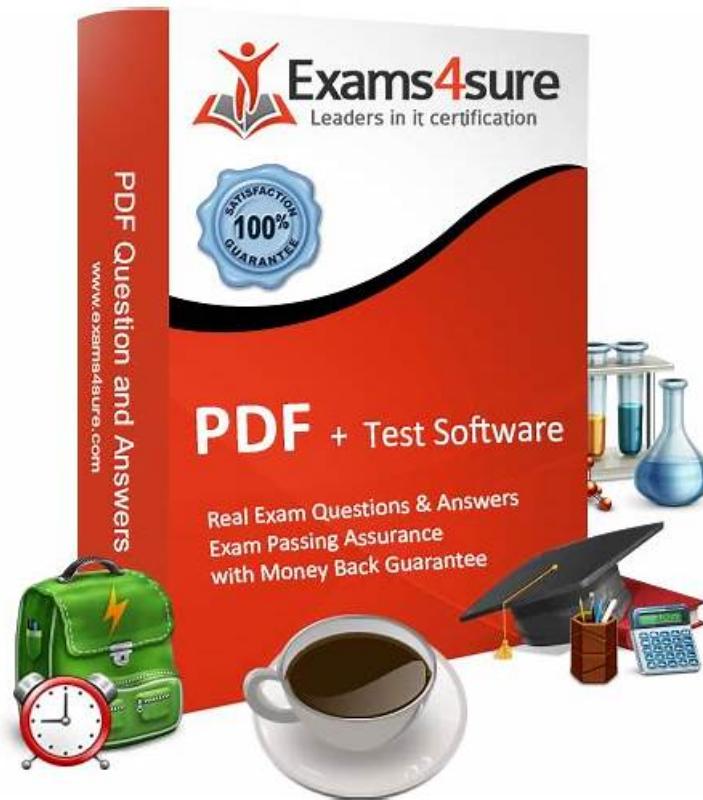


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PECB ISO-IEC-42001-Lead-Auditor Exam Syllabus Topics:

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">• 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"> • 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 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"> • Conducting an ISO • IEC 42001 audit: This section of the exam measures the skills of a Lead Auditor and focuses on executing the audit according to ISO • IEC 42001 guidelines. It includes collecting evidence, interviewing relevant staff, and evaluating compliance with the AI management system standards.

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Questions and Answers for the ISO-IEC-42001-Lead-Auditor Exam, Authentic 2026

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PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q125-Q130):

NEW QUESTION # 125

Which statement best reflects the principle of professional skepticism?

- A. Auditors ensure their reports clearly reflect the system's effectiveness, ethical concerns, and operational issues
- B. Auditors should always trust the auditee's representation unless contradictory evidence is obvious
- **C. Auditors critically evaluate AI systems, actively seeking evidence that may contradict claims of ethical compliance and accuracy**
- D. Auditors use their expertise to assess AIMS, ensuring it meets organizational needs and maintains stakeholder trust

Answer: C

Explanation:

Professional skepticism is an audit principle emphasizing the need for auditors to maintain a questioning mindset and critically assess evidence. It involves actively searching for inconsistencies or contradictions in the evidence provided.

ISO 19011:2018 emphasizes that auditors must "remain alert to indications of nonconformity and fraud" and "consider contradictory information." This is especially relevant in AI audits where ethical compliance and data quality must be scrutinized.

Reference:

ISO 19011:2018, Clause 4(e) - Professional Skepticism

ISO/IEC 42001:2023, Clause 9.2.2 - Evaluating objective evidence

PECB ISO/IEC 42001 Lead Auditor Guide - Section: Auditor Attributes and Competence

NEW QUESTION # 126

Scenario 7 (continued):

Scenario 7: ICure, headquartered in Bratislava, is a medical institution known for its use of the latest technologies in medical practices. It has introduced groundbreaking AI-driven diagnostics and treatment planning tools that have fundamentally transformed patient care.

ICure has integrated a robust artificial intelligence management system AIMS to manage its AI systems effectively. This holistic management framework ensures that ICure's AI applications are not only developed but also deployed and maintained to adhere to the highest industry standards, thereby enhancing efficiency and reliability.

ICure has initiated a comprehensive auditing process to validate its AIMS's effectiveness in alignment with ISO/IEC 42001. The stage 1 audit involved an on-site evaluation by the audit team. The team evaluated the site-specific conditions, interacted with ICure's personnel, observed the deployed technologies, and reviewed the operations that support the AIMS. Following these observations, the findings were documented and communicated to ICure, setting the stage for subsequent actions.

Unforeseen delays and resource allocation issues introduced a significant gap between the completion of stage 1 and the onset of stage 2 audits. This interval, while unplanned, provided an opportunity for reflection and preparation for upcoming challenges.

After four months, the audit team initiated the stage 2 audit. They evaluated AIMS's compliance with ISO/IEC 42001 requirements, paying special attention to the complexity of processes and their documentation. It was during this phase that a critical observation was made:

ICure had not fully considered the complexity of its processes and their interactions when determining the extent of documented information. Essential processes related to AI model training, validation, and deployment were not documented accurately, hindering effective control and management of these critical activities. This issue was recorded as a minor nonconformity, signaling a need for enhanced control and management of these vital activities.

Simultaneously, the auditor evaluated the appropriateness and effectiveness of the "AIMS Insight Strategy," a procedure developed by ICure to determine the AIMS internal and external challenges. This examination identified specific areas for improvement, particularly in the way stakeholder input was integrated into the system. It highlighted how this could significantly enhance the contribution of relevant parties in strengthening the system's resilience and effectiveness.

The audit team determined the audit findings by taking into consideration the requirements of ICure, the previous audit records and conclusions, the accuracy, sufficiency, and appropriateness of evidence, the extent to which planned audit activities are realized and planned results achieved, the sample size, and the categorization of the audit findings. The audit team decided to first record all the requirements met; then they proceeded to record the nonconformities.

Based on the scenario above, answer the following question:

Question:

Which clause did the audit team evaluate when assessing the appropriateness of the "AIMS Insight Strategy" procedure?

- A. Clause 5.2 AI policy
- B. Clause 4.3 Determining the scope of the AI management system
- C. Clause 4.1 Understanding the organization and its context

Answer: C

Explanation:

The "AIMS Insight Strategy" refers to ICure's method for identifying internal and external challenges, which maps directly to Clause 4.1.

* ISO/IEC 42001:2023 Clause 4.1 requires organizations to determine external and internal issues relevant to the AIMS, including stakeholder needs and challenges.

* The Lead Auditor Manual states: "Clause 4.1 focuses on environmental, regulatory, technological, and organizational factors that affect AI operations and should be addressed through strategic tools like insight strategies." Reference: ISO/IEC 42001:2023 Clause 4.1; Lead Auditor Study Guide Module 2.

NEW QUESTION # 127

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
- D. Relying solely on email communication for the entire audit process

Answer: D

Explanation:

Relying solely on email communication for conducting an entire virtual audit is not an appropriate or sufficient technology requirement. Virtual audits must be interactive, allowing for real-time engagement, document sharing, screen sharing, live interviews, and visual observations when needed.

ISO 19011:2018 (Clause A.17) provides guidance for remote audit techniques, including the need for reliable tools, contingency plans, trial runs, and technical compatibility checks.

Reference:

ISO 19011:2018, Annex A.17 - Use of remote audit methods

PECB ISO/IEC 42001 Lead Auditor Guide - Section: Technology and Infrastructure Requirements for Remote Audits ISO/IEC 42001:2023 - Clause 9.2.3 - Audit implementation considerations Here are the detailed answers to Questions 64-67, based on Scenario 8 and aligned with ISO/IEC 42001:

2023, ISO/IEC 17021-1:2015, and audit best practices outlined in ISO 19011:2018 and PECB guidance.

Certainly! Below are Questions No. 64 to 67 reformatted exactly per your requested structure based on ISO

/IEC 42001:2023 - Artificial Intelligence Management System Lead Auditor guidelines, with verified correct answers and comprehensive explanations with reference to the standard.

NEW QUESTION # 128

Which requirement of Clause 7 (Support) of ISO/IEC 42001 did OptiFlow NOT implement? Refer to Scenario 2.

Scenario 2: OptiFlow is a logistics company located in New Delhi, India. The company has enhanced its operational efficiency and customer service by integrating AI across various domains, including route optimization, inventory management, and customer support. Recognizing the importance of AI in its operations, OptiFlow decided to implement an Artificial Intelligence Management System (AIMS) based on ISO/IEC 42001 to oversee and optimize the use of AI technologies.

To address Clauses 4.1 and 4.2 of the standard, OptiFlow identified and analyzed internal and external issues and needs and expectations of interested parties. During this phase, it identified specific risks and opportunities related to AI deployment, considering the system's domain, application context, intended use, and internal and external environments. Central to this initiative was the establishment and maintenance of AI risk criteria, a foundational step that facilitated comprehensive AI risk assessments, effective risk treatment strategies, and precise evaluations of risk impacts. This implementation aimed to meet AIMS's objectives, minimize adverse effects, and promote continuous improvement. OptiFlow also planned and integrated strategies to address risks and opportunities into AIMS's processes and assessed their effectiveness.

OptiFlow set measurable AI objectives aligned with its AI policy across all organizational levels, ensuring they met applicable requirements and matched the company's vision. The company placed strong emphasis on the monitoring and communication of these objectives, ensuring they were updated annually or as needed to reflect changes in technology, market demands, or internal processes. It also documented the objectives, making them accessible across the company.

To guarantee a structured and consistent AI risk assessment process, OptiFlow emphasized alignment with its AI policy and objectives. The process included ensuring consistency and comparability, identifying, analyzing, and evaluating AI risks.

OptiFlow prioritizes its AIMS by allocating the necessary resources for its comprehensive development and continuous enhancement. The company carefully defines the competencies needed for personnel affecting AI performance, ensuring a high level of expertise and innovation.

OptiFlow also manages effective internal and external communications about its AIMS, aligning with ISO /IEC 42001 requirements by maintaining and controlling all required documented information. This documentation is meticulously identified, described, and updated to ensure its relevance and accessibility.

Through these strategic efforts, OptiFlow upholds a commitment to excellence and leadership in AI management practices.

To comply with Clause 9 of ISO/IEC 42001, the company determined what needs to be monitored and measured in the AIMS. It planned, established, implemented, and maintained an audit program, reviewed the AIMS at planned intervals, documented review results, and initiated a continuous feedback mechanism from all interested parties to identify areas of improvement and innovation within the AIMS

- A. Ensure that individuals under their control are informed about the AI policy
- B. Ensure that employees are competent on the basis of appropriate education
- C. Ensure that changes are carried out in a planned manner

Answer: C

Explanation:

Clause 7 of ISO/IEC 42001 (Support) outlines key requirements related to:

- * Resources
- * Competence
- * Awareness
- * Communication
- * Documented information

According to the scenario:

- * OptiFlow defines competencies required for personnel and allocates necessary resources (covers A).
- * It manages internal/external communication, and documentation practices (covers C).
- * However, there is no mention of planning and controlling changes - a key requirement under Clause 7.5.6 and also reflected in Clause 8 (Operational planning and control), which often ties into Clause 7 for support readiness.

Thus, Option B - "Ensure that changes are carried out in a planned manner" - was not evidenced in the scenario and is the correct answer.

Reference:

- * ISO/IEC 42001:2023, Clause 7.2 (Competence), 7.3 (Awareness), and 7.4 (Communication)
- * Clause 7.5.6 - Control of changes
- * PECB AI Lead Auditor Training Guide, Section 7 - Support functions in AIMS

NEW QUESTION # 129

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.

Question:

What type of audit is described in the last paragraph of Scenario 9?

- A. Recertification audit
- B. Surveillance audit
- C. Internal audit

Answer: B

Explanation:

The follow-up audit one year after initial certification to assess ongoing conformity is classified as a Surveillance Audit.

* ISO/IEC 17021-1:2015 Clause 9.6.2.1 states: "Surveillance audits are conducted at least once a year to ensure that the certified management system continues to meet requirements."

* ISO/IEC 42001:2023 Clause 9.2.2 also references surveillance as part of maintaining AI management system certification.

Reference: ISO/IEC 17021-1:2015 Clause 9.6.2.1; ISO/IEC 42001:2023 Clause 9.2.2.

NEW QUESTION # 130

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