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

Topic	Details
Topic 1	<ul style="list-style-type: none"> <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 2	<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 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>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 5	<ul style="list-style-type: none"> <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>

## PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q124-Q129):

### NEW QUESTION # 124

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 audit 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 submitted corrective action plans for nonconformities three days past the certification body's deadline of 45 days.

Question:

Based on Scenario 8, is InnovateSoft eligible for certification?

- A. No, the action plans were not submitted within the specified period
- **B. Yes, the submission of the action plans can be delayed for up to 10 days**
- C. Yes, it is up to the auditee to decide when to submit the action plans

**Answer: B**

Explanation:

While ISO/IEC 17021-1 does not prescribe a strict number of days, certification bodies typically allow minor grace periods, e.g., 5-10 days, based on internal policy.

\* ISO/IEC 17021-1:2015 Clause 9.4.9 requires that nonconformities must be addressed within a timeframe agreed by the certification body.

\* If the delay is minor (e.g., 3 days), and the CB accepts it with justification, the certification process can still proceed.

\* The Lead Auditor Manual notes: "Minor extensions may be granted for corrective actions when justified and documented."

Reference: ISO/IEC 17021-1:2015 Clause 9.4.9; ISO/IEC 42001 Lead Auditor Guide - Section 8 ("Certification Decision Timelines").

#### **NEW QUESTION # 125**

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

**Answer: A**

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 # 126**

The certification body did not include all departments covered by the AIMS scope in the audit scope. Is this acceptable? Refer to Scenario 5.

Scenario 5: Alterhealth is a mid-sized technology firm based in Toronto, Canada. It develops AI systems for healthcare providers, focusing on improving patient care, optimizing hospital workflows, and analyzing healthcare data for insights that can improve health outcomes.

To ensure responsible and effective use of AI in its operations, Alterhealth has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001. After a year of having the AIMS in place, the company decided to apply for a certification audit to obtain certification against ISO/IEC 42001.

The company contracted a certification body to conduct the audit, who assembled the audit team and appointed the audit team leader. The audit team leader had conducted a certification audit at Alterhealth in the past. The top management of Alterhealth decided to reject the appointment of this auditor because they believed that they would not receive added value from the audit. In

response, the certification body appointed Jonathan, an independent auditor with no prior engagements with Alterhealth, as the new audit team leader. Jonathan's introduction marked the beginning of a collaborative process aimed at evaluating the conformity of the AIMS to ISO/IEC 42001 requirements.

The certification body determined the audit scope, which included only specific departments essential to the integration and application of AI, such as the AI Research, Machine Learning Applications, and AI Ethics and Compliance Departments, and did not cover all of the departments covered by the AIMS scope. Meanwhile, Alterhealth determined the audit time, setting the necessary time frame for planning and conducting a thorough and effective review to ensure all aspects of the AIMS within the selected departments were meticulously reviewed.

Afterward, Jonathan received a detailed offer from the certification body, outlining his role and including information related to the audit, such as the audit's duration, team members, their responsibilities, the limits to the audit engagement, and their salary compensation. With a clear mandate, Jonathan was tasked with a multitude of responsibilities: defining the audit objectives and criteria, planning the audit process, identifying and addressing audit risks, managing communication with Alterhealth, overseeing the audit team, and ensuring a smooth and conflict free execution.

With Jonathan's leadership and a well-defined audit framework in place, the certification audit proceeded with a structured and objective evaluation of Alterhealth's AIMS.

- **A. No, the audit scope must include all of the auditee's departments part of the AIMS scope**
- B. Yes, the audit scope does not necessarily include all of the auditee's departments covered by the AIMS scope
- C. Yes, if it is a Stage 1 audit only
- D. No, the audit scope must cover all of the auditee's departments regardless of whether they are included in the AIMS scope

**Answer: A**

Explanation:

According to ISO/IEC 17021-1:2015 and ISO/IEC 42001:2023, the audit scope for a certification audit must fully align with the scope of the management system (in this case, the AIMS). If certain departments are included in the AIMS scope, they must be part of the certification audit scope.

In Scenario 5, it is stated: "The certification body determined the audit scope... and did not cover all of the departments covered by the AIMS scope." This is not acceptable, as omitting departments within the declared AIMS scope can result in an incomplete and non-representative audit, violating ISO 17021-1 guidance.

Reference:

ISO/IEC 17021-1:2015, Clause 9.1.2 - Audit scope must be consistent with certification scope ISO/IEC 42001:2023, Clause 4.3 - Determining the scope of the AIMS PECB ISO/IEC 42001 Lead Auditor Study Guide - Chapter: Audit Scope and Planning

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### NEW QUESTION # 127

An AI system is being developed to assist elderly people in their daily activities. The system needs to be intuitive and align with the needs and values of its users. Which core element of AI should guide the design and development of this AI system?

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

**Answer: A**

Explanation:

The correct guiding principle in this scenario is Human-Centered Design. This principle is explicitly emphasized in ISO/IEC 42001:2023, particularly in the context of aligning AI systems with human needs, values, and well-being.

Human-Centered Design ensures that the AI system is designed with a focus on users, particularly vulnerable populations like the elderly. The AI should be intuitive, inclusive, and usable while enhancing human capabilities.

In ISO/IEC 42001:2023:

\* Clause 4.2 (Understanding the needs and expectations of interested parties) requires that systems consider stakeholders, particularly end users, when defining system requirements.

\* Clause 6.1.2 (AI risk identification and assessment) and Clause 8.2.3 (Operational planning and control) reinforce designing systems that respect and respond to human diversity and usability needs.

The PECB Lead Auditor Guide - Domain 1 lists Human-Centered Design as one of the foundational AI principles essential for promoting trust, accessibility, and adoption among users - especially those with specific assistance needs.

Reference: ISO/IEC 42001:2023 - Clauses 4.2, 6.1.2, 8.2.3

PECB Lead Auditor Guide - Domain 1, Topic: "Trustworthy and Ethical AI Principles," Subsection: Human-Centered Design

### NEW QUESTION # 128

What certification recommendation did the auditee receive?

Scenario 8: VeridicAI, based in San Francisco, USA, specializes in market research using AI technologies to analyze customer behavior. Founded in 2023, the company employs natural language processing, machine learning, and predictive analytics to provide real time insights to a range of businesses. VeridicAI has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001 to manage its AI technologies effectively. The AIMS scope includes select departments within the company, for which it has received a four-year certification against ISO/IEC 42001. Committed to transparency, VeridicAI publicly shares details of this certification.

As the certification nears its end, VeridicAI is preparing for an audit to renew its certification.

The audit process was led by Sharona, the audit team leader, who is a full-time employee of the certification body. Sharona and the audit team undertook all planned audit activities. Afterward, they organized the closing meeting with VeridicAI's management. During the meeting, Sharona and the team made a recap on audit objectives and scope, presented the audit findings and conclusions, presented identified nonconformities, and organized a session for questions and answers for the auditee.

VeridicAI received a conditional recommendation for certification, underscoring its compliance with the industry's standards.

Sharona confirmed that the company met the essential requirements but noted some identified minor nonconformities. In response, VeridicAI compiled and submitted a comprehensive action plan that addresses all identified nonconformities within a designated timeframe. Because of the comprehensive action plan, Sharona did not see the need for an additional on-site visit to verify the effectiveness of the action plan.

Sharona played an integral role in the certification decision process. Her thorough understanding of VeridicAI's operations, gained from the audit, guided the certification body towards a well-informed certification decision.

- A. Recommendation for certification conditional upon the filing of corrective action plans without a prior visit
- B. Recommendation for certification conditional upon the filing of corrective action plans with a prior visit
- C. Recommendation for certification

**Answer: A**

Explanation:

According to ISO/IEC 42001:2023 and auditing best practices as per ISO 19011:2018 guidelines, a conditional certification may be issued when an organization conforms to most of the requirements but has minor nonconformities that do not pose a major risk to the system's effectiveness. In this case, VeridicAI received a conditional recommendation based on minor nonconformities. They submitted a comprehensive action plan, and the audit leader decided no additional on-site visit was necessary.

ISO/IEC 42001:2023 refers to such decisions under Clause 9.5 (Improvement), which supports corrective actions based on minor issues without necessarily requiring physical validation if the evidence submitted is sufficient.

Reference:

ISO/IEC 42001:2023 Clause 9.5 - Nonconformity and Corrective Action

ISO/IEC 17021-1:2015 - Requirements for bodies providing audit and certification of management systems ISO 19011:2018

Clause 6.4.10 - Audit Conclusion and Recommendation

### NEW QUESTION # 129

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