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

Topic	Details
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>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>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 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 (Q82-Q87):

### NEW QUESTION # 82

Scenario 4 (continued):

BioNovaPharm, a German biopharmaceutical company, has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001 to optimize various aspects of drug discovery, including analyzing extensive biological data, identifying potential drug candidates, and streamlining clinical trial processes. After having the AIMS in place for over a year, the company contracted a certification body and is now undergoing an AIMS audit to obtain certification against ISO/IEC 42001.

Adopting a risk-based approach, the audit team focused on risk throughout their activities. The level of detail outlined in the audit plan corresponded to the scope and complexity of the audit. The team employed a ranking system for detailed audit procedures, prioritizing those with the highest risk.

Once the stage 1 audit began, the audit team started reviewing the auditee's documented information. To assess whether BioNovaPharm complies with the legal and regulatory requirements related to incident communication, the audit team examined evidence provided by the company's external legal office. The evidence confirmed that BioNovaPharm applies the requirements of the EU AI Act, which mandates that providers of high-risk AI systems report serious incidents to relevant authorities.

Following the completion of the stage 1 audit, John, an audit team member, documented the stage 1 audit outputs, including the observations of the audit team that could result in nonconformities during the on-site audit. However, the audit team leader, Emma, who was overseeing the audit activities, observed that John failed to document significant observations related to the lack of transparency in the AI decision-making processes of BioNovaPharm. Considering that Emma observed John's lack of competence in undertaking some audit activities, a disciplinary note was recorded for John.

Question:

Based on Scenario 4, is the decision of the top management representative not to provide the additional evidence requested by the audit team justifiable?

- A. Yes, because audits are based purely on interview evidence
- B. No, because it is not recommended to conduct interviews with different employees to verify segregation of roles and responsibilities within the organization
- C. Yes, because the top management representative determined that the answers from the interviews could be corroborated

by interviewing different employees

- **D. No, because verbal evidence is less reliable than the other types of evidence and requires additional supporting evidence**

**Answer: D**

Explanation:

Verbal evidence alone is considered less reliable.

\* ISO/IEC 42001 Clause 9.2.2 states that "auditors shall corroborate interviews with documented information or other tangible evidence whenever possible."

\* The ISO 19011:2018 Guidelines for Auditing Management Systems (adopted for auditing principles) Clause 6.5.6 also clearly specifies: "Interview results should be verified with other forms of evidence because interviews alone are insufficient."

Reference: ISO/IEC 42001:2023 Clause 9.2.2; ISO 19011:2018 Clause 6.5.6.

### NEW QUESTION # 83

A few months after an audit, the auditor returns to the company to verify that corrective actions have been effectively implemented and that the issues identified have been resolved. Which step of the management system audit process does this activity correspond to?

- A. Conducting the audit
- B. Document review
- **C. Audit follow-up**
- D. Closing meeting

**Answer: C**

Explanation:

The activity described is part of the Audit Follow-Up phase. According to ISO 19011:2018 - Clause 6.6.2, follow-up activities are conducted to verify:

\* Whether corrective actions have been implemented, and

\* Whether those actions were effective in addressing the nonconformities identified during the audit.

The PECB Lead Auditor Guide - Domain 6 confirms that follow-up audits or activities may occur weeks or months after the main audit, especially when major or systemic nonconformities were identified.

This phase ensures the continuous improvement of the AI Management System and is crucial for maintaining long-term conformity.

Reference: ISO 19011:2018 - Clause 6.6.2 (Conducting audit follow-up)

ISO/IEC 42001:2023 - Clause 10.2 (Nonconformity and corrective action)

PECB Lead Auditor Guide - Domain 6: "Audit Follow-Up Activities"

### NEW QUESTION # 84

Scenario 3 (continued):

ArBank is a financial institution located in Brussels, Belgium, which offers a diverse range of banking and investment services to its clients. To ensure the continual improvement of its operations, ArBank has implemented a quality management system QMS based on ISO 9001 and an artificial intelligence management system AIMS based on the requirements of ISO/IEC 42001.

Audrey, an experienced auditor, led an internal audit focused on the AIMS within ArBank. She assessed the chatbots integrated into the bank's website and mobile app, analyzing communications using big data technology to identify potential noncompliance, fraud, or unethical conduct. Instead of relying solely on the information provided by the chatbots, Audrey sought out evidence that would either confirm or challenge the validity of the data, ensuring her conclusions were based on reliable and accurate information. Her review of selected chatbot interactions confirmed they met their intended purpose.

For the specific context of ArBank's operations, Audrey utilized an AI system to assess the efficiency of the bank's digital infrastructure, focusing on tasks critical to the Finance Department. This AI system was able to analyze the functionality of chatbots integrated into ArBank's website and mobile app to determine if it adheres to ISO/IEC 42001 requirements and internal policies governing customer service in the banking sector.

In addition, Audrey conducted a deeper assessment of the bank's AIMS. Her evaluation included observing different stages of the AIMS life cycle, from development to deployment, to ensure that roles and responsibilities were clearly defined and aligned with ArBank's operational goals. She also evaluated the tools used to monitor and measure the performance of the AIMS.

Audrey continued the audit process by auditing ArBank's outsourced operations. Upon checking the contractual agreements between the two parties, Audrey decided that there was no need to gather audit evidence regarding the contractual agreement. She reviewed the company's processes for monitoring the quality of outsourced operations, determined whether appropriate governance processes are in place with regard to the engagement of outsourced persons or organizations, and reviewed and

evaluated the company's plans in case of expected or unexpected termination of the outsourcing agreement.

Based on the scenario above, answer the following question:

Question:

Did Audrey conduct the audit process for the outsourced operation correctly? Refer to Scenario 3.

- A. No, Audrey should not have been responsible for determining whether appropriate governance processes are in place for engaging outsourced persons or organizations
- B. No, she should have gathered audit evidence concerning the contractual agreement between the two parties
- C. Yes, but only if the contract terms were re-audited
- **D. Yes, she reviewed the company's processes for monitoring the quality of outsourced operations**

**Answer: D**

Explanation:

Audrey acted correctly because she focused on the governance and quality monitoring processes of outsourced services.

\* ISO/IEC 42001 Clause 8.1 ("Operational Planning and Control") requires organizations to ensure that external providers' activities are controlled, monitored, and reviewed during audits.

\* The Lead Auditor Guide for ISO/IEC 42001 states: "It is sufficient to review outsourced process management without directly auditing the contract itself unless otherwise stated in the audit objectives." Reference: ISO/IEC 42001:2023 Clause 8.1; Lead Auditor Study Guide Section 6.2 ("Auditing Outsourced Activities").

### NEW QUESTION # 85

During a combined audit, if an auditor identifies a finding linked to one criterion, should they consider its potential impact on corresponding or related criteria of other management systems?

- A. No, in such cases the auditor should always focus on the specific criterion identified
- **B. Yes, the auditor should consider the possible impact on the corresponding or similar criteria of the other management system**
- C. Yes, the auditor should consider the other criteria only if the finding is deemed significant

**Answer: B**

Explanation:

In combined audits (e.g., when ISO/IEC 42001 is audited alongside ISO/IEC 27001, ISO 9001, etc.), findings in one management system may affect others. ISO 19011:2018 Clause 5.5.5 recommends that auditors take a holistic view and evaluate how a finding in one standard may influence conformity with another standard - especially where there are shared or overlapping requirements (e.g., risk management, data governance, etc.).

This approach supports better integration, reduces duplication, and ensures comprehensive risk mitigation across systems.

Reference:

ISO 19011:2018 Clause 5.5.5 - Conducting audits of integrated management systems  
ISO/IEC 42001:2023 Clause 6.1 - Context and integration with other standards  
Below are Questions 71 to 74 formatted in your requested structure according to ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor guidelines. Each question includes the correct answer and a detailed explanation referencing the standard.

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### NEW QUESTION # 86

Question:

What type of audit is conducted when a customer audits suppliers to make purchasing decisions?

- A. First-party audit
- **B. Second-party audit**
- C. Third-party audit

**Answer: B**

Explanation:

A second-party audit is conducted by customers on their suppliers to verify whether the supplier's processes or products meet the purchasing requirements.

\* ISO 19011:2018 Clause 3.11 defines second-party audits as: "Audits conducted by a customer on their suppliers or by

