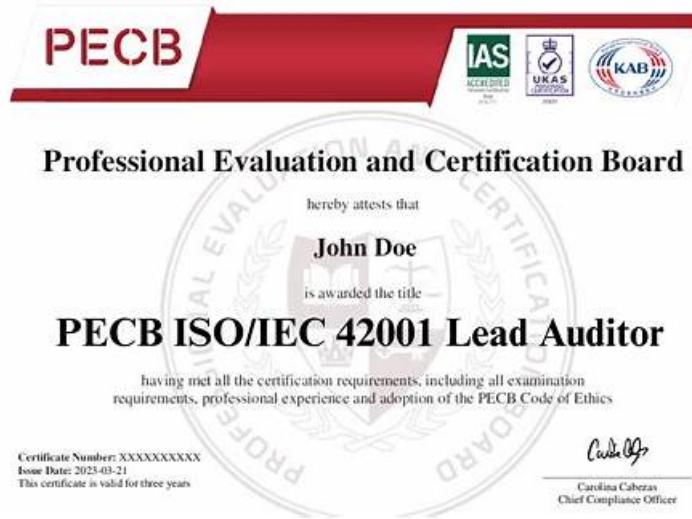


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PECB ISO-IEC-42001-Lead-Auditor Exam Syllabus Topics:

Topic	Details
Topic 1	<ul style="list-style-type: none">Preparing an ISOIEC 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.
Topic 2	<ul style="list-style-type: none">Managing an ISOIEC 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">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 4	<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 5	<ul style="list-style-type: none">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 ISOIEC 42001. It explains how organizations should structure their AI-related activities and processes to meet compliance standards effectively.

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PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q72-Q77):

NEW QUESTION # 72

Why is it important to have a clear and agreed audit scope?

- A. To prevent any legal liabilities
- B. To reduce the time required for the audit
- **C. To ensure all aspects of the management system are audited**
- D. To maintain confidentiality of audit findings

Answer: C

Explanation:

A clear and agreed audit scope ensures that the audit will adequately cover all relevant areas of the AI Management System and that the audit team understands:

- * Boundaries of the audit (departments, processes, AI systems)
- * Objectives and criteria
- * What must be included or excluded

As per ISO 19011:2018 - Clause 5.2, determining the audit scope is critical to ensuring the audit is effective, relevant, and complete. Similarly, in ISO/IEC 42001:2023 - Clause 9.2.1, the scope must be defined to evaluate the full effectiveness of the AIMS.

The PECB Lead Auditor Guide reinforces that without a clear scope, the audit risks missing critical operational, ethical, or compliance-related areas.

NEW QUESTION # 73

What does ISO 19011 provide?

- A. Guidance for auditors on AI management system
- **B. Fundamental principles of auditing**
- C. Requirements for bodies providing audit
- D. Guidance for practitioners on AI management system

Answer: B

Explanation:

ISO 19011:2018 provides fundamental principles and guidance on auditing management systems, including:

- * Principles of auditing
- * Managing audit programs
- * Conducting internal or external audits
- * Evaluating the competence of auditors

While ISO/IEC 42001 is specific to AI Management Systems, ISO 19011 serves as a universal audit framework that applies to all types of management systems, including AI.

The PECB Lead Auditor Guide - Domain 3 highlights ISO 19011 as the primary guidance document for auditing practices, emphasizing its relevance to auditing AIMS as well.

NEW QUESTION # 74

Scenario 8 (continued):

Scenario 8:

Scenario 8: InnovateSoft, headquartered in Berlin, Germany, is a software development company known for its innovative solutions and commitment to excellence. It specializes in custom software solutions, development, design, testing, maintenance, and consulting, covering both mobile apps and web development.

Recently, the company underwent an audit to evaluate the effectiveness and compliance of its artificial intelligence management system AIMS against ISO/IEC 42001.

The audit team engaged with the auditee to discuss their findings and observations during the audit's final phases. After evaluating the evidence, the audit team presented their audit findings to InnovateSoft, highlighting the identified nonconformities.

Upon receiving the audit findings, InnovateSoft accepted the conclusions but expressed concerns about some findings inaccurately reflecting the efficiency of their software development processes. In response, the company provided new evidence and additional information to alter the audit conclusions for a couple of minor nonconformities identified. After thorough consideration, the audit team leader clarified that the new evidence did not significantly alter the core conclusions drawn for the nonconformities.

Therefore, the certification body issued a certification recommendation conditional upon the filing of corrective action plans without a prior visit.

InnovateSoft accepted the decision of the certification body. The top management of the company also sought suggestions from the audit team on resolving the identified nonconformities. The audit team leader offered solutions to address the issues, fostering a collaborative effort between the auditors and InnovateSoft. During the closing meeting, the audit team covered key topics to enhance transparency. They clarified to InnovateSoft that the auditee evidence was based on a sample, acknowledging the inherent uncertainty. The method and time frame of reporting and grading findings were discussed to provide a structured overview of nonconformities. The certification body's process for handling nonconformities, including potential consequences, guided InnovateSoft on corrective actions. The time frame for presenting a plan for correction was communicated, emphasizing urgency. Insights into the certification body's post-audit activities were provided, ensuring ongoing support.

Lastly, the audit team briefed InnovateSoft on complaint and appeal handling.

InnovateSoft submitted the action plans for each nonconformity separately, describing only the detected issues and the corrective actions planned to address the detected nonconformities. However, the submission slightly exceeded the specified period of 45 days set by the certification body, arriving three days later.

InnovateSoft explained this by attributing the delay to unexpected challenges encountered during the compilation of the action plans. InnovateSoft's corrective action plans described the detected issues and intended corrections but did not include the root causes.

Question:

Were InnovateSoft's action plans drafted appropriately?

- A. No, because a general action plan was not submitted encompassing all nonconformities
- B. No, because they did not include the root causes of the detected nonconformities
- C. Yes, the action plans were drafted appropriately

Answer: B

Explanation:

A complete corrective action plan must include:

* Description of the nonconformity

* Root cause analysis

* Correction

* Corrective action

* ISO/IEC 17021-1:2015 Clause 9.4.9.2 explicitly states: "The client shall analyze the cause of the nonconformity and describe the specific correction and corrective action taken."

* The absence of root cause analysis renders the plan non-compliant.

Reference: ISO/IEC 17021-1:2015 Clause 9.4.9.2; Lead Auditor Training Manual - Module 9 ("Corrective Action Management").

NEW QUESTION # 75

Scenario 9 (continued):

Scenario 9: Securisai, located in Tallinn, Estonia, specializes in the development of automated cybersecurity solutions that utilize AI systems. The company recently implemented an artificial intelligence management system AIMS in accordance with ISO/IEC 42001. In doing so, the company aimed to manage its AI-driven systems' capabilities to detect and mitigate cyber threats more efficiently and ethically. As part of its commitment to upholding the highest standards of AI use and management, Securisai underwent a certification audit to demonstrate compliance with ISO/IEC 42001.

The audit process comprised two main stages: the initial or stage 1 audit focused on reviewing Securisai's documentation, policies,

and procedures related to its AIMS. This review laid the groundwork for the stage 2 audit, which involved a comprehensive, on-site evaluation of the actual implementation and effectiveness of the AIMS within Securisai's operations. The goal was to observe the AIMS in operation, ensuring that it not only existed on paper but was effectively integrated into the company's daily activities and cybersecurity strategies.

After the audit, Roger, Securisai's internal auditor, addressed the action plans devised to rectify nonconformities identified during the certification audit. He developed a long term strategy, highlighting key AIMS processes for triennial audits. Roger's internal audits play a key role in advancing Securisai's goals by employing a systematic and disciplined method to assess and boost the efficiency of risk management, governance processes, and strategic decision-making. Roger reported his findings directly to Securisai's top management.

Following the successful rectification of nonconformities, Securisai was officially certified against ISO/IEC 42001.

Recently, the company decided to transfer its ISO/IEC 42001 certification registration from one certification body to another despite being initially bound by a long-term agreement with the current certification body.

This decision was motivated by the desire to partner with a certification body that offers deeper insights and expertise in the rapidly evolving field of artificial intelligence in cybersecurity.

To ensure a smooth transition and uphold its certification status, Securisai is diligently compiling the required documentation for submission to the new certification body. This includes a formal request, the most recent audit report underscoring its adherence to ISO/IEC 42001, the latest corrective action plan that highlights its continuous efforts toward improvement, and a copy of its current valid certification registration.

A year following Securisai's initial certification audit, a subsequent audit was carried out by the certification body on its AIMS. The purpose of this audit was to assess compliance with ISO/IEC 42001 and verify the ongoing improvement of the AIMS. The audit team concluded that Securisai's AIMS consistently meets the requirements set by ISO/IEC 42001.

Question:

In the context of Roger's action plan at Securisai, was the plan he developed a general plan or a detailed plan?

- A. It was a general plan because it outlined overall AIMS processes to be audited every three years
- B. It was a detailed plan because it focused only on specific AIMS processes to be audited every year
- C. It was a detailed plan because it covered key AIMS processes

Answer: A

Explanation:

Roger created a general plan because it outlined broad AIMS processes to be audited on a triennial (three-year) cycle, not detailed annual or operational specifics.

* ISO 19011:2018 Clause 5.4.1 defines a general audit plan as: "An overview that outlines the audits to be conducted over a period, typically linked to organizational objectives and risk exposure."

* A detailed audit plan would break down yearly activities - which is not described here.

Reference: ISO 19011:2018 Clause 5.4.1; ISO/IEC 42001 Lead Auditor Manual Section 6 ("Audit Program Development").

NEW QUESTION # 76

Audit evidence must be:

- A. Refutable
- B. Physical
- C. Structured
- D. Verifiable

Answer: D

Explanation:

Audit evidence must be objective and verifiable, meaning that it can be confirmed through observation, documentation, or reproducible results. This is a foundational principle of auditing as per:

* ISO 19011:2018 - Clause 3.8 defines audit evidence as "records, statements of fact or other information which are relevant to the audit criteria and verifiable."

* This principle is also emphasized in ISO/IEC 42001 during internal audits (Clause 9.2), ensuring that conclusions are based on factual, traceable, and confirmable data.

Verifiability ensures the credibility and reliability of audit findings, especially critical in evaluating AIMS due to the complexity and potential subjectivity of AI behaviors.

NEW QUESTION # 77

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