

# PECB ISO-IEC-42001-Lead-Auditor Web-Based Practice Test Questions



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

Topic	Details
Topic 1	<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 2	<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>
Topic 3	<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>

## PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q57-Q62):

### NEW QUESTION # 57

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.

Roger followed up on action plans after the external audit at Securisai, but he was directly involved in strategic decision-making processes, potentially affecting his audit objectivity.

Question:

Based on Scenario 9, which principle of internal auditing did Roger violate?

- **A. Independence**
- B. Objectivity
- C. Integrity

**Answer: A**

Explanation:

Independence is compromised when an auditor has direct involvement in the management or decision-making processes of the system being audited.

\* ISO/IEC 19011:2018 Clause 4.5 defines independence as: "The basis for the impartiality and objectivity of the audit conclusions."

\* ISO/IEC 17021-1:2015 Clause 5.2.5 reinforces that personnel auditing must be free from involvement in the area audited.

\* By participating in strategic decision-making, Roger violated the independence principle.

Reference: ISO/IEC 19011:2018 Clause 4.5; ISO/IEC 17021-1:2015 Clause 5.2.5.

### NEW QUESTION # 58

During the audit planning phase, what is the primary activity an auditor should focus on?

- A. Issuing corrective actions
- **B. Preparing checklists and audit plans**
- C. Reviewing the final report
- D. Conducting interviews with staff

**Answer: B**

Explanation:

During the audit planning phase, the auditor's key responsibility is to prepare audit plans, checklists, and resource allocations to ensure an effective and efficient audit.

According to ISO 19011:2018 - Clause 6.4.1, planning includes preparing the audit plan, defining the audit schedule, and ensuring that required documents, tools, and team members are ready.

The PECB Lead Auditor Guide - Domain 4 further emphasizes preparing tailored audit checklists based on ISO/IEC 42001 clauses and relevant organizational processes.

Reference: ISO 19011:2018 - Clause 6.4.1 (Planning the audit)

PECB Lead Auditor Guide - Domain 4: "Audit Planning Activities and Tools"

### NEW QUESTION # 59

In which step are the audit findings, including nonconformities, documented and reviewed?

- A. Closing meeting
- B. Conducting the audit
- **C. Audit reporting**
- D. Initiating the audit

**Answer: C**

Explanation:

The Audit Reporting step involves the formal documentation of audit findings, including:

\* Nonconformities

\* Observations

\* Opportunities for improvement

\* Conformity conclusions

According to ISO 19011:2018 - Clause 6.6.1, and reflected in ISO/IEC 42001:2023 - Clause 9.2.2, the audit report must be reviewed and finalized after the audit activities are complete and include verified evidence of all findings.

The PECB Lead Auditor Guide - Domain 6 emphasizes that the audit report is the final output of the audit process and includes all findings that were identified and reviewed during the audit lifecycle.

### NEW QUESTION # 60

Which control in Annex A emphasizes the importance of security measures in AI system operations?

- A. Performance Metrics
- **B. Access Control**
- C. Customer Feedback
- D. Financial Auditing

**Answer: B**

Explanation:

Annex A of ISO/IEC 42001:2023 provides reference controls to support operational and ethical AI governance. The control that emphasizes security in AI system operations is:

A: 8.2.2 - Access Control: This control requires that only authorized individuals or systems can access, modify, or influence the AI system, ensuring data integrity and protection of critical operations.

Access control is a foundational security control used to prevent unauthorized interference or manipulation of AI behavior or data pipelines.

### NEW QUESTION # 61

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

**Answer: C**

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

