

Exam ISO-IEC-42001-Lead-Auditor Practice - ISO-IEC-42001-Lead-Auditor Real Testing Environment



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

Topic	Details
Topic 1	• 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 2	• 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.
Topic 3	• 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.

ISO-IEC-42001-Lead-Auditor Real Testing Environment, ISO-IEC-42001-Lead-Auditor Reliable Dumps Sheet

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PECB ISO/IEC 42001:2023Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q150-Q155):

NEW QUESTION # 150

Scenario 3: Heala specializes in developing AI-driven solutions for the healthcare sector. With a keen focus on leveraging AI to revolutionize patient care, diagnostics, and treatment planning, the company has implemented an Artificial Intelligence Management System (AIMS) based on ISO/IEC 42001. After a year of having the AIMS in place, the company decided to apply for a certification audit.

It contracted a local certification body, who established the audit team and assigned the audit team leader.

Augustine, the designated audit team leader, has a wide range of skills relevant to various auditing domains.

His proficiency encompasses audit principles, processes, and methods, as well as standards for management systems and additional references. Furthermore, he is knowledgeable about Heala's context and relevant statutory and regulatory requirements.

Augustine first gathered management review records, interested party feedback logs, and revision histories for Heala's AIMS. This crucial step laid the groundwork for a deeper investigation, which included conducting comprehensive interviews with key personnel to understand how feedback from interested parties directly influenced updates to the AIMS and its strategic direction. Augustine's thorough evaluation process aimed to verify Heala's commitment to integrating the needs and expectations of interested parties, a critical requirement of ISO/IEC 42001.

Augustine also integrated a sophisticated AI tool to analyze large datasets for patterns and anomalies, and thus have a more informed and data-driven audit process. This AI solution, known for its ability to sift through vast amounts of data with unparalleled speed and accuracy, enabled Augustine to identify irregularities and trends that would have been nearly impossible to detect through manual methods. The tool was also helpful in preparing hypotheses based on data.

During the audit, Augustine failed to fully consider Heala's critical processes, expectations, the complexity of audit tasks, and necessary resources beforehand. This oversight compromised the audit's integrity and reliability, reflecting a significant deviation from the diligence and informed judgment expected of auditors.

Based on the scenario above, answer the following question:

Did Augustine possess the knowledge and skills required to be appointed as an audit team leader?

- A. No, Augustine did not possess knowledge on Heala's operations and products
- **B. Yes, Augustine had the required knowledge and skills to exercise the role of an auditor**
- C. No, Augustine lacked understanding of Heala's organizational structure, objectives, and management practices necessary for an auditor

Answer: B

Explanation:

According to ISO/IEC 17021-1:2015 (used for auditor competence requirements in management system certification), audit team leaders must demonstrate competence in:

Understanding of audit principles, processes, and methods

Knowledge of relevant standards (such as ISO/IEC 42001)

Familiarity with organizational context, statutory/regulatory frameworks, and management systems Ability to collect and evaluate objective evidence Communication and leadership skills Based on the scenario:

Augustine had deep knowledge of ISO/IEC 42001, audit principles, regulatory requirements, and Heala's context.

He reviewed strategic documents, conducted interviews, and applied AI tools effectively to enhance evidence- based auditing.

His oversight in audit planning (failing to evaluate complexity, resources, and expectations) reflects a lapse in planning diligence, not a lack of knowledge or qualification.

Therefore, Augustine met the knowledge and skill requirements of an auditor and audit team leader. His failure in audit planning relates to execution, not competency, so Option C is correct.

Reference:

ISO/IEC 17021-1:2015, Clause 7.2.5 - Competence of audit team leader

ISO/IEC 42001:2023, Clause 9.2 - Internal audit

PECB ISO/IEC 42001 Lead Auditor Guide, Chapter 5 - Auditor competencies and ethical conduct ChatGPT said:

NEW QUESTION # 151

Scenario 1 (continued):

To ensure the integrity of the AI system, Future Horizon Academy has implemented measures to ensure that training data remain isolated from data that could lead to harmful or undesirable outcomes. The institution adds significant data elements as metadata, transforms the data into a format usable by the AI system, and uses data from one or more trusted sources.

Committed to standardization and continual improvement, Future Horizon Academy decided to implement an artificial intelligence management system (AIMS) based on ISO/IEC 42001 that would help the institution increase operational efficiency, resulting in improved processes.

After having the AIMS in place for a year, the institution decided to apply for a certification audit to get certified against ISO/IEC 42001. Prior to the certification audit, the institution conducted an internal audit and management review to ensure that the AIMS aligns with the institution's own requirements and that the system is being maintained effectively.

Question:

Prior to the certification audit, the institution conducted an internal audit and management review. Is this acceptable?

- A. No, the internal audit should be conducted after the certification audit to ensure any recommendations from the audit team are addressed
- B. No, internal audits are only required for recertification audits
- C. No, only an internal audit should be conducted before the initial audit
- **D. Yes, an internal audit and management review can be conducted before the certification audit**

Answer: D

Explanation:

ISO/IEC 42001:2023 Clause 9.2 (Internal Audit) and Clause 9.3 (Management Review) require organizations to perform internal audits and management reviews to ensure the system's continued suitability, adequacy, and effectiveness prior to certification audits. Reference: ISO/IEC 42001:2023 Clauses 9.2 and 9.3.

NEW QUESTION # 152

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 Securisa'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 Securisa's AIMS consistently meets the requirements set by ISO/IEC 42001.

Question:

In the context of Roger's action plan at Securisa, was the plan he developed a general plan or a detailed plan?

- A. It was a general plan because it outlined overall AIMS processes to be audited every three years
- B. It was a detailed plan because it covered key AIMS processes
- C. It was a detailed plan because it focused only on specific AIMS processes to be audited every year

Answer: A

Explanation:

Roger created a general plan because it outlined broad AIMS processes to be audited on a triennial (three-year) cycle, not detailed annual or operational specifics.

* ISO 19011:2018 Clause 5.4.1 defines a general audit plan as: "An overview that outlines the audits to be conducted over a period, typically linked to organizational objectives and risk exposure."

* A detailed audit plan would break down yearly activities - which is not described here.

Reference: ISO 19011:2018 Clause 5.4.1; ISO/IEC 42001 Lead Auditor Manual Section 6 ("Audit Program Development").

NEW QUESTION # 153

Which among the following is NOT a core element of AIMS?

- A. Independence and honesty
- B. Safety and reliability
- C. Privacy and security
- D. Fairness and non-discrimination

Answer: A

Explanation:

While Independence and honesty are general auditing values (as per ISO 19011:2018, Clause 4 on audit principles), they are not listed as core principles of an AI Management System (AIMS) under ISO/IEC 42001:2023.

The recognized core principles and values within an AIMS - according to the standard and PECB training - include:

- * Fairness and Non-Discrimination
- * Privacy and Security
- * Safety and Reliability
- * Accountability
- * Transparency and Explainability
- * Human-Centered Design

These principles guide the risk management, operational control, and ethical alignment of AI systems throughout their lifecycle, as required in Clauses 4.2, 6.1, and 8.2 of ISO/IEC 42001.

Reference: ISO/IEC 42001:2023 - Clauses 4.2, 6.1.2, 8.2.3

PECB Lead Auditor Guide - Domain 1: "Core Principles of AIMS"

NEW QUESTION # 154

Which among the following is NOT a level of AI?

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

Answer: B

Explanation:

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

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