ISO 42001

Implementation & Assessment Capabilities

Independent. Certification-Ready. AI-Assured.

Cybernion

www.cybernion.com | info@cybernion.com

What is ISO 42001?

ISO/IEC 42001 is the international standard for an Artificial Intelligence Management System (AIMS). It sets out the requirements for governing the responsible development, deployment, and use of AI, with controls drawn from Annex A and guidance in Annex B. Certification is issued by an accredited certification body following a two-stage audit.

Certification Requirement

Organisations developing or deploying AI must operate a documented AIMS and pass a Stage 1 and Stage 2 audit by an accredited certification body to achieve certification.

Certification runs on a three-year cycle with annual surveillance audits, and full recertification every three years.

1 **Governance, Not Just Models**

Certification assesses how AI is governed across its lifecycle, not the accuracy of any single model.

2 **Scope Defines Certification**

Only the defined AIMS scope is certified. Every AI system in the organisation is not automatically covered.

3 **Certified by Accredited Bodies**

Certification is issued by accredited bodies. Advisors and implementers prepare you, they do not certify.

Why ISO 42001?

Compliance & Risk

Provides a structured, auditable framework for managing AI risk and obligations

Market Access

Increasingly requested in tenders, procurement, and enterprise AI due diligence

Responsible AI

Structured uplift of fairness, transparency, safety, and accountability

Regulatory Alignment

Supports readiness for emerging AI regulation and the EU AI Act

Credibility & Trust

Independently demonstrates responsible governance of AI systems

Our ISO 42001 Services

A holistic service across Advisory, Implementation, and Assessment with independence between implementation and audit roles.

ISO 42001 Advisory

- AIMS gap analysis
- AI risk and impact assessment
- Statement of Applicability design
- Scope and AI inventory support
- Annex A control guidance

ISO 42001 Implementation

- Annex A control implementation
- Evidence collection & management
- Documentation (AIMS, SoA, policies)
- Staff training and awareness
- Internal audit and management review

ISO 42001 Assessment

- Internal and pre-certification audit
- Control testing & verification
- AI risk analysis across the lifecycle
- AIMS Assessment Report
- Statement of Applicability (SoA)

ISO 42001 Certification Journey

Four stages, sustained through annual surveillance audits and three-yearly recertification.

1 Plan & Prepare

- Define scope, objectives & timeline
- Identify key AI and governance roles
- Establish communication process
- Review existing documentation

2 Scope Definition

- Map AI systems & data flows
- Build AI inventory & impact profile
- Agree applicable Annex A controls
- Define evidence requirements

3 Assess

- Internal audit and testing
- Verification against Annex A
- AI risk analysis across the lifecycle
- Management review

4 Certify

- AIMS Assessment Report
- Statement of Applicability (SoA)
- Detailed findings & recommendations
- Pathway to certification audit

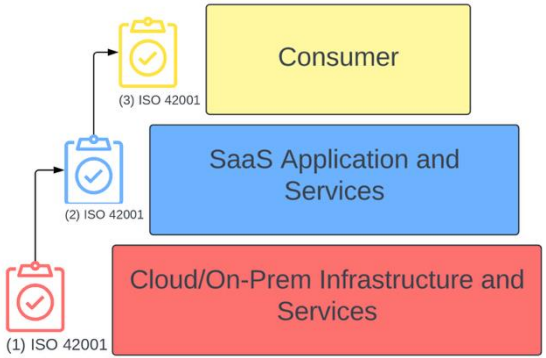
Case Study 1 - ISO 42001 Assessment

A health-tech company deploying AI-assisted triage engaged us to conduct a pre-certification assessment of its AIMS ahead of a Stage 2 audit, covering its model development pipeline, deployed inference services, and human oversight processes.

Requirements

- Assess the effectiveness of Annex A controls across the model development pipeline and deployed inference services against ISO 42001 requirements
- Assess the human oversight and escalation processes that govern AI-assisted clinical decisions
- Provide recommendations to close gaps and improve readiness for the Stage 2 certification audit

Our Solution



By auditing the AIMS against Annex A and testing real controls and oversight processes, we gave the health-tech company a clear view of its readiness and a prioritised set of actions to close before the certification audit.

Key Highlights

- **Plan and Prepare:** Define clear objectives, timeline, and comms process
- **Define the Scope:** Scope the assessment to cover the development pipeline, inference services, and human oversight processes
- **Assess:** Conduct internal audit, control verification, and AI risk analysis across the lifecycle
- **Report:** A detailed assessment report and control matrix highlighting strengths and gaps to close before Stage 2

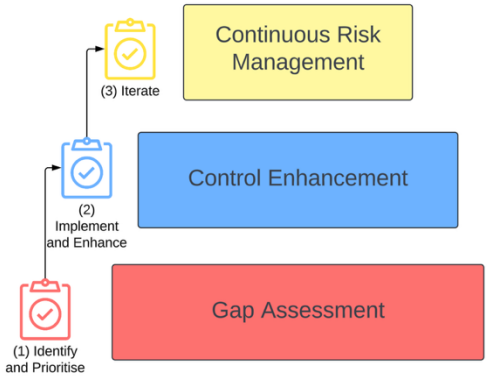
Case Study 1 - ISO 42001 Implementation

A financial services firm rolling out AI across credit and fraud decisioning needed to establish an AIMS to govern its models responsibly and achieve ISO 42001 certification.

Requirements

- Establish an AIMS aligned to ISO 42001 across credit and fraud decisioning
- Implement Annex A controls to govern fairness, transparency, and human oversight
- Prepare for Stage 1 and Stage 2 certification audits with robust, repeatable evidence
- Establish repeatable evidence collection and internal audit to sustain certification

Our Solution



A comprehensive gap analysis identified where practice fell short of ISO 42001, followed by control implementation, internal audit, and monitoring so the firm was fully prepared for certification.

Key Highlights

- **Gap Analysis:** A comprehensive assessment to identify gaps between current practice and ISO 42001 requirements
- **Control Implementation:** Design and implement Annex A controls across the AI lifecycle, from data to deployment
- **Continuous Monitoring:** Internal audit and monitoring to sustain the AIMS and maintain certification
- **Documentation and Training:** Detailed AIMS documentation and staff training to support the new controls and audit

Important ISO 42001 Artefacts

The documents your auditor will examine, and what you receive in return.

Input: What You Provide

AIMS	AIMS Scope & Context
SoA	Statement of Applicability
AIA	AI Impact Assessment
RTP	AI Risk Treatment Plan
RAP	Responsible AI Policy
AIR	AI System Inventory
DGP	Data Governance Plan
SOPs	Standard Operating Procedures
IAP	Internal Audit Programme
MRM	Management Review Minutes

+ Other policy and process documents as agreed during scoping.

Output: What You Receive

1 AIMS Assessment Report

A comprehensive evaluation of AIMS effectiveness against ISO 42001 and Annex A, covering identified AI risks, nonconformities, and their severity, with remediation guidance.

2 Statement of Applicability (SoA)

A structured mapping of Annex A controls showing which apply, their justification, and implementation status, forming the backbone of the certification audit.

Thank You

Ready to start your ISO 42001 journey? Let's talk.



Web www.cybernion.com

FAQs www.cybernion.com/insights

Email info@cybernion.com

Phone 0404 760 923

A Trusted Cyber Companion