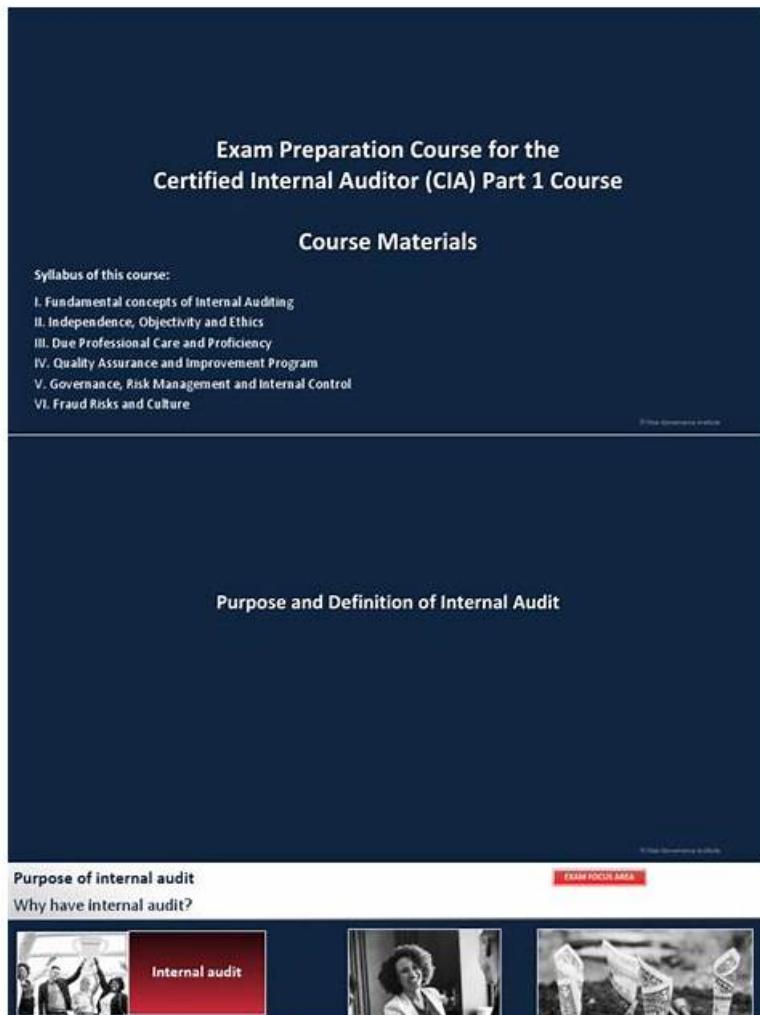


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## PECB ISO-IEC-42001-Lead-Auditor Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none"> <li>Conducting an ISO</li> <li>IEC 42001 audit: This section of the exam measures the skills of a Lead Auditor and focuses on executing the audit according to ISO</li> <li>IEC 42001 guidelines. It includes collecting evidence, interviewing relevant staff, and evaluating compliance with the AI management system standards.</li> </ul>
Topic 2	<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 3	<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 4	<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>

## PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q183-Q188):

### NEW QUESTION # 183

The process to assess the potential consequences for individuals or groups of individuals, or both, and societies that can result from the AI system throughout its life cycle is known as:

- A. AI System Risk Assessment
- B. AI System Impact Assessment**
- C. Documentation of AI Systems
- D. None of the above

### Answer: B

Explanation:

The correct term here is AI System Impact Assessment (AIIA), which is distinctly referenced in ISO/IEC 42001:2023 - Clause 6.1.2 as part of the organization's process to identify and assess potential impacts of AI systems on stakeholders.

An AIIA is designed to evaluate the ethical, societal, legal, and human rights implications of AI use. It supports transparency, stakeholder trust, and ethical alignment.

While AI Risk Assessment (Clause 6.1.1) focuses more on organizational and system-level risks (e.g., technical, legal), the Impact Assessment looks at external consequences - especially for individuals and groups.

### NEW QUESTION # 184

The process to assess the potential consequences for individuals or groups of individuals, or both, and societies that can result from the AI system throughout its life cycle is known as:

- A. AI System Risk Assessment

- B. AI System Impact Assessment
- C. Documentation of AI Systems
- D. None of the above

**Answer: B**

Explanation:

The correct term here is AI System Impact Assessment (AIIA), which is distinctly referenced in ISO/IEC 42001:2023 - Clause 6.1.2 as part of the organization's process to identify and assess potential impacts of AI systems on stakeholders.

An AIIA is designed to evaluate the ethical, societal, legal, and human rights implications of AI use. It supports transparency, stakeholder trust, and ethical alignment.

While AI Risk Assessment (Clause 6.1.1) focuses more on organizational and system-level risks (e.g., technical, legal), the Impact Assessment looks at external consequences - especially for individuals and groups.

Reference: ISO/IEC 42001:2023 - Clause 6.1.2 (AI impact identification and assessment) PECB Lead Auditor Guide - Domain 2: "Planning and Risk Assessment," Subsection: AI Impact Assessment

**NEW QUESTION # 185**

Scenario 5 (continued):

Scenario 5: Aizoia, located in Washington, DC, has revolutionized data analytics, software development, and consulting by using advanced AI algorithms. Central to its success is an AI platform adept at deciphering complex datasets for enhanced insights. To ensure that its AI systems operate effectively and responsibly, Aizoia has established an artificial intelligence management system (AIMS) based on ISO/IEC 42001 and is now undergoing a certification audit to verify the AIMS's effectiveness and compliance with ISO/IEC 42001.

Robert, one of the certification body's full-time employees with extensive experience in auditing, was appointed as the audit team leader despite not receiving an official offer for the role. Understanding the critical importance of assembling an audit team with diverse skills and knowledge, the certification body selected competent individuals to form the audit team. The certification body appointed a team of seven members to conduct the audit after considering the specific conditions of the audit mission and the required competencies.

Initially, the certification body, in cooperation with Aizoia, defined the extent and boundaries of the audit, specifying the sites (whether physical or virtual), organizational units, and the activities for review. Once the scope, processes, methods, and team composition had been defined, the certification body provided the audit team leader with extensive information, including the audit objectives and documented details on the scope, processes, methods, and team compositions.

Additionally, the certification body shared contact details of the auditee, including locations, time frames, and the duration of the audit activities to be conducted. The team leader also received information needed for evaluating and addressing identified risks and opportunities for the achievement of the audit objectives.

Before starting the audit, Robert wrote an engagement letter, introducing himself to Aizoia and outlining plans for scheduling initial contact. The initial contact aimed to confirm the communication channels, establish the audit team's authority to conduct the audit, and summarize the audit's key aspects, such as objectives, scope, criteria, methods, and team composition. During this first meeting, Robert emphasized the need for access to essential information that would help to conduct the audit.

Moreover, audit logistics, such as scheduling, access, health and safety arrangements, observer attendance, and the need for guides or interpreters, were thoroughly planned. The meeting also addressed areas of interest or concern, preemptively resolving potential issues and finalizing any matters related to the audit team composition.

As the audit progressed, Robert recognized the complexity of Aizoia's operations, leading him to conclude that a review of its AI-related data governance practices was essential for compliance with ISO/IEC 42001. He discussed this need with Aizoia's management, proposing an expanded audit scope. After careful consideration, they agreed to conduct a thorough review of the AI data governance practices, but there was no mutual decision to officially change the audit scope. Consequently, Robert decided to proceed with the audit based on the original scope, adhering to the initial audit plan, and documented the conversation and decision accordingly.

Based on the scenario above, answer the following question:

Question:

According to Scenario 5, was Robert's decision to proceed with the audit without changing its scope appropriate?

- A. Yes, because no agreement was reached to change the scope, and he documented the decision accordingly
- B. No, Robert must have withdrawn from the audit and informed the interested parties
- C. No, Robert should have opted to conduct a follow-up audit

**Answer: A**

Explanation:

Robert acted correctly by proceeding without changing the scope, because no official agreement was made to modify it, and he documented the conversation properly.

\* ISO/IEC 17021-1:2015 Clause 9.2.3.1 specifies that "Audit scope can only be changed if formally agreed by both the auditee and the certification body."

\* The Lead Auditor Guide says: "If the auditee and auditor cannot agree to modify the audit scope, the original scope must remain valid, and deviations should be documented." Reference: ISO/IEC 17021-1:2015 Clause 9.2.3.1; ISO/IEC 42001:2023 Clause 9.2.

### NEW QUESTION # 186

A global bank is currently evaluating the effectiveness of its AI management system controls through an AIMS audit. Which role is being played by this company?

- A. A certification body
- B. An auditee
- C. An advisory body
- D. An accreditation body

#### Answer: B

Explanation:

In this context, the global bank is the auditee, as it is the organization being audited. According to ISO 19011:2018 - Clause 3.12, an auditee is "the organization being audited." Since the bank is undergoing an internal or external audit of its AI Management System (AIMS), it assumes the role of the entity whose AIMS is being evaluated for effectiveness, compliance, and performance.

\* Accreditation body is responsible for accrediting certification bodies.

\* Certification body conducts audits for conformity assessments.

\* Advisory body provides consultation but does not participate directly in audits.

Reference: ISO 19011:2018 - Clause 3.12 (Auditee)

PECB Lead Auditor Guide - Domain 5: "Roles in the Audit Process"

### NEW QUESTION # 187

An auditor is reviewing an AI system used for hiring processes at a tech company and discovers that the system disproportionately rejects candidates from certain ethnic backgrounds. The auditor previously consulted for this company on diversity strategies. Which management system auditing principle (as per ISO 19011) is at risk of being compromised in this scenario?

- A. Due Professional Care
- B. Independence
- C. Confidentiality
- D. Fair Presentation

#### Answer: B

Explanation:

The principle at risk here is Independence. According to ISO 19011:2018 - Clause 4(c), auditors must be independent of the activity being audited and free from bias or conflicts of interest.

Having previously consulted for the company on diversity strategies, the auditor has a prior engagement that may affect impartiality, particularly since the audit involves evaluating bias and fairness in hiring practices - the same area previously advised on.

The PECB Lead Auditor Guide - Domain 3 reinforces that independence is crucial for objective evidence gathering and unbiased conclusions, especially in audits involving ethical or reputational concerns.

### NEW QUESTION # 188

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