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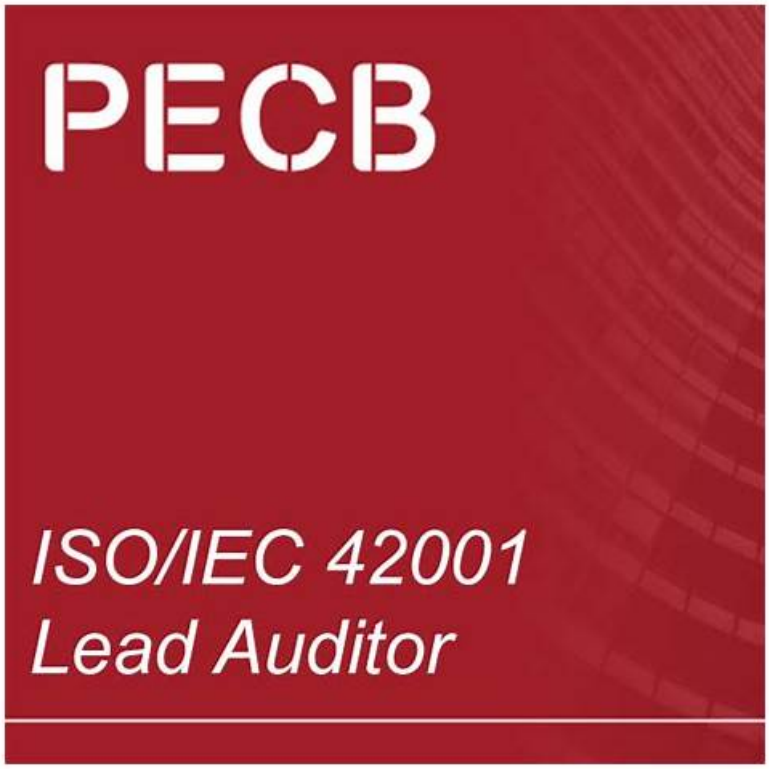


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## PECB ISO-IEC-42001-Lead-Auditor Exam Syllabus Topics:

| Topic | Details |
|---|---|
| Topic 1 | • Conducting an ISO<br>• IEC 42001 audit: This section of the exam measures the skills of a Lead Auditor and focuses on executing the audit according to ISO<br>• IEC 42001 guidelines. It includes collecting evidence, interviewing relevant staff, and evaluating compliance with the AI management system standards. |
| Topic 2 | • 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. |
| Topic 3 | • 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<br>• IEC 42001. It explains how organizations should structure their AI-related activities and processes to meet compliance standards effectively. |

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|---|---|
| Topic 4 | • 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. |



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## PECB ISO/IEC 42001:2023Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q121-Q126):

**NEW QUESTION # 121**
Scenario 3 (continued):
ArBank is a financial institution located in Brussels, Belgium, which offers a diverse range of banking and investment servicesto 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 thebank's website and mobile app, analyzing communications using big data technology to identify potential noncompliance, fraud, orunethical conduct. Instead of relying solely on the information provided by the chatbots, Audrey sought out evidence that would eitherconfirm or challenge the validity of the data, ensuring her conclusions were based on reliable and accurate information. Her review ofselected chatbot interactions confirmed they met their intended purpose.
For the specific context of ArBank's operations, Audrey utilized an Al system to assess the efficiency of the bank's digital infrastructure,focusing on tasks critical to the Finance Department. This Al system was able to analyze the functionality of chatbots integrated intoArBank's website and mobile app to determine if it adheres to ISO/IEC 42001 requirements and internal policies governing customerservice in the banking sector.
In addition, Audrey conducted a deeper assessment of the bank's AIMS. Her evaluation included observing different stages of the AIMSlife cycle, from development to deployment, to ensure that roles and responsibilities were clearly defined and aligned with ArBank'soperational 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 thetwo parties, Audrey decided that there was no need to gather audit evidence regarding the contractual agreement. She reviewed thecompany's processes for monitoring the quality of outsourced operations, determined whether appropriate governance processes are inplace with regard to the engagement of outsourced persons or organizations, andreviewed and evaluated the company's plans in case ofexpected or unexpected termination of the outsourcing agreement.
Based on the scenario above, answer the following question:
Question:
Based on Scenario 3, did Audrey perform a technical assessment during the audit?

- A. No, she only reviewed contractual agreements with outsourced service providers
- B. Yes, she conducted observations of the AIMS life cycle and evaluated the tools used to monitor its performance
- C. Yes, she performed a general assessment of ArBank's customer service performance
- D. No, only the certification body should perform technical assessments

**Answer: B**

Explanation:
Audreyconducted a technical assessmentbecause she observed the AIMS lifecycle (development, deployment) and evaluated monitoring tools, as required:
* ISO/IEC 42001 Clause 9.2.2 ("Conducting Audits") mandates that auditors must assess the full lifecycle and technical

effectiveness of AI systems.
* TheLead Auditor Manualnotes:"Technical assessments during AIMS audits must include evaluating controls for AI system monitoring, performance, and lifecycle stages." Reference:ISO/IEC 42001:2023 Clause 9.2.2; Lead Auditor Study Guide, Section 5 ("Technical Review during Audits").

**NEW QUESTION # 122**
Scenario 2: OptiFlow is a logistics company located in New Delhi, India. The company has enhanced its operational efficiency and customer service by integrating AI across various domains, including route optimization, inventory management, and customer support. Recognizing the importance of AI in its operations, OptiFlow decided to implement an Artificial Intelligence Management System (AIMS) based on ISO/IEC 42001 to oversee and optimize the use of AI technologies.
To address Clauses 4.1 and 4.2 of the standard, OptiFlow identified and analyzed internal and external issues and needs and expectations of interested parties. During this phase, it identified specific risks and opportunities related to AI deployment, considering the system's domain, application context, intended use, and internal and external environments. Central to this initiative was the establishment and maintenance of AI risk criteria, a foundational step that facilitated comprehensive AI risk assessments, effective risk treatment strategies, and precise evaluations of risk impacts. This implementation aimed to meet AIMS's objectives, minimize adverse effects, and promote continuous improvement. OptiFlow also planned and integrated strategies to address risks and opportunities into AIMS's processes and assessed their effectiveness.
OptiFlow set measurable AI objectives aligned with its AI policy across all organizational levels, ensuring they met applicable requirements and matched the company's vision. The company placed strong emphasis on the monitoring and communication of these objectives, ensuring they were updated annually or as needed to reflect changes in technology, market demands, or internal processes. It also documented the objectives, making them accessible across the company.
To guarantee a structured and consistent AI risk assessment process, OptiFlow emphasized alignment with its AI policy and objectives. The process included ensuring consistency and comparability, identifying, analyzing, and evaluating AI risks.
OptiFlow prioritizes its AIMS by allocating the necessary resources for its comprehensive development and continuous enhancement. The company carefully defines the competencies needed for personnel affecting AI performance, ensuring a high level of expertise and innovation.
OptiFlow also manages effective internal and external communications about its AIMS, aligning with ISO /IEC 42001 requirements by maintaining and controlling all required documented information. This documentation is meticulously identified, described, and updated to ensure its relevance and accessibility.
Through these strategic efforts, OptiFlow upholds a commitment to excellence and leadership in AI management practices.
To comply with Clause 9 of ISO/IEC 42001, the company determined what needs to be monitored and measured in the AIMS. It planned, established, implemented, and maintained an audit program, reviewed the AIMS at planned intervals, documented review results, and initiated a continuous feedback mechanism from all interested parties to identify areas of improvement and innovation within the AIMS.
Which of the following requirements of Clause 6.1.2 AI risk assessment did OptiFlow NOT consider?

- A. Cost minimization
- B. Documentation
- C. AI risk treatment

**Answer: A**

Explanation:
Clause 6.1.2 of ISO/IEC 42001:2023 addresses AI risk assessment and includes requirements such as:
* Establishing and applying AI risk assessment criteria
* Identifying and analyzing risks and opportunities
* Evaluating AI risks
* Planning for AI risk treatment
* Documenting the process and outcomes to ensure traceability and repeatability In the scenario, OptiFlow:
* Established and maintained AI risk criteria.
* Performed identification, analysis, and evaluation of risks.
* Integrated AI risk treatment into its AIMS.
* Maintained documentation of objectives and internal communications as per the standard.
However, there is no reference in the scenario to cost minimization, either as a guiding factor or an outcome of the AI risk assessment process. While cost control may be a strategic or operational consideration for a business, it is not a core requirement under Clause 6.1.2 and is clearly not discussed in OptiFlow's implementation activities in the scenario.
Therefore, "Cost minimization" is the element NOT considered, making it the correct answer.
Reference:
* ISO/IEC 42001:2023, Clause 6.1.2 - AI risk assessment
* ISO/IEC 42001:2023, Annex A - Guidance on AI risk identification and evaluation

* PECB ISO/IEC 42001 Lead Auditor Guide, Section 6.1.2 - Interpretation of AI risk-based requirements
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**NEW QUESTION # 123**
Question:
What is a significant drawback of using judgment-based sampling in audits?

- A. It relies mostly on previously identified significant risks
- B. It requires extensive statistical training for the audit team
- C. It does not allow for a statistical estimate of uncertainty in the audit findings

**Answer: C**

Explanation:
The major limitation ofjudgment-based samplingis that itdoes not support statistical estimation of audit uncertainty.
* ISO 19011:2018 Clause 6.5.5clarifies:"Judgment-based sampling may introduce bias and cannot provide statistical confidence in the findings."
* Although this method is useful for targeting high-risk areas, it lacks quantifiable precision.
Reference:ISO 19011:2018 Clause 6.5.5; ISO/IEC 42001 Lead Auditor Guide - Section 6 ("AuditSampling and Limitations").

**NEW QUESTION # 124**
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. Fairness and Non-Discrimination
- B. Accountability
- C. Transparency and Explainability
- D. Human-Centered Design

**Answer: D**

Explanation:
The correct guiding principle in this scenario isHuman-Centered Design. This principle is explicitly emphasized inISO/IEC 42001:2023, particularly in the context of aligning AI systems withhuman needs, values, and well-being.
Human-Centered Design ensures that the AI system is designed with afocus 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)andClause 8.2.3 (Operational planning and control)reinforce designing systems that respect and respond to human diversity and usability needs.
ThePECB Lead Auditor Guide - Domain 1lists Human-Centered Design as one of thefoundational AI principlesessential 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 # 125**
Scenario 9:
Scenario 9: Securisai, located in Tallinn.Estonia, specializes in the development of automated cybersecurity solutions that utilize AIsystems. The company recently implemented an artificial intelligence management system AIMS in accordance with ISO/IEC 42001. Indoing so, the company aimed to manage its AI-driven systems' capabilities to detect and mitigate cyber threats more efficiently andethically. As part of its commitment to upholding the highest standards of Al use and management, Securisai underwent a certificationaudit 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, andprocedures 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 thecertification 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 despitebeing initially bound by a long-term agreement with the current certification body.
This decision was motivated by the desire to partnerwith 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 forsubmission to the new certification body. This includes a formal request, the most recent audit report underscoring its adherence toISO/IEC 42001, the latest corrective action plan that highlights its continuous efforts toward improvement, and a copy of its current validcertification 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.
During an AIMS audit at a cybersecurity company, the team found a major nonconformity - ineffective access controls for sensitive data.
Question:
Given this situation, what is the appropriate next step?

- A. Promptly revoke the auditee's certification without further examination
- B. Conduct an audit follow-up before the company is recommended for certification
- C. Conduct another full audit of the auditee's entire AIMS

**Answer: B**

Explanation:
Major nonconformities require follow-upbefore recommending certification.
* ISO/IEC 17021-1:2015 Clause 9.4.9.4requires that for major nonconformities:"Certification shall only be granted after verification of the effective implementation of corrective actions, typically through an on-site follow-up audit."
* Immediate revocation or full re-audit is not necessary unless systemic failure is evident.
Reference:ISO/IEC 17021-1:2015 Clause 9.4.9.4; ISO/IEC 42001:2023 Clause 10.2.

**NEW QUESTION # 126**
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