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100% Pass Quiz 2026 PECB ISO-IEC-42001-Lead-Auditor: ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Marvelous New Study Guide

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

Topic	Details

Topic 1	<ul style="list-style-type: none"> 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 IEC 42001. It explains how organizations should structure their AI-related activities and processes to meet compliance standards effectively.
Topic 2	<ul style="list-style-type: none"> Preparing an ISO 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.
Topic 3	<ul style="list-style-type: none"> 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.
Topic 4	<ul style="list-style-type: none"> Closing an ISO 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.

PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q194-Q199):

NEW QUESTION # 194

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. Yes, it is up to the auditee to decide when to submit the action plans
- B. Yes, the submission of the action plans can be delayed for up to 10 days

- C. No, the action plans were not submitted within the specified period

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 # 195

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

Answer: B

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 # 196

Scenario 6:

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 level of documented information could the audit team NOT access?

- A. Level 3
- B. Level 2
- C. Level 1

Answer: A

Explanation:

Level 3 documentation typically includes detailed procedures, work instructions, and records explaining exactly how tasks are performed.

* ISO/IEC 42001:2023 Clause 7.5.1 requires organizations to maintain documented information necessary for the effective functioning of the AIMS.

* The Lead Auditor Study Guide explains: "Level 3 documents are the operational and procedural records that detail the execution of management system activities." The team lacked access to task execution procedures - indicating missing Level 3 documentation.

Reference: ISO/IEC 42001:2023 Clause 7.5.1; ISO 19011:2018 Clause 6.3.

NEW QUESTION # 197

Which among the following is NOT a level of AI?

- A. Artificial Machine Intelligence
- B. Artificial Super Intelligence
- C. Artificial Narrow Intelligence
- D. Artificial General Intelligence

Answer: A

Explanation:

The levels of AI commonly referenced in both ISO/IEC 42001 guidance materials and AI governance literature include:

- * Artificial Narrow Intelligence (ANI)- Specialized in a single task
- * Artificial General Intelligence (AGI)- Human-level general problem-solving capability
- * Artificial Super Intelligence (ASI)- Hypothetical AI surpassing human intelligence Artificial Machine Intelligence is not a formally recognized level and does not appear in ISO/IEC 42001, nor in PECB's standard AI terminology.

The PECB Lead Auditor Guide defines the recognized levels under AI system classification and clarifies that terms like "Artificial Machine Intelligence" are non-standard or colloquial and not part of professional auditing or ISO frameworks.

NEW QUESTION # 198

A social media platform wants to automatically detect and remove inappropriate content from images and videos uploaded by users. Which AI concept is most appropriate for this task?

- A. Deep Learning (DL)
- **B. Computer Vision**
- C. Machine Learning (ML)
- D. Natural Language Processing (NLP)

Answer: B

Explanation:

The most appropriate AI concept for analyzing images and videos is Computer Vision. Computer Vision is a subfield of artificial intelligence that enables systems to interpret and process visual data, such as photos and video frames, which is exactly what is required in this scenario.

According to the PECB Lead Auditor Guide, Computer Vision is explicitly associated with tasks such as object recognition, content moderation, facial recognition, and image classification - all of which are relevant in detecting inappropriate content on platforms like social media.

While Deep Learning is often used within Computer Vision (e.g., convolutional neural networks), the correct high-level concept being asked here is Computer Vision, which encompasses the overall domain applicable to this scenario.

* NLP is used for analyzing text and language, not visual content.

* ML is a broader category under which Computer Vision models are trained, but is too general for this specific task.

Reference: PECB Lead Auditor Guide - Domain 1, Table: "AI Technologies and Use Cases" ISO/IEC 42001:2023 - Clause 8.2.3, which supports aligning AI capabilities (e.g., vision, language, planning) with operational requirements

NEW QUESTION # 199

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