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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 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.</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>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	<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>
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## ISO-IEC-42001-Lead-Auditor Interactive EBook, ISO-IEC-42001-Lead-Auditor Reliable Exam Question

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### PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q188-Q193):

#### NEW QUESTION # 188

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. Conducting interviews with staff
- D. Reviewing the final report

#### 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 # 189

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

AIMSlife 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:

Based on Scenario 3, which of the following AI technologies did Audrey employ to assess the efficiency of the bank's digital infrastructure?

- A. Semantic algorithms
- B. An autonomous system
- C. An expert system
- D. Artificial neural networks

**Answer: D**

Explanation:

Audrey used Artificial Neural Networks (ANNs).

Artificial neural networks are AI technologies capable of pattern recognition, data classification, and anomaly detection in large datasets, which is essential when assessing chatbot performance.

\* ISO/IEC 22989:2022 Clause 6.6 states: "ANNs are AI systems inspired by biological neural networks, useful for analyzing structured and unstructured data."

\* ISO/IEC 42001 indirectly refers to using appropriate AI systems for monitoring and assessing AI performance in Clause 8.1 (Operational Controls).

Reference: ISO/IEC 22989:2022 Clause 6.6; ISO/IEC 42001:2023 Clause 8.1 (Operational Controls).

## NEW QUESTION # 190

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

- D. Yes, but only if the contract terms were re-audited

**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 Auditor Study Guide Section 6.2 ("Auditing Outsourced Activities").

**NEW QUESTION # 191**

Based on Scenario 7, what sampling method was used to assess TastyMade's adherence to some requirements of Clause 4.1 Understanding the organization and its context?

Scenario 7: TastyMade, headquartered in Hamburg, Germany, is an established company in the food manufacturing industry that applies AI technologies in its operations. It has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001 to further strengthen its AI management and ensure compliance with international standards. As part of its commitment to excellence and continual improvement, TastyMade is undergoing an audit process to achieve certification against ISO/IEC 42001. In preparation for the audit, TastyMade collaborated closely with the audit team leader to develop a detailed audit plan. This plan encompassed objectives, criteria, scope, and logistical arrangements for both on-site and remote audit activities. Recognizing the specialized nature of AI integration, a technical expert was brought in to support the audit team and ensure comprehensive coverage of relevant aspects. Upon discussion with the audit team leader, it was mutually decided that not every audit team member would need a guide throughout the audit process. At times, the TastyMade itself would assume the role of the guide, actively facilitating audit activities.

A formal opening meeting was held with TastyMade's management to provide an overview of the audit process and set expectations. During this meeting, key interested parties were briefed on the audit objectives and the methodologies that would be employed during the audit. Following the meeting, the audit team proceeded with their work, collecting information and conducting tests to evaluate the effectiveness of TastyMade's AIMS.

Daily evening meetings were held to review progress, discuss encountered issues, and facilitate collaboration among audit team members. The audit team leader adopted an open communication approach, encouraging all auditors to share their findings and challenges.

The communication regarding the progress of the audit

was informal, allowing for a fluid exchange of information and updates among team members.

To verify adherence to some requirements of clause 4.1 Understanding the organization and its context, the audit team arbitrarily selected for analysis a representative sample of AI management practices across different departments and functions within the company.

During the audit process, the technical expert uncovered certain technical and operational findings related to the integration and governance of AI systems.

Recognizing the significance of these findings, the expert promptly informed the audit team leader.

Understanding the need for further clarification and direct

communication, the audit team leader authorized the technical expert to address the findings directly with the auditee. However, to ensure proper oversight, the expert was supervised by one of the audit team members.

Throughout the audit, it became apparent that TastyMade promoted a culture of autonomy and decentralized decision-making in AI integration processes. Employees were empowered to set goals, allocate responsibilities, and devise methodologies independently, with management providing guidance and support as needed. This approach fostered innovation and agility within the company

- A. Stratified
- B. Judgmental
- C. Systematic
- D. Random

**Answer: D**

Explanation:

The scenario states:

"The audit team arbitrarily selected for analysis a representative sample of AI management practices across different departments and functions..." The term "arbitrarily selected" indicates a random sampling method. In audit terminology, random sampling means that the sample is chosen without a specific pattern, giving each unit an equal chance of selection. This is appropriate when assessing general compliance across diverse functions or areas.

Reference:

ISO 19011:2018, Clause 6.5.5 - Audit sampling techniques

PECB ISO/IEC 42001 Lead Auditor Study Guide - Section: Sampling Approaches

## NEW QUESTION # 192

Question:

During an audit, the auditor employed data analytic technology to identify anomalies and unusual patterns in the decision-making processes of an AI system used by a financial institution to approve or reject loan applications. Which data analytic technology did the auditor use?

- A. Data mining
- B. Text analytics
- C. Visual analytics
- D. Predictive analytics

Answer: A

Explanation:

The auditor used Data Mining.

\* Data mining involves exploring large datasets to identify patterns, anomalies, or relationships.

\* ISO/IEC 20546:2019 Clause 3.5 defines data mining as: "The process of discovering patterns, correlations, anomalies, and associations within large datasets."

\* In ISO/IEC 42001:2023, auditors are encouraged in Clause 9.2.2 to use appropriate technological tools to analyze AI system behavior, including using big data technologies for pattern recognition during audits.

Reference: ISO/IEC 20546:2019 Clause 3.5; ISO/IEC 42001:2023 Clause 9.2.2.

## NEW QUESTION # 193

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