# PECB ISO-IEC-42001-Lead-Auditor Exam Questions For Guaranteed Success
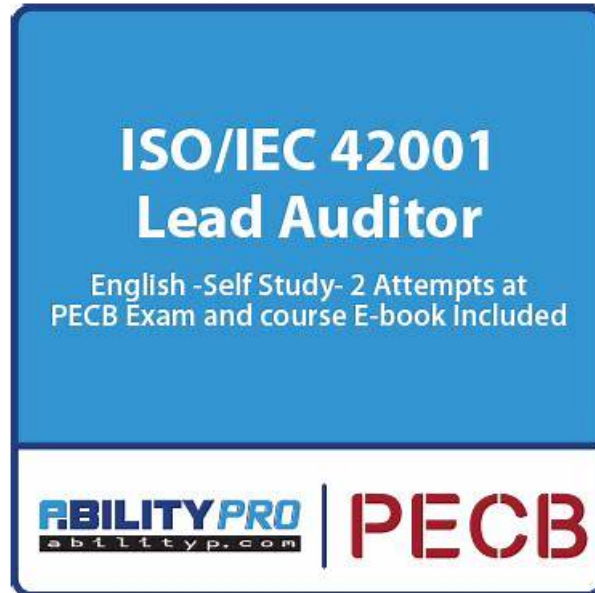
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## PECB ISO-IEC-42001-Lead-Auditor Exam Syllabus Topics:

| Topic | Details |
|---|---|
| Topic 1 | <ul><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><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 3 | <ul><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> |

| Topic 4 | • Managing an ISO<br>• 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 5 | • 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. |
| Topic 6 | • Closing an ISO<br>• 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. |

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# PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q123-Q128):

**NEW QUESTION # 123**
Which step involves reviewing documents and records relevant to the audit scope?

- A. Audit reporting
- B. Audit follow-up
- C. Document review
- D. Closing meeting

**Answer: C**

Explanation:
The Document Review step is a key part of audit preparation where auditors evaluate relevant documents, records, policies, and procedures to understand the structure and implementation of the AI Management System.
As per ISO 19011:2018 - Clause 6.4.3, document review helps auditors familiarize themselves with the management system, identify potential areas of concern, and refine the audit plan.
In AI audits (such as AIMS under ISO/IEC 42001), this may include reviewing AI governance policies, data governance procedures, impact assessments, or model documentation.

**NEW QUESTION # 124**
Question:
Which of the following statements regarding the organization's requirement to address risks and opportunities based on ISO/IEC 42001 is correct?

- A. The organization is required to plan how to incorporate the actions in its AIMS and assess their effectiveness
- B. The organization is only required to identify risks without taking specific action
- C. The organization must address risks and opportunities but is not required to integrate these actions into its AIMS

- D. The organization must integrate the actions into its AIMS but is not required to evaluate the effectiveness of those actions

**Answer: A**

Explanation:
ISO/IEC 42001 Clause 6.1.2 requires organizations toplan actions to address risks and opportunities, integrate these actions into the management system, andevaluate their effectivenessas part of continual improvement.
Reference:ISO/IEC 42001:2023 Clause 6.1.2 (Planning and Risk Integration into AIMS).

**NEW QUESTION # 125**
Which of the following examples is frequent analysis?

- A. The auditor reviews post-project performance reports generated after a two-year AI implementation cycle
- B. The auditor observes the AI system's performance once during its initial deployment to ensure it meets operational standards
- C. The auditor conducts a yearly review of the company's financial statements to assess long-term financial stability
- D. The auditor selects a sample of employees to determine if they are aware of their roles and responsibilities relevant to AI

**Answer: D**

Explanation:
Frequent analysis refers to audit or evaluation activities that are performed on a recurring basis to monitor and assess compliance, effectiveness, or awareness. Among the options, selecting a sample of employees to verify awareness of AI-related responsibilities is likely to occur regularly - especially during audits, trainings, or internal assessments - making it an example of frequent analysis.
Option B and D refer to periodic or annual analysis. Option C is a one-time assessment tied to initial deployment, not frequent analysis.
Reference:
ISO/IEC 42001:2023, Clause 9.2 - Internal audits
ISO 19011:2018, Clause 6.5.5 - Use of sampling and recurring review
PECB ISO/IEC 42001 Lead Auditor Guide - Section: Frequency and Methods of Audit Observation
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**NEW QUESTION # 126**
How does ISO 19011 recommend auditors select audit criteria?

- A. According to the requirements of the management system standards and objectives
- B. By choosing criteria that are easiest to measure
- C. By using random selection methods
- D. Based on the organization's industry reputation

**Answer: A**

Explanation:
Audit criteria should be selectedaccording to the requirements of the management system standard (e.g., ISO/IEC 42001:2023)and theorganization's objectives.
PerISO 19011:2018 - Clause 5.4.2, audit criteria must be defined based onstandards, statutory requirements, internal policies, procedures, and contractual obligationsrelevant to the audit.
Random selection or convenience-based criteria are not acceptable in professional audit practice.
Reference: ISO 19011:2018 - Clause 5.4.2 (Establishing audit objectives, scope and criteria) ISO/IEC 42001:2023 - Clause 9.2.1 (Internal Audit planning) PECB Lead Auditor Guide - Domain 3: "Defining Audit Criteria and Reference Documents"

**NEW QUESTION # 127**
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 Al Act, which mandates that providers of high-risk Al 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 Al 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:

Which of the following AI applications for auditing did the audit team employ?

- A. Augmented audit interviews
- B. Automated data validation
- C. Automated planning
- D. Augmented analysis

**Answer: B**

Explanation:
The audit team used Automated Data Validation by using AI to gather and validate external digital data (e.
g., drug development information).
* ISO/IEC 42001 Clause 9.2.2 allows the use of automated methods to collect and validate information, provided that the reliability and integrity of such systems are ensured.
* The Lead Auditor Course Guide explains: "Automated data validation tools help auditors improve evidence collection efficiency by cross-referencing multiple datasets with minimal manual intervention." Reference: ISO/IEC 42001:2023 Clause 9.2.2; Lead Auditor Guide Module 5 ("Use of Automated Tools in Audits").

**NEW QUESTION # 128**

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