ISO Form 4
NEW WORK ITEM PROPOSAL (NP)

Circulation date: 2024-06-28	**Reference number:** ISO/IEC NP 25336
Closing date for voting: 2024-09-24	ISO/IEC JTC 1/SC 42
Proposer ANSI	**N 1834**
Secretariat ANSI	

A proposal for a new work item within the scope of an existing committee shall be submitted to the secretariat of that committee.

A proposal for a new project committee shall be submitted to the Central Secretariat, which will process the proposal in accordance with ISO/IEC Directives, Part 1, Clause 2.3.

Guidelines for proposing and justifying new work items or new fields of technical activity (Project Committee) are given in ISO/IEC Directives, Part 1, Annex C.

IMPORTANT NOTE: Proposals without adequate justification and supporting information risk rejection or referral to the originator.

☒   The proposer confirms that this proposal has been drafted in compliance with Annex C of ISO/IEC Directives, Part 1.

PROPOSAL

(to be completed by the proposer, following discussion with committee leadership if appropriate)

TITLE

English title:

Information technology -- Artificial intelligence -- High-level framework and guidance for the development of conformity assessment schemes for AI systems

French title:

(In the case of an amendment, revision or a new part of an existing document, show the reference number and current title)

SCOPE

This document provides a high-level framework and guidance for the development and operation of conformity assessment schemes, including certification schemes, for artificial intelligence (AI) systems.

PURPOSE AND JUSTIFICATION

The field of artificial intelligence (AI) standardization has advanced rapidly over the past decade, and as the industry matures more standards have been published to assist in the ongoing development and use of AI systems. In recent years work has been successfully undertaken to help organizations perceive, utilise and manage artificial intelligence, including the publication of ISO 42001 Information technology - Artificial intelligence - Management system in December 2023. Training, implementation and independent third-party management system certification of organizations to ISO 42001 is now well underway. This clears the field for consideration of a further interface between artificial intelligence and conformity assessment which is product certification of AI systems. This is different from management system certification. Management system certification focuses on the organization's management system for artificial intelligence. In contrast under product certification, specific AI systems themselves become the object of conformity assessment, and not the organization. Under product certification, AI systems are generally understood to be new types of intangible products, processes and/or services (including subscription services). As a result new types of conformity assessment and certification schemes are emerging to cover AI systems. There are differences in the conformity assessment and certification of traditional tangible products and the new intangible AI systems. Presently there is gap in international guidance on how new conformity assessment and certification schemes could be structured, developed and implemented to cover AI systems. This document is intended to address that gap by providing guidance in the form of an internationally standardized high-level framework for schemes which assess of the conformity of AI systems to specified requirements (including regulatory compliance requirements and requirements in industry standards), and builds on existing relevant management system standards (e.g. ISO 42001). The framework is based on the generic guidance for product certification schemes (i.e. ISO/IEC 17067, including type 5 and type 6 schemes), and supporting documents on tangible product certification (ISO/IEC TR 17026), service certification (ISO/IEC TR 17028) and process certification (ISO/IEC TR 17032). It also reflects thought leadership on 'joint certification' and accreditation application requirements related to the acceptance of conformity assessment schemes (IAF MD25).
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Sustainable Development Goals (SDGs)

Goal 3: Good Health and Well-Being for People
Goal 8: Decent Work and Economic Growth
Goal 9: Industry, Innovation, and Infrastructure
Goal 16: Peace, Justice and Strong Institutions

Preparatory work

☐ A draft is attached   ☒ An outline is attached   ☐ An existing document serving as the initial basis is attached

The proposer is prepared to undertake the preparatory workrequired:

☒ Yes   ☐ No

If a draft is attached to this proposal:

Please select from one of the following options:

☒ The draft document can be registered at Preparatory stage (WD – stage 20.00)

☐ The draft document can be registered at Committee stage (CD – stage 30.00)

☐ The draft document can be registered at enquiry stage (DIS – stage 40.00)

If the attached document is copyrighted or includes copyrighted content:

☐ The proposer confirms that copyright permission has been granted for ISO to use this content in compliance with the ISO/IEC Directives, Part 1 (see also the Declaration on copyright).

Is this proposal for an ISO management System Standard (MSS)?

☐ Yes ☒ No

Note: If yes, this proposal must have an accompanying justification study. Please see the Consolidated Supplement to the ISO/IEC Directives, Part 1, Annex SL or Annex JG

Indication of the preferred type to be developed

☒ International Standard ☐ Technical Specification

☐ Publicly Available Specification *

* While a formal NP ballot is not required to start developing a PAS (no eForm04), the NP form may provide useful information for the committee P-members to consider when deciding to initiate a Publicly Available Specification.

Proposed Standard Development Track (SDT – to be discussed by the proposer with the committee manager or ISO/CS)

☐ 18 months ☐ 24 months ☒ 36 months

Draft project plan (as discussed with committee leadership)

Proposed date for first meeting: 2024-10-30

Dates for key milestones: Circulation of 1st Working Draft (if any) to experts: 2024-12-31

Committee Draft consultation (if any):   2025-10-30

DIS submission*:   2026-07-31

Publication*:   2027-07-30

* Target Dates for DIS submission and Publication should be set a few weeks ahead of the limit dates automatically determined when selecting the SDT.

NOTE: ISO/Meetings and ISO/Projects allow you to register and continuously update the meeting dates and project target dates during the development of the project.

Known patented items (see ISO/IEC Directives, Part 1 for important guidance)

☐ Yes ☒ No

If "Yes", provide full information as annex

Co-ordination of work: To the best of your knowledge, has this or a similar proposal been submitted to another standards development organization? ☐ Yes ☒ No If "Yes", please specify which one(s):	

Listing of relevant documents (such as standards and regulations) at international, regional and national level

See the Bibliography in the attached draft document

Identification and description of relevant affected stakeholder categories (Please see ISO CONNECT)

	Benefits/Impacts/Examples
Industry and commerce - large industry	This document helps reduce complexity and uncertainty and increases confidence in the development, selection and use of AI systems. It does this by providing an internationally standardized framework for assessing the conformity of AI systems to specified requirements (regulatory compliance and industry standard conformity), and also references relevant management system standards. This document can be used as a benchmark by large industry to develop, analyse, compare and select AI systems that have been accepted under credible conformity assessment and certification schemes
Industry and commerce - SMEs	This document reduces complexity and uncertainty and increases confidence in the development, selection and use of AI systems. There will be a reduced need for SME's to access and invest in their own resources in identifying and analysing suitable AI systems if those AI systems have already been assessed and certified under credible conformity assessment and certification schemes that follow this framework. This will save time and expense for SMEs.
Government	This document can be used as guidance and a benchmark by AI regulators to ensure credible AI system conformity assessment and certification schemes exist and assist in demonstrating regulatory compliance. It allows the regulator on behalf of societies to provide expectations about conformity assessment and certification on the suitability and safety of AI systems.
Consumers	This document provides an internationally standardized framework for assessing the conformity of AI systems to specified requirements (regulatory compliance and industry standard conformity). As such consumers can have confidence in their involvement and use of AI systems which are assessed and certified by credible and understandable conformity assessment and certification schemes.
Labour	This document provides an internationally standardized framework for assessing the conformity of AI systems to specified requirements (regulatory compliance and industry standard conformity). As such labour can have confidence in the safety and use of AI systems which are assessed and certified by credible and understandable conformity assessment and certification schemes
Academic and research bodies	This document provides an internationally standardized framework for assessing the conformity of AI systems to specified requirements (regulatory compliance and industry

	standard conformity). Academic and research interests can use this document as a resource setting out minimum expectations for conformity assessment and certification schemes for AI systems, and as a benchmark to research, compare and contrast different AI system schemes in terms of coverage and performance.
Standards application businesses	This document provides an internationally standardized framework for assessing the conformity of AI systems to specified requirements (regulatory compliance and industry standard conformity). It includes minimum expectations for conformity assessment and certification schemes. It can be used by all AI stakeholders, including AI partners such as scheme developers and owners, certification bodies and accreditation bodies. The intent is to assist the conformity assessment community to quickly and appropriately respond to rapidly developing conformity assessment needs in this new sector.
Non-governmental organizations	This document provides an internationally standardized framework for assessing the conformity of AI systems to specified requirements (regulatory compliance and industry standard conformity). As such NGOs can have confidence in the transparent and appropriate use of AI systems which are assessed and certified by credible and understandable conformity assessment and certification schemes
Other (please specify)	

Liaisons:	Joint/parallel work:
A listing of relevant external international organizations or internal parties (other ISO and/or IEC committees) to be engaged as liaisons in the development of the deliverable. • ISO/CASCO ISO Policy Development Committee on Conformity Assessment (CASCO) • IEC/ CAB IEC Conformity Assessment Board (CAB) • ISO/IEC JTC 1/SC 27 Information security, cybersecurity and privacy protection • ISO/IEC JTC 1/SC 40 IT service management and IT governance • CEN/CLC/JTC 21 Artificial Intelligence	**Possible joint/parallel work with:** ☐ IEC (please specify committee ID) ☒ CEN (please specify committee ID) CEN/CENELEC JTC 21 ☒ Other (please specify) ISO CASCO

A listing of relevant countries which are not already P-members of the committee.

All

Note: The Committee Manager shall distribute this NP to the ISO members of the countries listed above to ask if they wish to participate in this work

Proposed Project Leader (name and e-mail address)	**Name of the Proposer** (include contact information)
Suzanne Kuch Susanne.Kuch@dakks.de	John Calhoon John.Calhoon@microsoft.com

This proposal will be developed by:
☒ An existing Working Group: ISO/IEC JTC 1/SC 42/WG 1 Foundational standards
☐ A new Working Group:
(Note: establishment of a new Working Group requires approval by the parent committee)
☐ The TC/SC directly
☐ To be determined:

Supplementary information relating to the proposal
☒ This proposal relates to a new ISO document
☐ This proposal relates to the adoption as an active project of an item currently registered as a Preliminary Work Item
☐ This proposal relates to the re-establishment of a cancelled project as an active project
Other:

Maintenance agencies (MA) and registration authorities (RA)
☐ This proposal requires the designation of a maintenance agency. If so, please identify the potential candidate:
☐ This proposal requires the designation of a registration authority. If so, please identify the potential candidate: NOTE: Selection and appointment of the MA or RA are subject to the procedure outlined in ISO/IEC Directives, Part 1, Annex G and Annex H.
☒ Annex(es) are included with this proposal (provide details)

Additional information/question(s)