ISO/IEC 42001
Certification Roadmap

Type: Implementation Guide

Target Audience: AI Program Managers, Quality Teams, Executive Sponsors

This roadmap provides a step-by-step guide for implementing and achieving certification for an AI Management System (AIMS) under ISO/IEC 42001. Typical timeline: 6-10 months.

Phase 1: Gap Assessment (Weeks 1-4)

Objective: Map current practices to standard requirements

Activities

- ☐ Review existing AI governance practices
- ☐ Compare current state against ISO 42001 clauses
- ☐ Identify gaps and non-conformities
- ☐ Prioritize remediation areas
- ☐ Create implementation roadmap with timelines
- ☐ Secure executive sponsorship and budget

Deliverable: Gap analysis report with prioritized action items

Phase 2: Core Implementation (Weeks 5-16)

Objective: Build the AI management system

Activities

- ☐ Establish AI policy and objectives
- ☐ Define roles and responsibilities (RACI matrix)
- ☐ Implement risk assessment procedures
- ☐ Create AI impact assessment processes
- ☐ Develop training materials and deliver training
- ☐ Build documentation framework
- ☐ Implement Annex A controls as applicable

Deliverables: AI Policy, Risk Assessment Procedure, AI Inventory Register, Training Records

Phase 3: Internal Audit (Weeks 17-20)

Objective: Verify effectiveness and identify nonconformities

Activities

☐ Train internal auditors on ISO 42001 requirements

☐ Conduct management system audit

☐ Review documentation completeness

☐ Test process implementation with evidence

☐ Identify nonconformities and observations

☐ Implement corrective actions

Deliverable: Internal audit report with corrective action plans

Phase 4: Certification Audit (Weeks 21-24)

Objective: Third-party review for certification

Stage 1: Documentation Review

☐ Submit management system documentation to certification body
☐ Auditor verifies scope and readiness
☐ Address any Stage 1 findings

Stage 2: Implementation Audit

☐ On-site assessment by certification body
☐ Interviews with personnel at all levels
☐ Review of evidence and records
☐ Verification of process implementation
☐ Address any nonconformities identified

Outcome: Certification valid for 3 years, with annual surveillance audits

Timeline Summary

Phase	Duration	Key Milestone	Status
1. Gap Assessment	Weeks 1-4	Gap report approved	[ ]
2. Implementation	Weeks 5-16	AIMS operational	[ ]
3. Internal Audit	Weeks 17-20	Audit complete, CAs closed	[ ]
4. Certification	Weeks 21-24	Certificate issued	[ ]

Key Success Factors

☐ Executive sponsorship secured
☐ Dedicated project manager assigned
☐ Cross-functional team engaged (IT, Legal, Risk, Business)
☐ Budget allocated for implementation and certification
☐ Certification body selected and contracted

Organization: _____

Project Sponsor: _____ **Date:** _____

Project Manager: _____ **Date:** _____