Application for AIMS Certification

ISO/IEC 42001:2023

DOCUMENT CONTROL

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DOCUMENT OWNER	Management Representative	**ISSUE DATE**	25 September 2026
PREPARED BY	VISTA InfoSec (CB)	**REVIEWED BY**	Management Representative
APPROVED BY	Chief Executive Officer	**NEXT REVIEW**	Twelve months from issue

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ISSUE & AMENDMENT RECORD

Sl. No.	ISSUE / REV	Issue / Amendment	Date	Affected section/page	Remarks	Approved by
1	--	Initial issue Application & Review	07 Aug, 26	Full document	Initial controlled issue	Chairman/CEO
2	01 Rev 1.0	Revision 1.0 — Application & Review	26 Aug, 26	Full document	Controlled Revision	Chairman/CEO
2	01 Rev 1.1	Revision 1.1 — Application & Review (AIMS)	25 Sep,26	Full document	Controlled Revision	Chairman/CEO

Read before using this form

Part A is completed and signed by the applicant organization. **Part B** (Application Review) and **Part C** (Audit Team Nomination) are completed by VISTA InfoSec only.

Answer every question. Where a field is not applicable, write "N/A". Where information is provided in an attached document, enter the document name and reference. Tick boxes can be clicked in Microsoft Word.

This form gathers the information required by ISO/IEC 17021-1:2015 clause 9.1 and ISO/IEC 42006 for a certification body to determine scope, AI-related complexity, audit time and audit team competence for ISO/IEC 42001:2023 certification.

PART A

Application — completed by the client

ISO/IEC 17021-1 cl. 9.1.1 · ISO/IEC 42006 · ISO/IEC 42001:2023

A1. Organization and legal entity

Legal name of the organization to be certified (*As registered; this name will appear on the certificate)*	
Applicant / client name, if different: (*If the applicant differs from the organization to be certified, give full details and the relationship)*	
Legal status and registration details *e.g. CIN / company registration no., GSTIN, PAN, year of incorporation*	
Registered office address	
Head office / main site address (*If different from registered office)*	
Parent group or holding company, if any (*Name, country and relationship to the applicant)*	
Website address	
Description of business activities *Products and services; or reference to attached documentation)*	

2. Contact details

Role	Name and designation	E-mail	Mobile / telephone
Authorized representative (signatory)			
AIMS management representative / primary contact			
Alternate contact			
Accounts / billing contact			

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A3. Certification requested

Standard	☐ ISO/IEC 42001 :2023 — Artificial intelligence management system
Type of service	☐ Initial certification ☐ Recertification ☐ Transfer of certification ☐ Extension / reduction of scope
Accreditation preference	☐ Accredited certification ☐ non-accredited certification
Existing management system certifications *e.g. ISO/IEC 27001, ISO/IEC 27701, ISO 9001 — standard, certification body, certificate no., expiry*	
Integrated / combined audit requested? (*With which standard(s))*	☒ Yes ☐ No Details:
For transfer: current certification body and certificate details (*Attach current certificate and the last two audit reports, with status of open nonconformities)*	

A4. Proposed scope of AIMS certification

Proposed scope statement *Activities, products/services and AI systems to be covered, as should it appear on the certificate*	
Organizational role(s) in relation to AI*(Tick all that apply (ISO/IEC 22989 roles)*	☐ AI provider ☐ AI producer / developer ☐ AI customer / user ☐ AI partner (e.g. data or tool supplier) ☐ Other:
AI life cycle stages within scope *Tick all that apply*	☐ Inception / design ☐ Data acquisition and preparation ☐ Model building / training ☐ Verification and validation ☐ Deployment ☐ Operation and monitoring ☐ Retirement
Business units, functions or processes excluded from scope, with justification	
Annex A controls determined not applicable in the Statement of Applicability*(Control reference and justification (or attach SoA)*	
Organizational structure *(Or attach organogram showing AIMS roles and responsibilities)*	

A5. Sites, personnel and shifts: *List of every location (permanent, temporary and virtual) proposed for inclusion, starting with the head office. Personnel = all persons doing work under the organization's control whose work is involved in the AIMS, including contractors and remote workers.*

Site name and address	Type (HO / branch / DC / virtual / temporary)	Total personnel at site	Personnel in AIMS scope	Shifts and timings	AI activities and processes performed at site

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Total personnel in AIMS scope (all sites) *Full-time, part-time, contractors — state each separately*	
Number of personnel working remotely / from home within scope	
Are the same processes performed at all sites under one central AIMS? *Relevant for multi-site sampling (IAF MD 1)*	☐ Yes ☐ No ☐ N/A
Personnel performing repetitive, identical tasks*(Number and nature of tasks, if any)*	

A6. AI system inventory (*Provide one row per AI system within scope or attach your AI system inventory.*

AI system name	Purpose / intended use	Type (ML, GenAI / LLM, CV, NLP, rule-based)	Developed in-house or third-party model / API	Data used (personal / sensitive?)	Autonomy and human oversight level	Internal or customer-facing

A7. Regulatory, risk and complexity profile

Question	Response	Details / reference
Do any AI systems make or support decisions with legal or similarly significant effects on individuals (e.g. credit, hiring, health, education, access to services)?	☐ Yes ☐ No	
Would any AI system be classified as high-risk under an applicable framework (e.g. EU AI Act)?	☐ Yes ☐ No	
Do AI systems process personal data or sensitive personal data (e.g. under India's DPDP Act 2023, GDPR)?	☐ Yes ☐ No	
Does the organization train or fine-tune models on its own or customer data?	☐ Yes ☐ No	
Are generative AI or foundation models used or offered?	☐ Yes ☐ No	
Are AI systems used in safety-critical or physical environments?	☐ Yes ☐ No	
Have AI risk assessments been completed (ISO/IEC 42001 cl. 6.1.2 / 8.2)?	☐ Yes ☐ No	
Have AI system impact assessments been completed (cl. 6.1.4 / 8.4)?	☐ Yes ☐ No	
Have there been any AI-related incidents, complaints or regulatory actions in the past 3 years?	☐ Yes ☐ No	

Applicable legal, regulatory and contractual requirements relating to AI *e.g. EU AI Act, DPDP Act 2023, GDPR, sector regulators (RBI, SEBI, IRDAI, CDSCO), customer contracts*	

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A8. Outsourced processes and third parties :*Include outsourced processes that affect conformity of the AIMS, and third-party AI components (models, APIs, datasets, cloud / MLOps platforms, labelling services).*

Supplier / provider	Process, component or service	How it is controlled (contract, SLA, assessment)	Location

A9. Consultancy

Has any consultancy been used for AIMS / ISO/IEC 42001 implementation?	☐ Yes ☐ No
If yes: consultant name, organization and period of engagement *(Needed to assess threats to impartiality (ISO/IEC 17021-1 cl. 5.2)*	

A10. AIMS implementation status and readiness

Readiness criterion	Status	Date / details
AIMS has been in operation for at least three months	☐ Yes ☐ No	
At least one full internal audit covering all clauses and applicable Annex A controls has been completed	☐ Yes ☐ No	Date:
At least one management review has been completed	☐ Yes ☐ No	Date:
Corrective actions from the internal audit are implemented or planned	☐ Yes ☐ No	
AI policy, AI objectives and Statement of Applicability are approved	☐ Yes ☐ No	

A11. Restricted or confidential information: **Please indicate any AIMS-related information that cannot be made available to the audit team due to confidentiality, proprietary, or customer restrictions, along with the reason and proposed alternative means of verification (e.g., controlled demonstration, supervised access, redacted records, or sampling).**

A12. Audit logistics

Preferred language(s) for the audit	
Can parts of the audit be conducted remotely (ICT)? *Available platforms and any restrictions (IAF MD 4)*	☐ Yes ☐ No Platform:
Site access, health and safety or security clearance requirements for auditors	
Preferred timeframe for Stage 1 and Stage 2 audits	

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A13. Documented information for Stage 1 (*Enclose the following, or tick "Available on site" if the Stage 1 documentation review is to take place at your premises).*

Document	ISO/IEC 42001 clause	Enclosed	Available on site
Scope of the AIMS	4.3	☐	☐
Context: internal / external issues and interested parties	4.1, 4.2	☐	☐
AI policy	5.2	☐	☐
Roles, responsibilities and authorities for AI	5.3	☐	☐
AI objectives and plans to achieve them	6.2	☐	☐
AI risk assessment process and results	6.1.2, 8.2	☐	☐
AI risk treatment process, plan and results	6.1.3, 8.3	☐	☐
Statement of Applicability (with justification of inclusions and exclusions)	6.1.3	☐	☐
AI system impact assessment process and results	6.1.4, 8.4	☐	☐
Evidence of competence	7.2	☐	☐
Operational planning and control, incl. AI system life cycle records	8.1, Annex A.6	☐	☐
Data management / data quality documentation	Annex A.7	☐	☐
Monitoring, measurement, analysis and evaluation results	9.1	☐	☐
Internal audit programme and report	9.2	☐	☐
Management review minutes	9.3	☐	☐
Nonconformity and corrective action records	10.2	☐	☐
AI system inventory	A6 of this form	☐	☐

A14. Documents provided by VISTA InfoSec

The following are provided with this form and are also available at https://www.vistainfosec.com. Please confirm receipt:

Document	Received
Certification agreement	☐
Description of the certification process (initial audit, surveillance, recertification)	☐
Complaints and appeals process	☐
Rules for use of certificates and certification marks	☐
Normative requirements for certification, as applicable	☐

A15. Declaration and authorization

1. The information in this application and its attachments is complete and accurate. We understand that the application may be rejected, or certification suspended or withdrawn, if any information is found to be incorrect.
2. We will comply with the requirements of the certification body and the certification agreement and pay all applicable charges.

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3. We will give the audit team access to sites, personnel, records and AI systems needed to evaluate conformity, and will allow accreditation-body witness audits where required.
4. We will inform the certification body without delay of changes affecting the AIMS or its scope, including changes in legal status, ownership, top management, sites, AI systems, significant AI incidents or regulatory actions.
5. We will make claims about certification only for the certified scope and will stop using the certificate and marks immediately if certification is suspended, withdrawn or terminated, and return the certificate.
6. We have been informed of our right to object to any nominated audit team member with justification.
7. We consent to the certification body processing the information in this form for the purpose of certification, subject to its confidentiality obligations.

Name of authorized representative	
Designation	
Signature and company seal	
Date and place	

Payment details	Receipt / UTR no.	Date	Amount (INR)
Application fee			

Please attach any further information that may help us prepare an accurate quotation, such as brochures or product descriptions. Thank you for choosing VISTA InfoSec.

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PART B

Application review — VISTA InfoSec use only

ISO/IEC 17021-1 cl. 9.1.2 – 9.1.5 · ISO/IEC 42006 · IAF MD 1 / MD 4 / MD 5

B1. Review details

Client name		**Client ref. / reg. no.**	
Application received on		**Review completed on**	
Reviewed by		**Quotation ref.**	

B2. Review checklist

Review criterion	Result	Remarks
Information about the client and its AIMS is sufficient to develop the audit programme	☐ Yes ☐ No ☐ N/A	
Any known difference in understanding between VISTA InfoSec and the client has been resolved	☐ Yes ☐ No ☐ N/A	
The requested scope is clearly defined and appropriate; exclusions and non-applicable Annex A controls are justified	☐ Yes ☐ No ☐ N/A	
Legal entity, sites, personnel numbers and shifts are consistent across the application	☐ Yes ☐ No ☐ N/A	
Website and public information reviewed and consistent with the application	☐ Yes ☐ No ☐ N/A	
AI systems, AI role(s) and life cycle stages in scope are identified	☐ Yes ☐ No ☐ N/A	
Applicable AI-related legal and regulatory requirements are identified	☐ Yes ☐ No ☐ N/A	
Outsourced processes and third-party AI components are identified	☐ Yes ☐ No ☐ N/A	
Readiness: internal audit and management review completed	☐ Yes ☐ No ☐ N/A	
Restrictions on access to confidential information allow effective audit	☐ Yes ☐ No ☐ N/A	
VISTA InfoSec holds the competence and accreditation scope (technical area) to perform the audit	☐ Yes ☐ No ☐ N/A	
Means are available to carry out all audit activities (on-site / remote, language, safety)	☐ Yes ☐ No ☐ N/A	
No unacceptable threat to impartiality (consultancy, related bodies, prior services within 2 years)	☐ Yes ☐ No ☐ N/A	
For transfer: pre-transfer review completed and current certificate is valid	☐ Yes ☐ No ☐ N/A	

Contradictory or additional information required from client *If yes, list and attach*	☒ Yes ☐ No Details:

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B3. Technical area and AI complexity

Technical area / sector	☐ IT / software and SaaS ☐ Banking, financial services and insurance ☐ Healthcare and life sciences ☐ Manufacturing and engineering ☐ Education ☐ Public administration ☐ Other:

Complexity factor	Rating	Justification
Number and diversity of AI systems in scope	☐ High ☐ Med ☐ Low	
Life cycle stages performed (development and training vs. use only)	☐ High ☐ Med ☐ Low	
Level of autonomy and extent of human oversight	☐ High ☐ Med ☐ Low	
Potential impact on individuals and society / high-risk use	☐ High ☐ Med ☐ Low	
Personal or sensitive data processed	☐ High ☐ Med ☐ Low	
Regulatory exposure (number and stringency of frameworks)	☐ High ☐ Med ☐ Low	
Dependence on third-party models, data and platforms	☐ High ☐ Med ☐ Low	
Number of sites and geographical spread	☐ High ☐ Med ☐ Low	
Overall, AI complexity	☐ High ☐ Med ☐ Low	

B4. Audit time determination

Calculated per procedure VI/AIMS/P07 (Audit Time Determination), ISO/IEC 42006 and IAF MD 5. Base time is determined from the effective number of personnel in scope; adjustments must be justified and total reduction must not exceed the limit in VI/AIMS/AA-04.

Effective number of personnel in scope *Show calculation incl. part-time, shift and repetitive-task adjustments*	
Base audit time (initial certification, man-days)	
Adjustments (+ / –) with justification *e.g. AI complexity, high-risk AI, regulatory exposure, integrated audit, prior certification*	
Nature of processes	☐ Repetitive ☐ Non-repetitive
Remote audit portion (%) and justification *Per IAF MD 4*	

Man-days	Stage 1	Stage 2	Surveillance (each)	Recertification
On-site				
Remote				
Total				

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B5. Multi-site sampling (*Complete where more than one site is in scope (IAF MD 1).*

Site	HO	Site 1	Site 2	Site 3	Site 4	Site 5	Site 6	Site 7
Stage 1 MD								
Stage 2 MD								
Sampled (Y/N)								
Multi-site eligibility and sampling justification								

B6. Application review decision

Decision	☐ Accepted ☐ Accepted subject to clarification ☐ Not accepted
Certification type	☐ Accredited ☐ Non-accredited
Reason, if not accepted *Client to be notified in writing*	
Decision communicated to client on	

B7. Application review summary

Client and legal entity	
Scope for certification	
AI role(s) and life cycle stages	
AI systems in scope (no. and key types)	
Sites / personnel in scope	
Overall AI complexity	
Technical area	
Total audit time (Stage 1 + Stage 2)	
Key risks, issues or conditions noted	
Recommended audit team competence	
Overall conclusion	

	Reviewed by	Approved by (MR)
Name		
Signature		
Date		

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PART C

Audit team nomination — VISTA InfoSec use only

ISO/IEC 17021-1 cl. 9.2.2 – 9.2.3 · ISO/IEC 42006 competence requirements

C1. Audit details

Client name		**Client ref. / reg. no.**	
Audit type		**Audit mode (on-site / remote / hybrid)**	
Stage 1 dates		**Stage 2 dates**	
Audit language		**Technical area**	

C2. Competence required vs. team coverage

Confirm that the team as a whole holds each competence needed for this client. Name the team member(s) providing it.

Competence area	Covered	Team member(s)
ISO/IEC 42001 requirements and AIMS audit principles (lead auditor qualified)	☐ Yes ☐ No	
AI technologies used by the client (e.g. machine learning, generative AI, computer vision)	☐ Yes ☐ No	
AI system life cycle, data management and data quality	☐ Yes ☐ No	
AI risk assessment and AI system impact assessment methods	☐ Yes ☐ No	
Responsible AI: fairness, transparency, explainability, robustness, human oversight	☐ Yes ☐ No	
Applicable AI, privacy and sector legal / regulatory requirements	☐ Yes ☐ No	
Information security and privacy (where integrated or relevant)	☐ Yes ☐ No	
Sector / technical area knowledge of the client	☐ Yes ☐ No	
Language and cultural understanding	☐ Yes ☐ No	

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C3. Audit team nomination

Role	Name	Qualification / AI competence	Stage 1 (MD)	Stage 2 (MD)	Qualified for this technical area
Lead auditor					☐ Yes ☐ No
Auditor					☐ Yes ☐ No
Technical expert					☐ Yes ☐ No
Auditor-in-training					☐ Yes ☐ No
Observer / witness					☐ Yes ☐ No

Technical experts provide knowledge only and do not act as auditors; auditors-in-training and observers work under the direction of the lead auditor.

C4. Impartiality and confidentiality declaration by team members

Each team member declares that they have not provided consultancy, internal audit or other services to the client or its related bodies in the last two years, have no financial, family or other relationship that could threaten impartiality, and will keep all client information confidential.

Name	Conflict of interest identified? (details)	Signature	Date

C5. Nomination approval and client communication

Team nominated by (name, signature, date)	
Nomination approved by MR (name, signature, date)	
Team details, with background of each member, sent to client on	
Client objection to any team member? *Objection must be justified*	☐ Yes ☐ No
If yes: reason and action taken (replacement / justification)	
Client acceptance of audit team (name, signature, date)	

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