

PRACTICE QUESTIONS

PECB

ISO/IEC 42001 Lead Auditor

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EDITION	Free Set 2
QUESTIONS	10
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EXAM	PECB ISO/IEC 42001 Lead Auditor

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10 practice questions for the PECB ISO/IEC 42001 Lead Auditor exam, each followed by its answer and a short explanation. More free sets and the full practice exam: aiexamcerts.com/pecb/iso-iec-42001-lead-auditor. Spotted a mistake? Email support@aiexamcerts.com with the exam name and the question number.

1. What is the purpose of audit program records?

- A To record the auditors' salaries and the bonus schemes that apply during each engagement
- B Only to satisfy the marketing department's request for a brochure about the audit service
- C To replace the individual audit reports, which then no longer need to be issued at all
- D To show that the program was implemented and to support its continual improvement

Answer: D

Program records give evidence that the program was carried out and show what it has learned. Replacing the individual audit reports is the tempting distractor, since records can look like a summary, but the individual reports still carry the findings.

2. Which output comes from monitoring the audit program?

- A Information on whether the program's objectives are being achieved, and what needs to change
- B A list of clients' secrets that the audit team has collected over the years
- C A new AI model that the audit team has been asked to design for the auditee
- D A sales forecast for the certification body's services for the coming financial year

Answer: A

Monitoring the program shows whether its objectives are being met and what should change. The new AI model is the tempting distractor, because audits often lead to design recommendations, but the auditor does not design the auditee's system as a program output.

3. An audit program may be adjusted when the auditee's processes change significantly.

- A True
- B False

Answer: A (True)

Significant changes in processes alter the risks and the audit needs, so the program should be revised to match. Keeping an outdated plan after a major change would leave new risks unexamined.

4. Which activity is part of initiating an audit under ISO 19011?
- A Writing the final audit report and sending it to the certification body for review
 - B Closing nonconformities that the auditee has already corrected in its own records
 - C Establishing contact with the auditee and confirming that the audit is feasible
 - D Deciding the certificate and its validity period on the basis of the audit's conclusions

Answer: C

Initiating the audit covers first contact with the auditee and a feasibility check before any work starts. Writing the final report is the tempting distractor, since it is a visible output, but it belongs to the reporting stage that comes much later.

5. The audit program should be reviewed to check that its objectives have been met and to identify _____ opportunities.

Answer: improvement

The review checks results against objectives and looks for ways to make the program more effective. Treating the review as a formality misses the learning it is meant to produce.

6. Which check is made before an audit to confirm that it can go ahead?
- A Confirming that enough time, resources and competent people are available for the audit as planned
 - B Verifying the auditee's share price on the stock market over the previous twelve months
 - C Sending the final report to the auditee's customers before the audit has actually started
 - D Certifying the auditee before any evidence has been collected or any interview carried out

Answer: A

The feasibility check confirms that time, resources and competence exist for the audit. Certifying the auditee in advance is the tempting distractor, because it sounds like a pre-audit step, but certification is a decision that follows the audit, not one that precedes it.

7. What are the two stages of a certification audit for a management system under ISO/IEC 17021-1?
- A Stage 1 staff training and induction, followed by Stage 2 printing of the certificate
 - B Stage 1 vendor selection and tendering, followed by Stage 2 invoicing and payment collection
 - C Stage 1 documentation review and readiness check, followed by Stage 2 assessment of implementation and effectiveness
 - D Stage 1 surveillance of the certified system, followed by Stage 2 recertification of the same scope

Answer: C

Stage 1 reviews documentation and readiness, and Stage 2 assesses whether the system is implemented and effective. Surveillance is the tempting distractor, because surveillance is also an audit stage in certification, but it happens after certification, not as the first stage.

8. Which two statements about certification bodies are correct? (Choose two.)
- A They must ensure impartiality in their certification activities and manage conflicts of interest
 - B They may design the client's AIMS as part of the certification engagement without any conflict
 - C They must have personnel who are competent for the audits they carry out
 - D They can issue certificates without carrying out an audit, provided the client pays the full fee in advance
 - E They can accept fees that depend on the audit result being favorable to the client

Answer: A, C

Certification bodies must be impartial and must employ competent personnel for their audits. The option allowing design work is the tempting distractor, since bodies often offer guidance, but designing the system the same body certifies creates a conflict of interest that the requirements prohibit.

9. What does Stage 1 of a certification audit typically focus on?
- A Reviewing documented information and checking readiness for the Stage 2 assessment
 - B Assessing how satisfied the client's staff are with the new management system and its tools
 - C Confirming the client's office location and the size of its premises, including parking
 - D Issuing the certificate to the client once the documentation has been accepted by the body

Answer: A

Stage 1 checks the documented information and whether the client is ready for the detailed Stage 2 assessment. Issuing the certificate is the tempting distractor, since it is the outcome clients want most, but the certificate follows Stage 2 and the certification decision.

10. A certification body can issue a certificate based solely on a Stage 1 documentation review, without carrying out a Stage 2 audit.
- A True
 - B False

Answer: B (False)

Certification requires evidence that the management system is implemented and effective, which Stage 2 assesses on site. A documentation review alone shows only that the system is designed, not that it works in practice.