

## Supplementary appendix – Reference standard: ISO/IEC 42001:2023

**Edition: March 2024**

### CHAPTER 1 - GENERAL

This supplementary appendix defines the additional and/or substitutive procedures applied by RINA for the certification of Artificial Intelligence Management Systems (AIMS) in relation to the requirements of the Rules for the Certification of Management Systems RC/C40.

RINA issues certification in accordance with the requirements of the ISO/IEC 17021-1:2015 and ISO/IEC DIS 42006 standards to Organizations whose Management System has been recognized as compliant with all the requirements set out in the standard:

#### **ISO/IEC 42001:2023**

### CHAPTER 2 - REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

In addition to what is established by the "Rules for the certification of Management Systems" RC/C 40, in order to obtain certification from RINA, an Artificial Intelligence Management System must initially and continuously satisfy the requirements of the ISO/IEC 42001:2023 standard, the additional requirements provided by the Accreditation Bodies for the AIMS scheme, and the applicable documents published by the IAF (example: IAF MD01, etc...).

### CHAPTER 3 - INITIAL CERTIFICATION

In addition to what is defined in the "Rules for the certification of Management Systems" RC/C 40 and in the "General contract conditions for conformity assessment activities", the following rules apply.

Organizations wishing to obtain certification of their AIMS shall send RINA, in addition to the "Information Questionnaire" form, also the specific "Annex to the information questionnaire for ISO/IEC 42001 (AIMS) offer", available on website [www.rina.org](http://www.rina.org), filled in in all its parts.

In particular, the Annex to the Information Questionnaire requires standard-specific information:

- Role of the Organization with respect to Artificial Intelligence (Producer, Developer, Provider, User, or combination of these)
- Sector of activity for which Artificial Intelligence is used
- Legislative context in which Artificial Intelligence is used
- Complexity of the data managed by AIMS
- Technological complexity of the IT infrastructure
- Use of outsourcing
- Treatment of confidential information
- Percentage of people carrying out identical activities

This information shall come from an authorized representative of the applying organization.

If the AIMS includes documentation (procedures, records, etc.) classified as "confidential" and/or in any case not available for certification purposes, RINA will evaluate the existence of the conditions to be able to continue the certification process, refusing the assignment if it is unable to comply with the confidentiality obligations for its personnel.

For the calculation of the audit time for initial certification, surveillance and recertification, reference is made to the ISO/IEC DIS 42006 standard (Tables A.1 and A.2).



Before the certification audit, RINA and the Organization agree on the necessary actions (contractual, operational and technical) to be implemented in order to provide RINA with all the information and evidence necessary for certification. This may include access to source code and "raw" data. In particular, RINA and the Organization establish in the certification agreement and mutually implement any specific safeguard measures for protected or sensitive information, intellectual property, trade secrets, technical means and infrastructures to be used.

During the stage 1, all processes covered by the AIMS linked to regional and regulatory peculiarities must be audited and evaluated, in order to allow an adequate and risk-oriented selection of the functional tests to be carried out in stage 2.

If the AIMS management system is integrated with other management systems (e.g. ISO 9001, ISO/IEC 27001), RINA shall get evidence of the presence of interfaces between them, which ensure the consistency of the implemented controls.

If, due to the needs of the Organization, the AIMS management system certification must be used for acceptance according to ISO/IEC 17065 as part of a product, service or process certification, representative samples must be taken as part of stage 2.

## **CHAPTER 4 - MAINTENANCE OF CERTIFICATION**

In addition to what is defined in the "Rules for the certification of Management Systems" RC/C 40 and in the "General contract conditions for conformity assessment activities", the following rules apply.

As part of the surveillance audits, RINA examines the documentation on any appeals and complaints received. In cases of identified non-conformities and unmet requirements, RINA verifies that the customer has investigated their AIMS, and has taken appropriate corrective actions.

The surveillance audit report will also include information on the resolution of previously detected non-conformities, as well as the version of the Statement of Applicability (SoA) and significant changes since the last audit.

## **CHAPTER 5 - RECERTIFICATION**

In addition to what is defined in the "Rules for the certification of Management Systems" RC/C 40 and in the "General contract conditions for conformity assessment activities", the following rules apply.

On the occasion of the recertification audit of the Management System, scheduled every three years, the Organization shall send to RINA, in addition to the "Information Questionnaire" form, also the specific "Annex to the information questionnaire for ISO/IEC 42001 (AIMS) offer", available on the website [www.rina.org](http://www.rina.org), completed in all its parts as described in point 3 of this regulation.

## **CHAPTER 6 - CONDUCTION OF AUDITS**

In addition to what is defined in the "Rules for the certification of Management Systems" RC/C 40 and in the "General contract conditions for conformity assessment activities", the following rules apply.

Onsite audit time can not be less than 70% of the total audit time coming out of the calculation.

## **CHAPTER 7 - MANAGEMENT OF CERTIFICATES OF CONFORMITY**

In addition to what is defined in the "Rules for the certification of Management Systems" RC/C 40 and in the "General contract conditions for conformity assessment activities", the following rules apply.

The ISO/IEC 42001 certificate of conformity is drawn according to the template in Annex B of the ISO/IEC DIS 42006 standard. In particular, it contains information regarding the "Statement of Applicability" prepared by the Organization.

## **CHAPTER 8 - MODIFICATION OF CERTIFICATION AND COMMUNICATION OF CHANGES**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) and of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.



## **CHAPTER 9 - SPECIAL REQUIREMENTS FOR MULTI-SITE ORGANISATIONS**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## **CHAPTER 10 - TRANSFER OF ACCREDITED CERTIFICATES**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## **CHAPTER 11 - SUSPENSION, REINSTATEMENT AND WITHDRAWAL OF CERTIFICATION**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) and of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.

## **CHAPTER 12 - RENUNCIATION OF CERTIFICATION**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## **CHAPTER 13 - CONTRACTUAL CONDITIONS**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) and of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.