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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	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 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.

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PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q138-Q143):

NEW QUESTION # 138

Which among the following is NOT a level of AI?

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

Answer: C

Explanation:

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

- * Artificial Narrow Intelligence (ANI)- Specialized in a single task
 - * Artificial General Intelligence (AGI)- Human-level general problem-solving capability
 - * Artificial Super Intelligence (ASI)- Hypothetical AI surpassing human intelligence Artificial Machine Intelligence is not a formally recognized level and does not appear in ISO/IEC 42001, nor in PECB's standard AI terminology.
- The PECB Lead Auditor Guide defines the recognized levels under AI system classification and clarifies that terms like "Artificial Machine Intelligence" are non-standard or colloquial and not part of professional auditing or ISO frameworks.

NEW QUESTION # 139

In which step are the audit findings, including nonconformities, documented and reviewed?

- **A. Audit reporting**
- B. Conducting the audit
- C. Initiating the audit
- D. Closing meeting

Answer: A

Explanation:

The Audit Reporting step involves the formal documentation of audit findings, including:

- * Nonconformities
- * Observations
- * Opportunities for improvement
- * Conformity conclusions

According to ISO 19011:2018 - Clause 6.6.1, and reflected in ISO/IEC 42001:2023 - Clause 9.2.2, the audit report must be reviewed and finalized after the audit activities are complete and include verified evidence of all findings.

The PECB Lead Auditor Guide - Domain 6 emphasizes that the audit report is the final output of the audit process and includes all findings that were identified and reviewed during the audit lifecycle.

Reference: ISO 19011:2018 - Clause 6.6.1 (Preparing and distributing the audit report) ISO/IEC 42001:2023 - Clause 9.2.2 (Internal audit) PECB Lead Auditor Guide - Domain 6: "Audit Reporting and Closing Activities"

NEW QUESTION # 140

Jonathan received an offer from the certification body including detailed information related to the audit.

What other information should have been included in the audit offer? Refer to Scenario 5.

Scenario 5: Alterhealth is a mid-sized technology firm based in Toronto, Canada. It develops AI systems for healthcare providers, focusing on improving patient care, optimizing hospital workflows, and analyzing healthcare data for insights that can improve health outcomes.

To ensure responsible and effective use of AI in its operations, Alterhealth 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 to obtain certification against ISO/IEC 42001.

The company contracted a certification body to conduct the audit, who assembled the audit team and appointed the audit team leader. The audit team leader had conducted a certification audit at Alterhealth in the past. The top management of Alterhealth decided to reject the appointment of this auditor because they believed that they would not receive added value from the audit. In response, the certification body appointed Jonathan, an independent auditor with no prior engagements with Alterhealth, as the new audit team leader. Jonathan's introduction marked the beginning of a collaborative process aimed at evaluating the conformity of the AIMS to ISO/IEC 42001 requirements.

The certification body determined the audit scope, which included only specific departments essential to the integration and application of AI, such as the AI Research, Machine Learning Applications, and AI Ethics and Compliance Departments, and did not cover all of the departments covered by the AIMS scope. Meanwhile, Alterhealth determined the audit time, setting the necessary time frame for planning and conducting a thorough and effective review to ensure all aspects of the AIMS within the selected departments were meticulously reviewed.

Afterward, Jonathan received a detailed offer from the certification body, outlining his role and including information related to the audit, such as the audit's duration, team members, their responsibilities, the limits to the audit engagement, and their salary compensation. With a clear mandate, Jonathan was tasked with a multitude of responsibilities: defining the audit objectives and criteria, planning the audit process, identifying and addressing audit risks, managing communication with Alterhealth, overseeing the audit team, and ensuring a smooth and conflict free execution.

With Jonathan's leadership and a well-defined audit framework in place, the certification audit proceeded with a structured and objective evaluation of Alterhealth's AIMS.

- A. Information about the guides and observers that would participate during the audit
- B. Objectives of the stage 1 audit
- C. Audit scope
- D. Audit risk register

Answer: A

Explanation:

According to ISO/IEC 17021-1:2015, the certification body must communicate relevant information about the audit to the auditee and audit team. This includes notifying the audit team of guides and observers who may be present.

The scenario already mentions that the certification body provided information on the audit's duration, responsibilities, team members, and salary - but it does not mention guides or observers, which are standard participants in audits and should be communicated.

Reference:

ISO/IEC 17021-1:2015, Clause 9.1.4 - Audit arrangements, including guides and observers ISO 19011:2018, Clause 6.4.2 - Planning for audit participants PECB ISO/IEC 42001 Lead Auditor Guide - Chapter: Pre-Audit Communication

NEW QUESTION # 141

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. During the closing meeting, the audit team covered key topics including sampling uncertainty, timelines for corrections, and complaint/appeals procedures.

Question:

Based on Scenario 8, was the concluding meeting comprehensive in addressing all essential components of the audit?

- A. No, it should not have involved the assessment of audit findings
- **B. Yes, it addressed all necessary aspects**
- C. No, it should not have involved the post-audit activities of the certification body

Answer: B

Explanation:

The closing meeting covered:

- * Uncertainty due to sampling
- * Timeline for corrective actions
- * Complaint and appeal procedures
- * Findings and their classification These are all required elements of the closing meeting.
- * ISO/IEC 17021-1:2015 Clause 9.4.7 requires the audit team to present a summary of findings and next steps during the closing meeting.
- * ISO 19011:2018 Clause 6.6.12 further includes communication of audit conclusions, clarification of nonconformities, and how findings will be managed post-audit.

Reference: ISO/IEC 17021-1:2015 Clause 9.4.7; ISO 19011:2018 Clause 6.6.12.

NEW QUESTION # 142

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. Fairness and Non-Discrimination**
- C. Transparency and Explainability
- D. Privacy and Security

Answer: B

Explanation:

The most relevant core principle here is Fairness and Non-Discrimination. This principle aims to ensure that AI systems do not create or perpetuate bias, especially in high-stakes decision-making areas such as financial services.

According to ISO/IEC 42001:2023 - Clause 6.1.2 and Annex A (A.8.2.4), organizations must evaluate and manage risks related to bias, discrimination, and ethical implications of AI decisions.

In the PECB Lead Auditor Guide, Fairness is cited as critical in sectors like finance, hiring, healthcare, and where decisions may adversely impact protected groups.

NEW QUESTION # 143

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