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

Topic	Details
Topic 1	<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.
Topic 2	<ul style="list-style-type: none">• 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.
Topic 3	<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 4	<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 5	<ul style="list-style-type: none"> • Managing an ISO • 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.
Topic 6	<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.

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PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q158-Q163):

NEW QUESTION # 158

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 received minor nonconformities. After the closing meeting, the audit team leader suggested solutions for resolving the nonconformities, at the request of the auditee.

Question:

Was the audit team leader's decision to suggest solutions for the identified nonconformities acceptable?

- A. No, the audit team leader may only suggest specific solutions if explicitly authorized by the certification body
- B. No, the audit team leader cannot suggest solutions for resolving the identified nonconformities to the auditee
- C. Yes, the audit team leader can suggest specific solutions for solving the identified nonconformities if requested by the auditee representatives

Answer: C

Explanation:

Auditors may suggest solutions when requested by the auditee, provided the suggestions are not prescriptive or directive.

* ISO/IEC 17021-1:2015 Clause 5.2.5 prohibits consultancy but allows clarification or explanation of requirements.

* The ISO 19011:2018 Clause 6.6.7 explains that: "Auditors may provide suggestions for improvement when asked, provided they do not compromise impartiality or introduce bias."

* The Lead Auditor Guide states: "Suggestions are permitted when initiated by the auditee and documented clearly as non-mandatory." Reference: ISO/IEC 17021-1:2015 Clause 5.2.5; ISO 19011:2018 Clause 6.6.7.

NEW QUESTION # 159

Question:

Which of the following does NOT constitute an appropriate technology requirement for virtual audits between the auditee and audit team?

- A. Conducting a trial run of the audit process using the selected technology
- B. Performing pre-audit technical assessments
- C. Ensuring contingency plans are available and communicated

Answer: A

Explanation:

While helpful, a trial run of the full audit is not a standard requirement for virtual audits.

* ISO/IEC 17021-1:2015 Clause 9.2.3.1 requires virtual audit feasibility to be confirmed in advance - including connectivity, security, and data access - but trial runs are optional, not mandated.

* ISO 19011:2018 Clause 6.4.5 adds that "pre-audit assessments and contingency planning must be conducted for remote audits to ensure audit reliability." Reference: ISO/IEC 17021-1:2015 Clause 9.2.3.1; ISO 19011:2018 Clause 6.4.5.

NEW QUESTION # 160

Scenario 5 (continued):

Scenario 5: Aizoia, located in Washington, DC, has revolutionized data analytics, software development, and consulting by using advanced AI algorithms. Central to its success is an AI platform adept at deciphering complex datasets for enhanced insights. To ensure that its AI systems operate effectively and responsibly, Aizoia has established an artificial intelligence management system (AIMS) based on ISO/IEC 42001 and is now undergoing a certification audit to verify the AIMS's effectiveness and compliance with ISO/IEC 42001.

Robert, one of the certification body's full-time employees with extensive experience in auditing, was appointed as the audit team leader despite not receiving an official offer for the role. Understanding the critical importance of assembling an audit team with diverse skills and knowledge, the certification body selected competent individuals to form the audit team. The certification body appointed a team of seven members to conduct the audit after considering the specific conditions of the audit mission and the required competencies.

Initially, the certification body, in cooperation with Aizoia, defined the extent and boundaries of the audit, specifying the sites (whether physical or virtual), organizational units, and the activities for review. Once the scope, processes, methods, and team composition had been defined, the certification body provided the audit team leader with extensive information, including the audit objectives and documented details on the scope, processes, methods, and team compositions.

Additionally, the certification body shared contact details of the auditee, including locations, time frames, and the duration of the audit activities to be conducted. The team leader also received information needed for evaluating and addressing identified risks and opportunities for the achievement of the audit objectives.

Before starting the audit, Robert wrote an engagement letter, introducing himself to Aizoia and outlining plans for scheduling initial contact. The initial contact aimed to confirm the communication channels, establish the audit team's authority to conduct the audit, and summarize the audit's key aspects, such as objectives, scope, criteria, methods, and team composition. During this first meeting, Robert emphasized the need for access to essential information that would help to conduct the audit.

Moreover, audit logistics, such as scheduling, access, health and safety arrangements, observer attendance, and the need for guides or interpreters, were thoroughly planned. The meeting also addressed areas of interest or concern, preemptively resolving potential issues and finalizing any matters related to the audit team composition.

As the audit progressed, Robert recognized the complexity of Aizoa's operations, leading him to conclude that a review of its AI-related data governance practices was essential for compliance with ISO/IEC 42001. He discussed this need with Aizoa's management, proposing an expanded audit scope. After careful consideration, they agreed to conduct a thorough review of the AI data governance practices, but there was no mutual decision to officially change the audit scope. Consequently, Robert decided to proceed with the audit based on the original scope, adhering to the initial audit plan, and documented the conversation and decision accordingly.

Based on the scenario above, answer the following question:

Question:

Based on Scenario 5, did the certification body provide all the necessary information to conduct the audit to the audit team leader?

- A. No, the audit team leader did not receive details on the audit team's training requirements
- **B. Yes, all the necessary information was provided to the audit team leader**
- C. No, information on the resources necessary to conduct the audit was not provided

Answer: B

Explanation:

The certification body provided all the necessary information, including scope, objectives, methods, contact information, and risks.

* ISO/IEC 17021-1:2015 Clause 9.2.3.1 and ISO/IEC 42001:2023 Clause 9.2 state that the certification body must equip the audit team leader with sufficient information for audit planning and execution.

* The Lead Auditor Study Material confirms: "Audit planning must be supported by complete and verified information provided by the certification body." Reference: ISO/IEC 17021-1:2015 Clause 9.2.3.1; ISO/IEC 42001:2023 Clause 9.2.

NEW QUESTION # 161

Based on Scenario 8, did Sharona and the audit team address all essential aspects during the closing meeting?

Scenario 8: VeridicAI, based in San Francisco, USA, specializes in market research using AI technologies to analyze customer behavior. Founded in 2023, the company employs natural language processing, machine learning, and predictive analytics to provide real-time insights to a range of businesses. VeridicAI has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001 to manage its AI technologies effectively. The AIMS scope includes select departments within the company, for which it has received a four-year certification against ISO/IEC 42001. Committed to transparency, VeridicAI publicly shares details of this certification.

As the certification nears its end, VeridicAI is preparing for an audit to renew its certification.

The audit process was led by Sharona, the audit team leader, who is a full-time employee of the certification body. Sharona and the audit team undertook all planned audit activities. Afterward, they organized the closing meeting with VeridicAI's management. During the meeting, Sharona and the team made a recap on audit objectives and scope, presented the audit findings and conclusions, presented identified nonconformities, and organized a session for questions and answers for the auditee.

VeridicAI received a conditional recommendation for certification, underscoring its compliance with the industry's standards.

Sharona confirmed that the company met the essential requirements but noted some identified minor nonconformities. In response, VeridicAI compiled and submitted a comprehensive action plan that addresses all identified nonconformities within a designated timeframe. Because of the comprehensive action plan, Sharona did not see the need for an additional on-site visit to verify the effectiveness of the action plan.

Sharona played an integral role in the certification decision process. Her thorough understanding of VeridicAI's operations, gained from the audit, guided the certification body towards a well-informed certification decision.

- **A. Yes, they addressed all necessary aspects**
- B. No, they should not have involved information on technical experts and guides
- C. No, they should have included information on the limitations of the audit

Answer: A

Explanation:

Sharona and the team presented the audit objectives, scope, findings, conclusions, and nonconformities and conducted a Q&A session. According to ISO 19011:2018 Clause 6.4.10 and ISO/IEC 42001:2023 auditing practice guidance, these are all essential elements of an audit closing meeting. Although limitations of the audit may sometimes be stated, it is not mandatory unless explicitly requested or if the audit scope was constrained.

Reference:

ISO 19011:2018 Clause 6.4.10 - Conducting the closing meeting

NEW QUESTION # 162

Which of the following statements best describes the evidence collection process carried out by the audit team at Finalogic? Refer to 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. The audit team collected both qualitative and quantitative evidence
- B. The audit team collected only internal performance metrics
- C. The audit team collected only qualitative evidence
- D. The audit team collected only quantitative evidence

Answer: A

Explanation:

The scenario states the audit team "gathered evidence ranging from analyses of unquantifiable information to analyses of samples," and considered internal AI system reports, third-party evaluations, and team presentations.

* Unquantifiable information = Qualitative evidence

* Sample-based data = Quantitative evidence

Therefore, the audit team collected both qualitative and quantitative evidence as part of a comprehensive audit strategy.

Reference:

ISO/IEC 42001:2023, Clause 9.2.2 - Audit evidence types

ISO 19011:2018, Clause 6.5.2 - Gathering audit evidence

PECB ISO/IEC 42001 Lead Auditor Study Guide - Section: Collecting and Verifying Audit Evidence

NEW QUESTION # 163

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