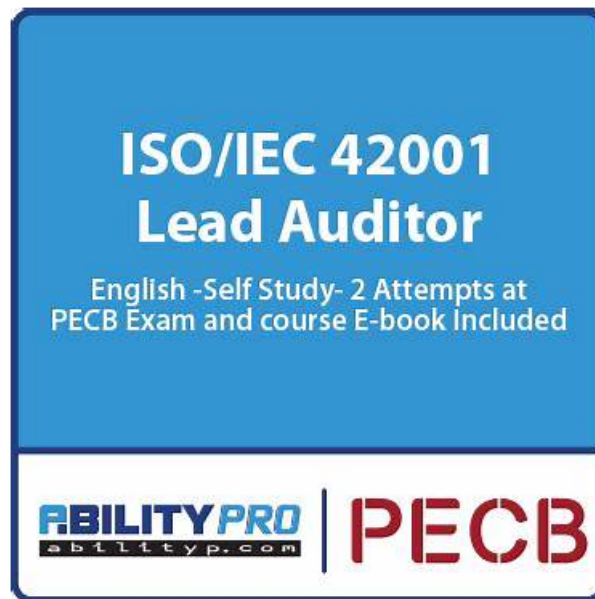


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## PECB ISO-IEC-42001-Lead-Auditor Exam Syllabus Topics:

Topic	Details
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Topic 1	<ul style="list-style-type: none"> <li>Preparing an ISO</li> <li>IEC 42001 audit: This section of the exam measures the skills of a Lead Auditor and covers how to plan and prepare for an AI management system audit. It includes creating audit plans, selecting team members, and setting clear objectives to ensure a smooth audit process.</li> </ul>
Topic 2	<ul style="list-style-type: none"> <li>Managing an ISO</li> <li>IEC 42001 audit program: This section of the exam measures the skills of an AI Compliance Officer and deals with overseeing an entire audit program. It involves managing multiple audits, tracking audit performance, and aligning audit outcomes with broader organizational goals related to AI governance.</li> </ul>
Topic 3	<ul style="list-style-type: none"> <li>Closing an ISO</li> <li>IEC 42001 audit: This section of the exam measures the skills of an AI Compliance Officer and explains how to complete the audit process. It includes reporting findings, managing nonconformities, and conducting follow-ups to ensure continuous improvement and compliance.</li> </ul>
Topic 4	<ul style="list-style-type: none"> <li>AI management system requirements: This section of the exam measures the skills of a Lead Auditor and focuses on understanding the key requirements outlined in ISO</li> <li>IEC 42001. It explains how organizations should structure their AI-related activities and processes to meet compliance standards effectively.</li> </ul>
Topic 5	<ul style="list-style-type: none"> <li>Fundamental principles and concepts of an AI management system: This section of the exam measures the skills of an AI Compliance Officer and covers the basic principles of artificial intelligence, including ethical use, trustworthiness, and transparency. It introduces the purpose and importance of having an AI management system in place for responsible AI governance.</li> </ul>
Topic 6	<ul style="list-style-type: none"> <li>Fundamental audit concepts and principles: This section of the exam measures the skills of a Lead Auditor and outlines essential audit concepts such as evidence collection, impartiality, objectivity, and ethical conduct. It introduces the core principles that form the foundation of a reliable and consistent auditing process.</li> </ul>

## PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q16-Q21):

### NEW QUESTION # 16

Scenario 2 (continued):

Empsy HR Solutions is a human resources consulting company that provides innovative HR solutions to diverse industries. Recognizing the significant impact of artificial intelligence AI in HR processes, including its ability to automate repetitive tasks, analyze vast amounts of data for insights, improve recruitment and talent management strategies, and personalize employee experiences, the company has initiated the implementation of an artificial intelligence management system AIMS based on ISO/IEC 42001.

Initially, the top management established an AI policy that was aligned with the company's objectives. The AI policy provided a framework for defining AI objectives, a commitment to meeting relevant requirements, and a dedication to continually improve the AIMS. However, it did not refer to other organizational policies, although some were relevant to the AIMS. Afterward, the top management documented the policy, communicated it internally, and made it accessible to interested parties.

The top management designated specific individuals to ensure that the AIMS meets the standard's requirements. Additionally, they ensured that these individuals were responsible for overseeing the AIMS, reporting its performance to the top management, and facilitating continual improvement. Moreover, in its awareness sessions, the company focused exclusively on ensuring that all personnel were informed about the AI policy, emphasizing their role in ensuring the effectiveness of the AIMS and the benefits of enhanced AI performance.

The company also planned, implemented, and monitored processes to meet AIMS requirements. Additionally, it set clear criteria and implemented controls based on them, ensuring effective operation, alignment with organizational objectives, and continual improvement. Empsy HR Solutions decided to implement strict measures to control changes to documented information within the AIMS. To ensure the integrity and accuracy of documentation, the company adopted version control practices. Each document update was tracked using a versioning system, with clear records of what was modified, who made the changes, and when the updates occurred. Access to make changes was restricted to authorized personnel, and any proposed modifications required approval from the designated management team before being implemented.

Moreover, considering past experiences where the company encountered unforeseen risks, Empsy HR Solutions established a comprehensive AI risk assessment process. This process involved identifying, analyzing, and evaluating AI risks to determine if it

is necessary to implement additional controls than those specified in Annex A. The company also referred to Annex B for guidance on implementing controls and, ultimately, produced a Statement of Applicability SoA. The SoA contained the necessary controls, including all the controls of Annex A and justifications for their inclusion or exclusion.

Lastly, Empsy HR Solutions decided to establish an internal audit program to ensure the AIMS conforms to both the company's requirements and ISO/IEC 42001. It defined the audit objectives, criteria, and scope for each audit, selected auditors, and ensured objectivity and impartiality during the audit process. The results of the first audit were documented and reported only to the top management of the company.

Question:

According to Scenario 2, were the risks addressed in accordance with the ISO/IEC 42001 requirements?

- **A. No, the company must also establish a risk treatment process**
- B. Yes, the risks were identified, analyzed, and evaluated
- C. No, the risks should be evaluated and treated and then analyzed
- D. Yes, risks only need to be identified for certification

**Answer: A**

Explanation:

ISO/IEC 42001 Clause 6.1.2 requires that risks must not only be identified, analyzed, and evaluated but also treated appropriately. In Scenario 2, Empsy HR Solutions identified and evaluated risks but did not establish a risk treatment process, violating ISO/IEC 42001 requirements.

Reference: ISO/IEC 42001:2023 Clause 6.1.2 (Actions to Address Risks and Opportunities).

### NEW QUESTION # 17

Scenario 3: Heala specializes in developing AI-driven solutions for the healthcare sector. With a keen focus on leveraging AI to revolutionize patient care, diagnostics, and treatment planning, the company has implemented an Artificial Intelligence Management System (AIMS) based on ISO/IEC 42001. After a year of having the AIMS in place, the company decided to apply for a certification audit.

It contracted a local certification body, who established the audit team and assigned the audit team leader.

Augustine, the designated audit team leader, has a wide range of skills relevant to various auditing domains.

His proficiency encompasses audit principles, processes, and methods, as well as standards for management systems and additional references. Furthermore, he is knowledgeable about Heala's context and relevant statutory and regulatory requirements.

Augustine first gathered management review records, interested party feedback logs, and revision histories for Heala's AIMS. This crucial step laid the groundwork for a deeper investigation, which included conducting comprehensive interviews with key personnel to understand how feedback from interested parties directly influenced updates to the AIMS and its strategic direction. Augustine's thorough evaluation process aimed to verify Heala's commitment to integrating the needs and expectations of interested parties, a critical requirement of ISO/IEC 42001.

Augustine also integrated a sophisticated AI tool to analyze large datasets for patterns and anomalies, and thus have a more informed and data-driven audit process. This AI solution, known for its ability to sift through vast amounts of data with unparalleled speed and accuracy, enabled Augustine to identify irregularities and trends that would have been nearly impossible to detect through manual methods. The tool was also helpful in preparing hypotheses based on data.

During the audit, Augustine failed to fully consider Heala's critical processes, expectations, the complexity of audit tasks, and necessary resources beforehand. This oversight compromised the audit's integrity and reliability, reflecting a significant deviation from the diligence and informed judgment expected of auditors.

Based on the scenario above, answer the following question:

Did Augustine possess the knowledge and skills required to be appointed as an audit team leader?

- **A. Yes, Augustine had the required knowledge and skills to exercise the role of an auditor**
- B. No, Augustine did not possess knowledge on Heala's operations and products
- C. No, Augustine lacked understanding of Heala's organizational structure, objectives, and management practices necessary for an auditor

**Answer: A**

Explanation:

According to ISO/IEC 17021-1:2015 (used for auditor competence requirements in management system certification), audit team leaders must demonstrate competence in:

Understanding of audit principles, processes, and methods

Knowledge of relevant standards (such as ISO/IEC 42001)

Familiarity with organizational context, statutory/regulatory frameworks, and management systems Ability to collect and evaluate

objective evidence Communication and leadership skills Based on the scenario:

Augustine had deep knowledge of ISO/IEC 42001, audit principles, regulatory requirements, and Heala's context.

He reviewed strategic documents, conducted interviews, and applied AI tools effectively to enhance evidence- based auditing.

His oversight in audit planning (failing to evaluate complexity, resources, and expectations) reflects a lapse in planning diligence, not a lack of knowledge or qualification.

Therefore, Augustine met the knowledge and skill requirements of an auditor and audit team leader. His failure in audit planning relates to execution, not competency, so Option C is correct.

Reference:

ISO/IEC 17021-1:2015, Clause 7.2.5 - Competence of audit team leader

ISO/IEC 42001:2023, Clause 9.2 - Internal audit

PECB ISO/IEC 42001 Lead Auditor Guide, Chapter 5 - Auditor competencies and ethical conduct ChatGPT said:

### NEW QUESTION # 18

Scenario 1 (continued):

To ensure the integrity of the AI system, Future Horizon Academy has implemented measures to ensure that training data remain isolated from data that could lead to harmful or undesirable outcomes. The institution adds significant data elements as metadata, transforms the data into a format usable by the AI system, and uses data from one or more trusted sources.

Committed to standardization and continual improvement, Future Horizon Academy decided to implement an artificial intelligence management system (AIMS) based on ISO/IEC 42001 that would help the institution increase operational efficiency, resulting in improved processes.

After having the AIMS in place for a year, the institution decided to apply for a certification audit to get certified against ISO/IEC 42001. Prior to the certification audit, the institution conducted an internal audit and management review to ensure that the AIMS aligns with the institution's own requirements and that the system is being maintained effectively.

Question:

Based on functionality, what type of AI system did Future Horizon Academy establish?

- A. Reactive machines
- B. General AI
- C. Limited memory
- D. Theory of mind

**Answer: C**

Explanation:

The AI system described uses training data and prior experience (historical data) to make decisions, which matches Limited Memory systems. ISO/IEC 22989:2022 (supportive reference) categorizes Limited Memory AI as those that rely on past data and metadata to improve decision making, and ISO/IEC 42001 refers to AI functionality understanding under Clause 4.2 when considering context and system type.

Reference: ISO/IEC 22989:2022 Section 5.2.3; ISO/IEC 42001:2023 Clause 4.2.

### NEW QUESTION # 19

In which situations does an auditor have the right to decline the audit mandate?

- A. When the allocated time for conducting the audit does not allow for a thorough assessment of the management system
- B. When clear problems exist related to the experience and language proficiency of the auditee's employees
- C. When the auditee is unwilling to provide documented information in advance
- D. When technical experts have not been assigned to participate in the audit

**Answer: A**

Explanation:

Auditors have the right and responsibility to ensure that audits are conducted effectively. According to ISO 19011:2018 and ISO/IEC 17021-1:2015, if the audit time allocated is insufficient to conduct a comprehensive and thorough audit, the auditor may refuse or request modification of the assignment.

This helps maintain audit integrity, quality, and professional due care.

Reference:

ISO/IEC 17021-1:2015, Clause 9.1.4 - Audit duration

ISO 19011:2018, Clause 5.3.2 - Audit planning responsibilities

PECB ISO/IEC 42001 Lead Auditor Guide - Chapter: Auditor Rights and Responsibilities

## NEW QUESTION # 20

Question:

A multinational technology corporation has initiated an audit process to assess compliance with ISO/IEC 42001. The audit team drafted an audit schedule after the initiation of the audit.

Which aspect of the audit schedule prepared by the audit team is NOT correct?

- A. The audit schedule prioritizes tasks based on their significance and relevance
- **B. The audit schedule is drafted after the initiation of the audit**
- C. The audit schedule is based on a feasible time

Answer: B

Explanation:

An audit schedule must be prepared before the initiation of the audit.

\* ISO/IEC 17021-1:2015 Clause 9.2.3.1 and ISO 19011:2018 Clause 6.4.3 require that the audit program and detailed schedule must be created prior to starting on-site activities.

\* The ISO/IEC 42001 Lead Auditor Guide notes: "The audit schedule must be planned and shared with the auditee during pre-audit activities." Reference: ISO/IEC 17021-1:2015 Clause 9.2.3.1; ISO 19011:2018 Clause 6.4.3.

## NEW QUESTION # 21

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