.....</b>	<b>13</b>
8.1 Operational planning and control.....	13
8.2 AI risk assessment.....	13
8.3 AI risk treatment.....	14
8.4 AI system impact assessment.....	14
<b>9 Performance evaluation.....</b>	<b>14</b>
9.1 Monitoring, measurement, analysis and evaluation.....	14
9.2 Internal audit.....	14
9.2.1 General.....	14
9.2.2 Internal audit programme.....	14
9.3 Management review.....	15
9.3.1 General.....	15
9.3.2 Management review inputs.....	15
9.3.3 Management review results.....	15
<b>10 Improvement.....</b>	<b>15</b>
10.1 Continual improvement.....	15
10.2 Nonconformity and corrective action.....	16
<b>Annex A (normative) Reference control objectives and controls.....</b>	<b>17</b>

**Annex B (normative) Implementation guidance for AI controls** ..... 21  
**Annex C (informative) Potential AI-related organizational objectives and risk sources**..... 46  
**Annex D (informative) Use of the AI management system across domains or sectors** ..... 49  
**Bibliography**..... 51

საინფორმაციო ნაწილი. სრული ტექსტის სანახავად შეიძინეთ სტანდარტი.

## Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives) or [www.iec.ch/members\\_experts/refdocs](http://www.iec.ch/members_experts/refdocs)).

ISO and IEC draw attention to the possibility that the implementation of this document may involve the use of (a) patent(s). ISO and IEC take no position concerning the evidence, validity or applicability of any claimed patent rights in respect thereof. As of the date of publication of this document, ISO and IEC had not received notice of (a) patent(s) which may be required to implement this document. However, implementers are cautioned that this may not represent the latest information, which may be obtained from the patent database available at [www.iso.org/patents](http://www.iso.org/patents) and <https://patents.iec.ch>. ISO and IEC shall not be held responsible for identifying any or all such patent rights.

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html). In the IEC, see [www.iec.ch/understanding-standards](http://www.iec.ch/understanding-standards).

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 42, *Artificial intelligence*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at [www.iso.org/members.html](http://www.iso.org/members.html) and [www.iec.ch/national-committees](http://www.iec.ch/national-committees).

## Introduction

Artificial intelligence (AI) is increasingly applied across all sectors utilizing information technology and is expected to be one of the main economic drivers. A consequence of this trend is that certain applications can give rise to societal challenges over the coming years.

This document intends to help organizations responsibly perform their role with respect to AI systems (e.g. to use, develop, monitor or provide products or services that utilize AI). AI potentially raises specific considerations such as:

- The use of AI for automatic decision-making, sometimes in a non-transparent and non-explainable way, can require specific management beyond the management of classical IT systems.
- The use of data analysis, insight and machine learning, rather than human-coded logic to design systems, both increases the application opportunities for AI systems and changes the way that such systems are developed, justified and deployed.
- AI systems that perform continuous learning change their behaviour during use. They require special consideration to ensure their responsible use continues with changing behaviour.

This document provides requirements for establishing, implementing, maintaining and continually improving an AI management system within the context of an organization. Organizations are expected to focus their application of requirements on features that are unique to AI. Certain features of AI, such as the ability to continuously learn and improve or a lack of transparency or explainability, can warrant different safeguards if they raise additional concerns compared to how the task would traditionally be performed. The adoption of an AI management system to extend the existing management structures is a strategic decision for an organization.

The organization's needs and objectives, processes, size and structure as well as the expectations of various interested parties influence the establishment and implementation of the AI management system. Another set of factors that influence the establishment and implementation of the AI management system are the many use cases for AI and the need to strike the appropriate balance between governance mechanisms and innovation. Organizations can elect to apply these requirements using a risk-based approach to ensure that the appropriate level of control is applied for the particular AI use cases, services or products within the organization's scope. All these influencing factors are expected to change and be reviewed from time to time.

The AI management system should be integrated with the organization's processes and overall management structure. Specific issues related to AI should be considered in the design of processes, information systems and controls. Crucial examples of such management processes are:

- determination of organizational objectives, involvement of interested parties and organizational policy;
- management of risks and opportunities;
- processes for the management of concerns related to the trustworthiness of AI systems such as security, safety, fairness, transparency, data quality and quality of AI systems throughout their life cycle;
- processes for the management of suppliers, partners and third parties that provide or develop AI systems for the organization.

This document provides guidelines for the deployment of applicable controls to support such processes.

This document avoids specific guidance on management processes. The organization can combine generally accepted frameworks, other International Standards and its own experience to implement crucial processes such as risk management, life cycle management and data quality management which are appropriate for the specific AI use cases, products or services within the scope.



An organization conforming with the requirements in this document can generate evidence of its responsibility and accountability regarding its role with respect to AI systems.

The order in which requirements are presented in this document does not reflect their importance or imply the order in which they are implemented. The list items are enumerated for reference purposes only.

### **Compatibility with other management system standards**

This document applies the harmonized structure (identical clause numbers, clause titles, text and common terms and core definitions) developed to enhance alignment among management system standards (MSS). The AI management system provides requirements specific to managing the issues and risks arising from using AI in an organization. This common approach facilitates implementation and consistency with other management system standards, e.g. related to quality, safety, security and privacy.

საინფორმაციო ნაწილი. სრული ტექსტის სანახავად შეიძინეთ სტანდარტი.