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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>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 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>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>

## ISO-IEC-42001-Lead-Auditor Valid Exam Practice & Exam ISO-IEC-42001-Lead-Auditor Blueprint

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### PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q79-Q84):

#### NEW QUESTION # 79

What precautions must the certification body take when conducting short-notice audits?

- A. Inform clients in advance about the conditions under which the audits will be conducted
- B. Obtain consent from clients for the selection of audit team members
- C. Prioritize audits based on the client's schedule

**Answer: A**

Explanation:

According to ISO/IEC 17021-1:2015 Clause 9.6.4, certification bodies must notify clients in advance of short-notice audits and define the conditions and procedures under which these audits are conducted. This ensures transparency, preparedness, and impartiality during the audit process.

Reference:

ISO/IEC 17021-1:2015 Clause 9.6.4 - Short-notice audits

ISO/IEC 42001:2023 Clause 9.2 - Internal audit and external audit consistency

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#### NEW QUESTION # 80

Scenario 6 (continued):

Scenario 6: HappilyAI is a pioneering enterprise dedicated to developing and deploying artificial intelligence AI solutions tailored to enhance customer service experiences across various industries. The company offers innovative products like virtual assistants, predictive analytics tools, and personalized customer interaction platforms. As part of its commitment to operational excellence and innovation, HappilyAI has implemented a robust AI management system AIMS to oversee its AI operations effectively. Currently, HappilyAI is undergoing a comprehensive audit process of its AIMS to evaluate its compliance with ISO/IEC 42001.

Under the leadership of Jess, the audit team began the audit process with meticulous planning and coordination, setting the groundwork for the extensive on-site activities of the stage 1 audit. This initial phase was marked by a comprehensive documentation review. The audit scope encompassed a critical review of HappilyAI's core departments, including Research and Development (R&D), Customer Service, and Data Security, aiming to assess the conformity of HappilyAI's AIMS to the requirements of ISO/IEC 42001.

Afterward, Jess and the team conducted a formal opening meeting with HappilyAI to introduce the audit team and outline the audit activities. The meeting set a collaborative tone for the subsequent phases, where the team engaged in information collection, executed audit tests, identified findings, and prepared draft nonconformity reports while maintaining a strict quality review process. In gathering evidence, the audit team employed a sampling method, which involved dividing the population into homogeneous groups to ensure a comprehensive and representative data collection by drawing samples from each segment. Furthermore, the team employed observation to deepen their understanding of the AI management processes. They verified the availability of essential documentation, including AI-related policies, and evaluated the communication channels established for reporting incidents. Additionally, they scrutinized specific monitoring tools designed to track the performance of data acquisition processes, ensuring these tools effectively identify and respond to errors or anomalies. However, a notable challenge emerged as the team encountered a lack of access to documented information that describes how tasks about AIMS are executed. In addition to this, the team identified a potential nonconformity within the Sales Department. They decided not to record this as a nonconformity in the audit report but only communicated it to the HappilyAI's representatives.

During the stage 2 audit, the certification body, in collaboration with HappilyAI, assigned the roles of technical experts within the audit team. Recognized for their specialized knowledge and expertise in artificial intelligence and its applications, these technical experts are tasked with the thorough assessment of the AIMS framework to ensure its alignment with industry standards and best

practices, focusing on areas such as data ethics, algorithmic transparency, and AI system security.

Question:

Which observation types did the audit team use to enhance their understanding of the AI management processes?

- A. Qualitative and quantitative
- B. Statistical and methodical
- C. General and detailed

**Answer: C**

Explanation:

The audit team used General and Detailed observations:

\* General observations refer to broad, overall assessments.

\* Detailed observations involve in-depth, specific reviews of processes.

\* ISO 19011:2018 Clause 6.5.7 states: "Auditors may conduct general observations to understand the context, followed by detailed observations to examine specific controls and compliance." Reference: ISO 19011:2018 Clause 6.5.7; ISO/IEC 42001 Lead Auditor Study Manual, Section 6 ("Observation Techniques").

### NEW QUESTION # 81

Question:

During the annual ISO/IEC 42001 audit at a financial company, the auditor selected and analyzed a sample of 5 out of 25 follow-up nonconformity reports to assess whether the company adheres to its follow-up process.

What type of evidence did the auditor gather?

- A. Qualitative
- B. Quantitative
- C. Semi-quantitative
- D. Observational

**Answer: B**

Explanation:

The auditor gathered Quantitative evidence.

\* Quantitative evidence is defined as evidence that is measurable and based on numbers or statistical sampling.

\* ISO 19011:2018 Clause 6.5.5 states: "Quantitative audit evidence is numerical or measurable and collected through sampling, measurements, or observations."

\* Sampling nonconformity reports to check process adherence clearly falls under quantitative evidence.

Reference: ISO 19011:2018 Clause 6.5.5; ISO/IEC 42001:2023 Clause 9.2.2.

### NEW QUESTION # 82

Scenario 1 (continued):

To ensure the integrity of the AI system, Future Horizon Academy has implemented measures to ensure that training data remain isolated from data that could lead to harmful or undesirable outcomes. The institution adds significant data elements as metadata, transforms the data into a format usable by the AI system, and uses data from one or more trusted sources.

Committed to standardization and continual improvement, Future Horizon Academy decided to implement an artificial intelligence management system (AIMS) based on ISO/IEC 42001 that would help the institution increase operational efficiency, resulting in improved processes.

After having the AIMS in place for a year, the institution decided to apply for a certification audit to get certified against ISO/IEC 42001. Prior to the certification audit, the institution conducted an internal audit and management review to ensure that the AIMS aligns with the institution's own requirements and that the system is being maintained effectively.

Question:

Based on functionality, what type of AI system did Future Horizon Academy establish?

- A. Theory of mind
- B. Reactive machines
- C. General AI
- D. Limited memory

**Answer: D**

Explanation:

The AI system described uses training data and prior experience (historical data) to make decisions, which matches Limited Memory systems. ISO/IEC 22989:2022 (supportive reference) categorizes Limited Memory AI as those that rely on past data and metadata to improve decision making, and ISO/IEC 42001 refers to AI functionality understanding under Clause 4.2 when considering context and system type.

Reference: ISO/IEC 22989:2022 Section 5.2.3; ISO/IEC 42001:2023 Clause 4.2.

### NEW QUESTION # 83

What type of audit risk is described in the last paragraph of Scenario 4?

Scenario 4: Finalogic leads the application of artificial intelligence in the financial services sector, which is used to improve risk assessment, fraud detection, and customer service. The company has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001 to ensure operational quality, ethical AI use, regulatory compliance, and transparency, allowing for consistent oversight and structured governance.

This month, Finalogic is undergoing an audit to obtain certification against ISO/IEC 42001, a critical step in demonstrating its commitment to responsible AI. To evaluate Finalogic's conformity to the audit criteria, the audit team adopted a comprehensive, evidence-based approach. The gathered evidence ranged from analyses of unquantifiable information to analyses of samples related to determining the audit criteria-including internal reports generated by Finalogic's own AI system-which assert successful integration and compliance with the standard.

Additionally, presentations by the company's AI team during the audit highlighted the system's success in customer service enhancements and fraud detection, emphasizing improved efficiency, decision making accuracy, and user trust. An evaluation report prepared by an independent third party firm specializing in AI systems also provided an objective review of Finalogic's AIMS. It assessed the system's effectiveness, bias, and compliance through a thorough examination.

During the audit, the audit team applied the same level of effort and utilized the same techniques across all audit areas, regardless of their risk level. This strategy ensured a consistent and thorough evaluation of the AIMS, uncovering any latent weaknesses or inefficiencies that might otherwise go unnoticed.

Despite Finalogic's advanced AIMS and adherence to ISO/IEC 42001 for ethical AI practices, there remains a risk of AI algorithms inadvertently perpetuating bias or making inaccurate predictions due to unforeseen flaws in training data or algorithmic models. This could lead to unfair loan rejections or approvals, potentially causing financial losses or damaging the company's reputation for fairness and accuracy in its financial services. By acknowledging these risks, Finalogic remains committed to refining its AI governance, implementing bias mitigation strategies, and enhancing transparency to uphold its reputation as a leader in AI driven financial services.

- A. Detection risk
- B. Compliance risk
- C. Inherent risk
- D. Control risk

**Answer: C**

Explanation:

In the final paragraph, it is mentioned that "there remains a risk of AI algorithms inadvertently perpetuating bias or making inaccurate predictions due to unforeseen flaws in training data or algorithmic models." This describes a situation where the AI system may produce incorrect or biased outcomes even if controls are in place - this is an example of inherent risk.

Inherent risk refers to the susceptibility of a process or system to error or failure in the absence of any related internal controls. These are naturally occurring risks in any environment, particularly when dealing with complex systems like AI.

Reference:

ISO/IEC 42001:2023, Clause 6.1.1 - Understanding risk in AI systems

ISO 19011:2018, Clause 5.4.1 - Types of audit risk

PECB ISO/IEC 42001 Lead Auditor Study Guide - Section: Risk Management in AI Audits

### NEW QUESTION # 84

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