

PRACTICE QUESTIONS

PECB

ISO/IEC 42001 Lead Implementer

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EDITION	Free Set 1
QUESTIONS	10
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EXAM	PECB ISO/IEC 42001 Lead Implementer

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10 practice questions for the PECB ISO/IEC 42001 Lead Implementer exam, each followed by its answer and a short explanation. More free sets and the full practice exam:

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1. Which term does ISO/IEC 42001 use for the people or groups who can affect, or be affected by, an AI system and its decisions?

- A Customers only, meaning the people who pay for the product
- B Internal auditors only
- C Interested parties
- D Certification bodies

Answer: C

The standard uses interested parties, a broad group that includes people who can affect or be affected by the AI system. Customers only is the tempting distractor, since customers are usually the most visible group, but the standard's definition is wider and includes others such as affected individuals and regulators.

2. Annex A controls are applied only where the organization's _____ shows they are needed, and the decisions are recorded in a statement of applicability.

Answer: risk assessment (also accepted: risk treatment, risk assessment and risk treatment, risk treatment decisions)

Control selection follows from the risk assessment and risk treatment, and the statement of applicability records which controls are applied and why any are excluded. Skipping that link is a common gap in AIMS implementations.

3. Which leadership action does ISO/IEC 42001 expect of top management for the AIMS?

- A Delegating all AI decisions to the IT department
- B Approving every individual AI model prompt personally, so that no output reaches a user without a manager's sign-off on the wording used
- C Waiting for the certification body to define the AI policy
- D Establishing the AI policy and ensuring AIMS objectives fit the organization's strategic direction

Answer: D

The leadership clause makes top management responsible for the AI policy, the AIMS objectives and their fit with strategy. Delegating everything to IT is the tempting distractor, since AI is often treated as a technology matter, but the standard keeps accountability with top management.

4. Which element of the leadership requirements covers assigning responsibilities and authorities for AIMS roles?
- A Organizational roles, responsibilities and authorities
 - B Operational planning and control of AI processes and services across the lifecycle
 - C Monitoring, measurement, analysis and evaluation
 - D Nonconformity and corrective action

Answer: A

The leadership requirements include defining and communicating the organizational roles, responsibilities and authorities for the AIMS. Operational planning and control is the tempting distractor, because it also involves who does what, but it concerns how processes are planned and run.

5. ISO/IEC 42001 requires the organization to determine the external and internal issues that are relevant to its purpose and affect its ability to achieve the intended outcomes of the AIMS.
- A True
 - B False

Answer: A (True)

The context requirement asks the organization to identify relevant external and internal issues, which then shape the AIMS. The tempting misreading is that only regulatory issues count, but the requirement covers both internal and external issues in general.

6. An organization is defining the scope of its AIMS. Which inputs does the standard expect it to consider?
- A Vendor marketing claims about its models
 - B The cloud compute cost of the last quarter, broken down by team and by project, and the forecast cost for the coming twelve months
 - C The external and internal issues, the requirements of interested parties, and the AI systems in use
 - D The personal preferences of the lead auditor

Answer: C

Scope is set by considering the context issues, the requirements of interested parties and the AI systems the organization uses or provides. Cloud compute cost is the tempting distractor because budgets shape AI programs, but cost is not a scope input defined by the standard.

7. AIMS objectives must be _____ with the AI policy, and where practicable they should be measurable.

Answer: consistent (also accepted: aligned, consistent with, aligned with)

The objectives have to be consistent with the policy, which is what links the AIMS to top management's direction. Measurability lets the organization show whether the objectives are being met.

8. What does ISO/IEC 42001 require for communicating the AI policy?
- A It must be kept confidential from all staff and from external parties, including customers, suppliers, regulators and the public at large
 - B It is only shared with the certification body during the audit
 - C It must be communicated within the organization and made available to relevant interested parties as appropriate
 - D It can be published only after certification is granted

Answer: C

The policy has to be communicated within the organization and made available to relevant interested parties where appropriate. The confidentiality option is the tempting distractor, because some policies are internal, but the standard expects the AI policy to be known to the people it governs.

9. Which two items are among top management's leadership commitments for the AIMS? (Choose two.)
- A Ensuring the AIMS policy and objectives are established
 - B Writing the source code of every AI model personally
 - C Ensuring the AIMS requirements are integrated into the organization's business processes
 - D Approving the vendor selection for every AI tool the teams wish to adopt
 - E Choosing the training algorithm for each product

Answer: A, C

Top management must ensure the AIMS policy and objectives are set and that AIMS requirements are integrated into business processes. Approving vendors is the tempting distractor, since it sounds managerial, but it is an operational decision that the standard does not assign to top management.

10. An AI system is used to screen job applicants. Which party should the AIMS identify as an interested party?
- A The company's shareholders only
 - B The AI vendor's engineers only
 - C The regulators only, since they set the compliance obligations
 - D Applicants whose outcomes the system influences

Answer: D

Applicants whose outcomes the system influences are affected by it, so they are interested parties whose requirements the AIMS must consider. Regulators are the tempting distractor because they matter for compliance, but the requirement is broader than the regulator alone.