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

Topic	Details
Topic 1	<ul style="list-style-type: none">• 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.

Topic 2	<ul style="list-style-type: none"> • Managing an ISO • 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.
Topic 3	<ul style="list-style-type: none"> • Closing an ISO • 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.
Topic 4	<ul style="list-style-type: none"> • Preparing an ISO • 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.

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

NEW QUESTION # 183

Did ImoAI take the correct initial step after the major nonconformity was detected?

Scenario 9: ImoAI, headquartered in California, USA, provides AI solutions for various industries such as finance, healthcare, retail, and manufacturing. Its clients include major financial institutions seeking AI powered fraud detection systems, healthcare providers leveraging AI for diagnostics and patient care, retailers optimizing supply chain management with AI forecasting, and manufacturers enhancing production efficiency through AI-driven automation.

ImoAI has recently undergone a certification audit to ensure that its artificial intelligence management system AIMS is in compliance with ISO/IEC 42001. During the audit, a major nonconformity related to data security protocols was identified, requiring urgent resolution.

ImoAI swiftly initiated corrective actions to address the major nonconformity. The audit follow-up, in agreement with the auditee, was scheduled six weeks after the initial audit. As part of exploring alternatives to audit follow-up, the audit team leader chose to verify the effectiveness of the actions taken by the auditee by scheduling a specific visit to ImoAI's premises.

The follow-up audit involved a thorough evaluation of the effectiveness of these actions. The audit team leader thoroughly examined the corrections, corrective actions, and root cause analysis conducted by ImoAI to assess whether they adequately addressed the nonconformity identified during the initial audit.

In conjunction with the external audit follow-up, ImoAI engaged its internal auditing team to oversee the progress of corrective actions. The AIMS manager of ImoAI updated Ms. Rebecca Hayes, the internal auditor, on the status of corrections and corrective actions prompted by the nonconformity identified during the external audit. Subsequently, Ms. Hayes thoroughly reviewed these measures, analyzing the corrections, root causes, and effectiveness of the implemented actions.

Upon satisfactory validation of the action plans, ImoAI was recommended for certification.

- A. No, as it should have waited for further instructions from the certification body before taking action
- **B. Yes, as it promptly initiated corrective actions to address the major nonconformity**
- C. No, because it should have immediately informed its clients about the detected nonconformity

Answer: B

Explanation:

According to ISO/IEC 42001:2023 Clause 10.2 (Nonconformity and Corrective Action) and ISO 19011:2018 Clause 6.6.3, organizations are expected to act promptly to correct and prevent recurrence of detected nonconformities. ImoAI correctly initiated corrective actions immediately after a major nonconformity was found. This is the recommended and required first step to contain and resolve issues and demonstrate responsibility.

* Notifying clients is not a mandatory first step unless the nonconformity directly affects them.

* Waiting for instructions from the certification body could unnecessarily delay resolution.

Reference:

ISO/IEC 42001:2023 Clause 10.2 - Corrective Action

ISO 19011:2018 Clause 6.6.3 - Corrective action expectations following audit findings

NEW QUESTION # 184

What did the audit team use to assess the implementation of AI-related controls, verify compliance with established procedures, and identify any gaps in adherence to the AIMS requirements? Refer to Scenario 6

- A. Evidence collection tools
- B. Evidence collection procedures
- C. Observation checklist
- D. Evidence collection analysis

Answer: A

Explanation:

In Scenario 6, it is clearly stated:

"They also used sampling and technical verification to assess the implementation of AI-related controls, verify compliance with established procedures, and identify any gaps in adherence to the AIMS requirements." Sampling and technical verification are considered evidence collection tools used during audits. These tools enable auditors to validate the effectiveness of implemented controls by selectively reviewing samples, performing walkthroughs, and technically verifying how AI systems function in real-life scenarios.

According to ISO 19011:2018, Clause 6.5.5, audit evidence may be obtained through tools such as:

- * Interviews
- * Observations
- * Technical testing
- * Sampling
- * Documentation review

This confirms that the audit team used "evidence collection tools" - specifically sampling and technical verification - to perform their assessments.

Reference:

ISO 19011:2018, Clause 6.5.5 - Audit methods and tools

ISO/IEC 42001:2023, Clause 9.2 - Collection of objective evidence

PECB ISO/IEC 42001 Lead Auditor Study Guide - Section: Evidence Collection Tools in AI Audits

Certainly! Below are the responses to Questions 51 through 54 from Scenario 7, presented in your requested format, with verified explanations aligned with ISO/IEC 42001:2023, ISO/IEC 17021-1:2015, ISO 19011:2018, and the PECB Lead Auditor Study Guide.

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NEW QUESTION # 185

Which of the following statements best describes the evidence collection process carried out by the audit team at Finalogic? Refer to Scenario 4.

Scenario 4: Finalogic leads the application of artificial intelligence in the financial services sector, which is used to improve risk assessment, fraud detection, and customer service. The company has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001 to ensure operational quality, ethical AI use, regulatory compliance, and transparency, allowing for consistent oversight and structured governance.

This month, Finalogic is undergoing an audit to obtain certification against ISO/IEC 42001, a critical step in demonstrating its commitment to responsible AI. To evaluate Finalogic's conformity to the audit criteria, the audit team adopted a comprehensive, evidence-based approach. The gathered evidence ranged from analyses of unquantifiable information to analyses of samples related to determining the audit criteria-including internal reports generated by Finalogic's own AI system-which assert successful integration and compliance with the standard.

Additionally, presentations by the company's AI team during the audit highlighted the system's success in customer service enhancements and fraud detection, emphasizing improved efficiency, decision making accuracy, and user trust. An evaluation report prepared by an independent third party firm specializing in AI systems also provided an objective review of Finalogic's AIMS. It assessed the system's effectiveness, bias, and compliance through a thorough examination.

During the audit, the audit team applied the same level of effort and utilized the same techniques across all audit areas, regardless of their risk level. This strategy ensured a consistent and thorough evaluation of the AIMS, uncovering any latent weaknesses or inefficiencies that might otherwise go unnoticed.

Despite Finalogic's advanced AIMS and adherence to ISO/IEC 42001 for ethical AI practices, there remains a risk of AI algorithms inadvertently perpetuating bias or making inaccurate predictions due to unforeseen flaws in training data or algorithmic models. This could lead to unfair loan rejections or approvals, potentially causing financial losses or damaging the company's reputation for fairness and accuracy in its financial services. By acknowledging these risks, Finalogic remains committed to refining its AI governance, implementing bias mitigation strategies, and enhancing transparency to uphold its reputation as a leader in AI driven

financial services.

- A. The audit team collected only quantitative evidence
- **B. The audit team collected both qualitative and quantitative evidence**
- C. The audit team collected only internal performance metrics
- D. The audit team collected only qualitative evidence

Answer: B

Explanation:

The scenario states the audit team "gathered evidence ranging from analyses of unquantifiable information to analyses of samples," and considered internal AI system reports, third-party evaluations, and team presentations.

* Unquantifiable information = Qualitative evidence

* Sample-based data = Quantitative evidence

Therefore, the audit team collected both qualitative and quantitative evidence as part of a comprehensive audit strategy.

Reference:

ISO/IEC 42001:2023, Clause 9.2.2 - Audit evidence types

ISO 19011:2018, Clause 6.5.2 - Gathering audit evidence

PECB ISO/IEC 42001 Lead Auditor Study Guide - Section: Collecting and Verifying Audit Evidence

NEW QUESTION # 186

A financial institution uses an AI system to approve loan applications. Recently, there have been complaints that the system disproportionately denies loans to applicants from certain minority groups.

Which core element should the institution prioritize to address these complaints?

- A. Privacy and Security
- B. Transparency and Explainability
- C. Accountability
- **D. Fairness and Non-Discrimination**

Answer: D

Explanation:

The most relevant core principle here is Fairness and Non-Discrimination. This principle aims to ensure that AI systems do not create or perpetuate bias, especially in high-stakes decision-making areas such as financial services.

According to ISO/IEC 42001:2023 - Clause 6.1.2 and Annex A (A.8.2.4), organizations must evaluate and manage risks related to bias, discrimination, and ethical implications of AI decisions.

In the PECB Lead Auditor Guide, Fairness is cited as critical in sectors like finance, hiring, healthcare, and where decisions may adversely impact protected groups.

Reference: ISO/IEC 42001:2023 - Clause 6.1.2 (AI-related risks and impact), Annex A: Control A.8.2.4 (Bias and fairness)

PECB Lead Auditor Guide - Domain 1: "Core Principles of Trustworthy AI"

NEW QUESTION # 187

Which core element emphasizes that AI systems should be designed to avoid bias and ensure fair treatment for all individuals?

- A. Transparency and Explainability
- B. Accountability
- **C. Fairness and Non-Discrimination**
- D. Human-Centered Design

Answer: C

Explanation:

The principle of Fairness and Non-Discrimination is one of the core ethical and governance pillars emphasized in ISO/IEC 42001:2023, especially in Clause 4.2 (Understanding the needs and expectations of interested parties) and Clause 6.1 (Actions to address risks and opportunities) where ethical risks related to AI systems are assessed.

According to the standard and accompanying PECB training guide, fairness is defined as ensuring that AI systems do not create or perpetuate bias, and that individuals and groups are treated equitably, with measures in place to detect and mitigate discrimination.

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