

# PECB ISO-IEC-42001-Lead-Auditor Reliable Test Pattern, Valid ISO-IEC-42001-Lead-Auditor Mock Exam

Credential	Exam	Professional experience	MS audit/ assessment experience	Other requirements
PECB Certified ISO/ IEC 42001 Provisional Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	None	None	Signing the PECB Code of Ethics
PECB Certified ISO/ IEC 42001 Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	Two years: One year of work experience in AI management	Project activities: a total of 200 hours	Signing the PECB Code of Ethics
PECB Certified ISO/ IEC 42001 Lead Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	Five years: Two years of work experience in AI management	Project activities: a total of 300 hours	Signing the PECB Code of Ethics
PECB Certified ISO/ IEC 42001 Senior Lead Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	Ten years: Seven years of work experience in AI management	Project activities: a total of 1,000 hours	Signing the PECB Code of Ethics

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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>Closing an ISO</li> <li>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.</li> </ul>
Topic 5	<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>

Topic 6	<ul style="list-style-type: none"> <li>• Managing an ISO</li> <li>• 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.</li> </ul>
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## PECB ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam Sample Questions (Q135-Q140):

### NEW QUESTION # 135

Which of the following competencies must at least one of the audit team members have?

- A. Experience in ethics-based AI decision modeling
- B. Teamwork and communication skills
- C. Knowledge of the risk-based approach to auditing
- **D. Knowledge of the auditee's language**

**Answer: D**

Explanation:

ISO/IEC 17021-1:2015, Clause 9.1.5, clearly states that the audit team must collectively have the necessary competence, including at least one member with proficiency in the auditee's language (or a translator must be used). This ensures effective communication and understanding during the audit process.

While risk-based auditing is important and expected as general auditor competence (per ISO 19011), language knowledge is a specific and mandatory team requirement.

Reference:

ISO/IEC 17021-1:2015, Clause 9.1.5 - Auditor competence requirements

ISO 19011:2018, Clause 7.2.2 - Auditor team skills

PECB ISO/IEC 42001 Lead Auditor Study Guide - Section: Audit Team Composition

### NEW QUESTION # 136

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

**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 # 137

An organization is undergoing a certification audit to evaluate its compliance with ISO/IEC 42001 and ISO/IEC 27001 for its AIMS and ISMS, respectively. What type of audit is the organization undergoing in this case?

- **A. A combined audit**
- B. A sequential audit
- C. A concurrent audit
- D. An independent system audit

**Answer: A**

Explanation:

A combined audit refers to a single audit that covers two or more management systems (e.g., AIMS and ISMS) managed as a single system. In this case, the organization is undergoing a certification audit for both ISO/IEC 42001 and ISO/IEC 27001 simultaneously.

According to ISO 19011:2018 (Clause 3.11), a combined audit is "an audit conducted at one auditee on two or more management systems of different disciplines." Reference:

ISO 19011:2018, Clause 3.11 - Combined audit

ISO/IEC 42001:2023, Clause 9.2 - Internal and external audits

PECB ISO/IEC 42001 Lead Auditor Study Guide - Section: Combined and Integrated Audits

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#### NEW QUESTION # 138

During an audit, the auditor uncovers sensitive data regarding the AI system's algorithms and their decision-making processes. Which principle must the auditor adhere to when handling this information?

- A. Evidence-Based Approach
- B. Integrity
- C. Fair Presentation
- **D. Confidentiality**

**Answer: D**

Explanation:

The correct principle is Confidentiality.

ISO 19011:2018 - Clause 4(e) states that auditors must respect the confidentiality of information acquired during the audit and use it only for audit purposes. This includes sensitive or proprietary data, such as AI algorithms, models, and proprietary decision logic.

The PECB Lead Auditor Guide - Domain 3 reinforces that any internal or sensitive company information discovered must be safeguarded and never disclosed without authorization.

Reference: ISO 19011:2018 - Clause 4(e): "Confidentiality - Security of information" PECB Lead Auditor Guide - Domain 3: "Auditor Conduct and Ethics - Confidentiality Requirements"

#### NEW QUESTION # 139

Which of the following does NOT represent the purpose of managing and maintaining audit program records?

- A. To demonstrate the implementation of the audit program
- B. To address information security and confidentiality needs for audit records
- **C. To focus on the competence and performance evaluation of the audit team members**

**Answer: C**

Explanation:

Maintaining audit program records serves multiple purposes, such as demonstrating program implementation (ISO 19011:2018 Clause 5.4) and addressing confidentiality (Clause 7.5). However, the competence and performance evaluation of auditors is managed separately under auditor competence procedures (Clause 7.2), not as a direct objective of recordkeeping.

Reference:

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