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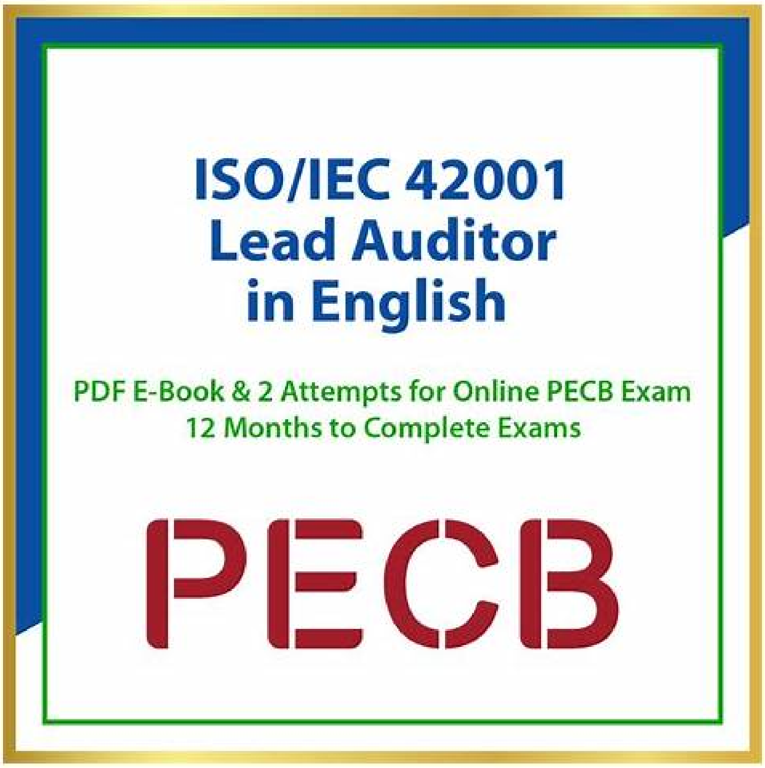

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## PECB ISO-IEC-42001-Lead-Auditor Exam Syllabus Topics:

| Topic | Details |
|---|---|
| Topic 1 | • 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<br>• IEC 42001. It explains how organizations should structure their AI-related activities and processes to meet compliance standards effectively. |
| Topic 2 | • Managing an ISO<br>• 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 3 | • Closing an ISO<br>• 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. |

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| Topic 4 | - 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. |

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## PECB ISO/IEC 42001:2023Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q177-Q182):

**NEW QUESTION # 177**
A financial institution uses an AI system to approve loan applications. Recently, there have been complaints that the system disproportionately denies loans to applicants from certain minority groups.
Which core element should the institution prioritize to address these complaints?

- A. Accountability
- B. Transparency and Explainability
- C. Fairness and Non-Discrimination
- D. Privacy and Security

**Answer: C**

Explanation:
The most relevant core principle here isFairness and Non-Discrimination. This principle aims to ensure that AI systems do notcreate or perpetuate bias, especially in high-stakes decision-making areas such as financial services.
According toISO/IEC 42001:2023 - Clause 6.1.2andAnnex A (A.8.2.4), organizations must evaluate and manage risks related tobias, discrimination, and ethical implicationsof AI decisions.
In thePECB Lead Auditor Guide, Fairness is cited as critical in sectors likefinance, hiring, healthcare, and where decisions may adversely impact protected groups.
Reference: ISO/IEC 42001:2023 - Clause 6.1.2 (AI-related risks and impact), Annex A: Control A.8.2.4 (Bias and fairness)
PECB Lead Auditor Guide - Domain 1: "Core Principles of Trustworthy AI"

**NEW QUESTION # 178**
Scenario 6 (continued):
Scenario 6: HappilyAI is a pioneering enterprise dedicated to developing and deploying artificial intelligence Al solutions tailored toenhance 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 andinnovation, HappilyAI has implemented a robust Al management system AIMS to oversee its Al 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 groundworkfor the extensive on-site activities of the stage 1 audit. This initial phase was marked by a comprehensive documentation review. Theaudit scope encompassed a critical review of HappilyAI's core departments, including Research and Development (R&D), CustomerService, 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 auditactivities. The meeting set a collaborative tone for the subsequentphases, where the team engaged in information collection, executedaudit 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 toensure a comprehensive and representative data collection by drawing samples from each segment. Furthermore, the team employedobservation to deepen their understanding of the Al management processes. They verified the availability of essential documentation,including Al-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 thesetools effectively identify and respond to errors or anomalies. However, a notable challenge emerged as the team encountered a lack ofaccess to documented information that describes how tasks about AIMS are executed. In addition to this, the team identified a potentialnonconformity within the Sales Department. They decided not to record this as a nonconformity in the audit report but onlycommunicated 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 auditteam. Recognized for their specialized knowledge and expertise in artificial intelligence and its applications, these technical experts aretasked 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 Al system security.
Question:
Which observation types did the audit team use to enhance their understanding of the AI management processes?

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

**Answer: A**

Explanation:
The audit team usedGeneral and Detailed observations:
* General observations refer to broad, overall assessments.
* Detailed observations involve in-depth, specific reviews of processes.
* ISO 19011:2018 Clause 6.5.7states:"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 # 179

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

**Answer: A**

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 # 180

What should an auditor do to evaluate the auditee's conformity to control A.9 Use of AI systems?

- A. Verify processes and objectives for the responsible use of AI systems, assess implementation mechanisms, and confirm compliance with intended use
- B. Interview the CEO regarding ethical decisions made in previous AI projects
- C. Review diagrams or records that show the data flow and history to validate traceability
- D. Analyze contracts with partners, suppliers, and third parties to verify that responsibilities related to AI systems are stated

**Answer: A**

Explanation:
Control A.9 in ISO/IEC 42001:2023 addresses the use of AI systems. It requires organizations to ensure AI systems are used in accordance with defined objectives and aligned with ethical principles, intended use, and applicable controls. Auditors must evaluate whether processes exist for the responsible use of AI and confirm that implementation aligns with those objectives.
Option A is related more to third-party agreements (Control A.6), and Option C refers to traceability (Control A).7 or A.13).
Reference:
ISO/IEC 42001:2023, Annex A, Control A.9 - Use of AI Systems
PECB ISO/IEC 42001 Lead Auditor Study Guide - Section: Verifying Responsible Use of AI
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**NEW QUESTION # 181**
Based on Scenario 4, the audit team employed the same level of effort and techniques across all audit areas. Is this recommended?
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 Al 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 Al. 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 Al system-which assert successful integration and compliance with the standard.
Additionally, presentations by the company's Al 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 Al 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 Al practices, there remains a risk of Al 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 Al governance, implementing bias mitigation strategies, and enhancing transparency to uphold its reputation as a leader in Al driven financial services.

- A. No, auditors should apply more effort and use more advanced techniques only in areas specifically mentioned by the auditee
- B. Yes, to ensure consistency regardless of risk
- C. Yes, auditors should apply the same level of effort and techniques in all audit areas
- D. No, auditors should follow a risk-based approach by focusing on the audit areas that pose the greatest risk

**Answer: D**

Explanation:
ISO 19011:2018 and ISO/IEC 42001 emphasize the importance of applying a risk-based approach during audits. This means audit resources and focus should be allocated based on the level of risk associated with each audit area.
In the scenario, the audit team applied the same level of effort and technique across all audit areas "regardless of their risk level." This contradicts best practices which recommend prioritizing areas of higher inherent or residual risk.
Reference:
ISO 19011:2018, Clause 5.4 - Risk-based auditing

ISO/IEC 42001:2023, Clause 9.2 - Conducting an internal audit
PECB ISO/IEC 42001 Lead Auditor Study Guide - Chapter: Risk-Based Auditing
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**NEW QUESTION # 182**

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