

# Quiz PECB - ISO-IEC-42001-Lead-Auditor Perfect Valid Torrent



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

Topic	Details
Topic 1	<ul style="list-style-type: none"><li>• 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.</li></ul>
Topic 2	<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 3	<ul style="list-style-type: none"><li>• Preparing an ISO</li><li>• 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.</li></ul>
Topic 4	<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>

>> Valid ISO-IEC-42001-Lead-Auditor Torrent <<

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## 42001:2023 Artificial Intelligence Management System Lead Auditor Exam

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### PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q36-Q41):

#### NEW QUESTION # 36

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 # 37

What among the below list of steps comes before the other ones in the management system audit process?

- A. Conducting the opening meeting
- **B. Initiating the audit**
- C. Performing document review
- D. Preparing the audit report

**Answer: B**

Explanation:

The first step in the audit process is initiating the audit.

As per ISO 19011:2018 - Clause 6.3, initiating the audit involves activities such as appointing the audit team, defining the audit scope and objectives, and communicating with the auditee to set expectations.

After initiation, the auditor proceeds with document review, followed by the opening meeting, and then moves into audit execution and reporting.

### NEW QUESTION # 38

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

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

**Answer: C**

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

### NEW QUESTION # 39

Which among the following core concepts of Artificial Intelligence uses artificial neural networks inspired by the human brain to process complex data like images, text, and speech?

- A. Natural Language Processing
- B. Computer Vision
- **C. Deep Learning**
- D. Machine Learning

**Answer: C**

Explanation:

Deep Learning (DL) is a subfield of Machine Learning that employs artificial neural networks, particularly multi-layered architectures, inspired by the structure and function of the human brain. DL excels at processing high-dimensional data such as:

\* Images (e.g., object detection)

\* Text (e.g., sentiment analysis)

\* Speech (e.g., voice recognition)

While NLP and Computer Vision are application domains, and Machine Learning is the broader category, Deep Learning is the correct specific technique known for handling such complex tasks.

As per the PECB Lead Auditor Study Guide - Domain 1, Deep Learning is used when large volumes of unstructured or complex data are involved, and is referenced as the foundation of modern AI systems like voice assistants, recommendation engines, and image recognition tools.

## NEW QUESTION # 40

Scenario 9 (continued):

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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.

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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. Integrity
- C. Independence

**Answer: C**

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 # 41

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