

FREE SUCCESS KIT · AI COMPLIANCE

ISO 42001 Lead Auditor Success Kit

Sample questions · Study plan · Audit scenarios · Practice strategy —
everything you need to pass on your first attempt and lead AI
Management System audits with confidence.

10 Sample Questions

30 / 45 / 60-Day Roadmap

Annex A Cheat Sheets

ISO 19011 Reference

Scenario Findings

REAL-STYLE PRACTICE

10 ISO 42001 Lead Auditor Sample Questions

Curated to mirror the exact format, vocabulary, and reasoning depth of the official ISO 42001 Lead Auditor examination. Cover Clauses 4–10, Annex A controls, and ISO 19011 methodology.

QUESTION 01 · CLAUSE 6.1.2

An organization deploys a recruitment AI but has not documented how risks to candidate fairness are identified. Which clause does this most directly violate?

- A. Clause 4.2 — Interested parties B. Clause 6.1.2 — AI risk assessment
C. Clause 7.5 — Documented information D. Clause 9.2 — Internal audit

✓ **Correct: B — AI risk assessment must address fairness, bias, and impacted parties.**

QUESTION 02 · ANNEX A.6

During Stage 2, an auditor finds the AI impact assessment was completed after deployment. This is best classified as:

- A. Observation B. Opportunity for improvement
C. Minor nonconformity D. Major nonconformity

✓ **Correct: D — Impact assessment must precede deployment; absence is a systemic failure.**

QUESTION 03 · ISO 19011 — AUDIT PRINCIPLES

Which ISO 19011 principle requires auditors to base findings only on verifiable, sampled evidence?

- A. Confidentiality B. Evidence-based approach
C. Independence D. Fair presentation

✓ **Correct: B — Evidence-based approach underpins all audit conclusions.**

QUESTION 04 · CLAUSE 8.3

A bank uses third-party LLMs for customer service but has no supplier AI controls documented. The PRIMARY clause auditors should cite is:

- A. Clause 8.3 — AI system impact assessment
B. Clause 8.4 — Data for AI systems C. Annex A.10 — Third-party relationships
D. Clause 7.2 — Competence

✓ **Correct: C — Annex A.10 addresses controls for AI suppliers and third-party providers.**

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STRUCTURED STUDY PLAN

30, 45 & 60-Day Exam Preparation Roadmap

Three proven study tracks calibrated to your timeline. Each path covers the full exam blueprint with progressively deeper practice across clauses, controls, and audit techniques.

<p>30 DAY SPRINT</p> <ul style="list-style-type: none"> › D1–7: ISO 42001 clauses 4–10 › D8–12: Annex A controls A.2–A.10 › D13–18: ISO 19011 methodology › D19–24: Mock audits + scenarios › D25–28: Full-length practice tests › D29–30: Final review & exam <p>FAST TRACK · Intensive</p>	<p>45 DAY BALANCED</p> <ul style="list-style-type: none"> › W1: Foundations + AI governance › W2: Clauses 4–6 deep dive › W3: Clauses 7–10 + Annex A › W4: ISO 19011 audit phases › W5: Scenarios + nonconformities › W6–7: 3 full mock exams <p>RECOMMENDED · Best Balance</p>	<p>60 DAY MASTERY</p> <ul style="list-style-type: none"> › W1–2: AI & AIMS fundamentals › W3–4: Clause-by-clause mastery › W5: Annex A — all 38 controls › W6: ISO 19011 + lead skills › W7: 5 mock audits + reports › W8–9: 4 full exams + revision <p>DEEP MASTERY · Lead-ready</p>
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Daily Study Anchors (all three tracks)

✓ 90 min clause/control study	✓ 1 scenario walk-through
✓ 30 min ISO 19011 reading	✓ 15 min flashcard recall
✓ 20 sample questions per session	✓ End-of-week diagnostic test

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Pair Your Study Plan with the Official Certification

Enrol in the next 48 hours and turn your roadmap into a recognised ISO 42001 Lead Auditor credential. After that, this window closes.

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TOPIC WEIGHT DISTRIBUTION

Full Exam Blueprint & Question Weighting

Know exactly where points come from. This blueprint mirrors the GSDC ISO 42001 Lead Auditor exam structure so you can allocate your study hours where they actually count.

Domain	Scope & Sub-topics	
ISO 42001 Clauses 4–6	Context, leadership, planning, AI risk assessment, impact assessment, AI policy	22%
ISO 42001 Clauses 7–10	Support, operation, performance evaluation, internal audit, improvement	18%
Annex A — AI Controls	All 38 controls across A.2–A.10 (governance, data, lifecycle, third parties)	20%
ISO 19011 Audit Methodology	Audit principles, program management, conducting, competence of auditors	15%
Audit Execution & Findings	Stage 1 & 2 audits, sampling, evidence, NC classification, reporting	14%
AI Governance & Ethics	Trustworthy AI, fairness, transparency, accountability, regulatory landscape	11%

Exam Format Snapshot

1. **Questions:** 40 multiple-choice
2. **Duration:** 90 minutes
3. **Passing Score:** 65%
4. **Mode:** Online proctored

Study Time Allocation Tip

1. **40%** on clauses 4–10 combined
2. **25%** on Annex A controls
3. **20%** on ISO 19011 + execution
4. **15%** on practice mocks & review

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Study the Blueprint — Get Certified at Half the Cost

This flash discount on the official GSDC ISO 42001 Lead Auditor Certification ends soon. Globally accepted, lifetime valid.

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MEMORIZATION TOOLKIT

Annex A Control Cheat Sheets

High-yield summaries of the most frequently tested Annex A controls. Use the memory hooks under each card to lock the control number to its purpose during the exam.

<p>A.2.2</p> <p>AI Policy</p> <p>Top management must establish an AI policy that addresses purpose, scope, principles, and commitment to applicable requirements.</p> <p><i>Memory hook: "A.2.2 = Two Twos = Top-down direction"</i></p>	<p>A.3.2</p> <p>AI Roles & Responsibilities</p> <p>Define and communicate roles, responsibilities, and authorities for the AI management system across the organization.</p> <p><i>Hook: "3.2 = Three players, Two clear roles"</i></p>
<p>A.4.2</p> <p>Resources for AI Systems</p> <p>Document the resources (data, tooling, compute, human expertise) required for the AI lifecycle.</p> <p><i>Hook: "Four resources required"</i></p>	<p>A.5.2</p> <p>AI Impact Assessment</p> <p>Establish a process to assess potential consequences for individuals, groups, and society from AI system deployment.</p> <p><i>Hook: "Five = People, Planet, Process, Privacy, Power"</i></p>
<p>A.6.2.2</p> <p>AI System Requirements</p> <p>Specify and document requirements for AI systems including data, performance, safety, and explainability.</p> <p><i>Hook: "6.2.2 = Spec the system twice"</i></p>	<p>A.6.2.4</p> <p>Verification & Validation</p> <p>Verify that AI systems meet defined requirements and validate they perform as intended across realistic conditions.</p> <p><i>Hook: "V&V before go-live"</i></p>
<p>A.7.4</p> <p>Quality of Data</p> <p>Define and apply data quality criteria including accuracy, completeness, representativeness, and timeliness.</p> <p><i>Hook: "Seven = ACRT (Accurate, Complete, Representative, Timely)"</i></p>	<p>A.8.2 / A.10</p> <p>Information for Interested Parties & Third Parties</p> <p>Provide transparency information to users; govern responsibilities, data, and risks across suppliers and customers.</p> <p><i>Hook: "8 = Tell users · 10 = Trust suppliers"</i></p>

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Turn Cheat Sheets into a Career-Defining Credential

Memorising controls is step one — certifying them is what employers verify. Save 50% on the official GSDC ISO 42001 Lead Auditor exam.

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AUDIT METHODOLOGY

ISO 19011 Quick-Reference Guide

Every ISO 42001 Lead Auditor must operate from ISO 19011's framework. This is the condensed playbook — the six audit phases plus the seven principles that govern every audit you'll ever conduct.

The 6 Audit Phases

<p>1</p> <p>Initiating</p> <p>Establish contact, determine feasibility</p>	<p>2</p> <p>Preparing</p> <p>Document review, audit plan, work assignments</p>	<p>3</p> <p>Conducting</p> <p>Opening meeting, evidence collection, findings</p>	<p>4</p> <p>Reporting</p> <p>Prepare, distribute, close audit report</p>	<p>5</p> <p>Completing</p> <p>Distribute report, close audit</p>	<p>6</p> <p>Follow-up</p> <p>Verify corrective actions, lessons learned</p>
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The 7 Audit Principles (ISO 19011 Clause 4)

- ✓ **Integrity** — foundation of professionalism
- ✓ **Fair presentation** — report truthfully & accurately
- ✓ **Due professional care** — diligence & judgment
- ✓ **Confidentiality** — protect information
- ✓ **Independence** — objectivity & impartiality
- ✓ **Evidence-based approach** — verifiable evidence
- ✓ **Risk-based approach** — consider audit risks
- ✓ **(Bonus) Confidentiality discipline** — no use of info for personal gain

Evidence Collection Methods

1. **Interviews** with personnel at all levels
2. **Observation** of activities and processes
3. **Document review** — records, logs, policies
4. **Sampling** — representative & defensible

Finding Classification

1. **Major NC** — systemic failure of a requirement
2. **Minor NC** — isolated lapse, not systemic
3. **OPI** — opportunity for improvement
4. **Observation** — noted, no NC raised

⚡ RELATED · ENROL TODAY

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Knowing ISO 19011 is great. Being certified to apply it is what gets you on audit teams. Get the GSDC ISO 42001 Lead Auditor credential now.

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REAL AUDIT FINDINGS

Scenario-Based Findings & Explanations

Each scenario reflects a situation auditors encounter in the field. Read the observation, identify the clause, classify the finding — then check the model answer.

SCENARIO 01 · HEALTHCARE AI

CLAUSE 6.1.4 + A.5.2

Observation: A hospital deployed a triage AI model. The risk treatment plan does not address bias against under-represented demographic groups, even though the impact assessment flagged this concern.

Model Finding (Major NC): The organisation failed to address an identified AI risk in its treatment plan, violating Clause 6.1.4 and undermining Annex A.5.2. Systemic gap with potential patient-safety impact.

SCENARIO 02 · FINANCIAL SERVICES

CLAUSE 8.4 + A.7.4

Observation: A lending model is retrained quarterly, but data quality criteria (accuracy, representativeness) are not documented or reviewed before retraining.

Model Finding (Minor NC): Data quality criteria not documented per Annex A.7.4. Isolated to retraining workflow — recommend documenting criteria and adding review gate before next cycle.

SCENARIO 03 · SAAS PROVIDER

ANNEX A.10 — THIRD PARTIES

Observation: The organisation integrates a third-party LLM API but has no due diligence record, no contractual AI responsibilities defined, and no monitoring of the supplier's AI changes.

Model Finding (Major NC): Annex A.10 controls absent — supplier AI governance is a systemic gap. Issue a major NC and require a documented supplier AI risk programme.

SCENARIO 04 · INTERNAL AUDIT

CLAUSE 9.2

Observation: Internal audits were performed but the auditors selected were the same people who designed the AI controls they reviewed.

Model Finding (Major NC): Independence requirement of Clause 9.2 violated. Auditors cannot audit their own work — entire internal audit cycle must be re-performed with independent auditors.

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Companies hire certified ISO 42001 Lead Auditors to catch exactly these issues. Limited-time 50% off the official GSDC credential.

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FIRST-ATTEMPT PASSING FRAMEWORK

Practice Strategy & Exam-Day Framework

Most candidates fail not because of weak knowledge — but because of weak strategy. This is the GSDC five-pillar framework distilled from candidates who passed on the first attempt.

★ THE F-A-S-T-R FIRST-ATTEMPT FRAMEWORK

F**FRAME**

Read every question twice. Identify the clause and the verb before scanning options.

A**ANCHOR**

Anchor each option to a specific clause or control. No clause = wrong answer.

S**SKIP**

If unsure after 90 sec, flag and skip. Return after first full pass.

T**TEST**

Test answers against ISO 19011 principles — most "tricky" questions resolve to a principle.

R**REVIEW**

Reserve final 10 min. Review flagged questions only. Don't change confident answers.

Practice Strategy (Pre-Exam)

1. **Topic-first practice** until 80% per domain
2. **Timed sets** of 10 questions in 18 min
3. **Full mocks** in exam conditions — minimum 3
4. **Error log** — every wrong answer maps to a clause
5. **Re-attempt only weak clauses** in week before exam

Exam-Day Tactics

1. **Arrive (login) 20 min early** — test ID & environment
2. **Budget 2:15 per question** — track at Q10, Q20, Q30
3. **Eliminate two options first**, then decide between remaining
4. **Watch for negatives** ("which is NOT...", "least likely...")
5. **Never leave blanks** — no negative marking

 48-HOUR WINDOW OPEN NOW

Apply This Strategy on the Real Exam — Within 48 Hours

The 48-hour enrolment window is open. Lock in your seat for the official GSDC ISO 42001 Lead Auditor exam before pricing returns to standard.

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WHAT AUDITORS MUST CATCH

Common Nonconformities in Stage 1 & Stage 2 Audits

A trained ISO 42001 Lead Auditor catches these patterns within minutes. Recognise them, name them by clause, and you'll consistently outperform peers in mock and real audits.

1 Stage 1 Audit — Document & Readiness Review

PRE-CERTIFICATION · DOCUMENTATION FOCUS

- NC-01 AI policy missing or generic:** Policy doesn't define AI-specific scope, principles, or commitment (Clause 5.2 / A.2.2).
- NC-02 Scope of AIMS undefined:** No documented boundaries — AI systems in scope are not listed (Clause 4.3).
- NC-03 Risk & impact assessment methodology absent:** No documented procedure for AI risk or AI impact assessment (Clauses 6.1.2, 6.1.4).
- NC-04 Statement of Applicability incomplete:** Annex A controls not justified for inclusion/exclusion (Clause 6.1.3).
- NC-05 Top management commitment unevicenced:** No records of leadership reviews, resource allocation, or accountability (Clause 5.1).

2 Stage 2 Audit — Implementation & Effectiveness

CERTIFICATION · OPERATIONAL EVIDENCE FOCUS

- NC-06 Risks identified but not treated:** Risk register exists but treatment plans absent or incomplete (Clause 6.1.4).
- NC-07 V&V evidence missing:** AI systems deployed without records of verification or validation (A.6.2.4).
- NC-08 Data quality not monitored:** Drift, bias, or representativeness not periodically reviewed (A.7.4, Clause 8.4).
- NC-09 Third-party AI ungoverned:** No supplier risk programme for AI vendors or APIs (A.10).
- NC-10 Internal audit not independent or incomplete:** Auditors not independent, or AIMS coverage gaps (Clause 9.2).
- NC-11 Management review skipped or undocumented:** No evidence of inputs, outputs, or decisions reviewed by top management (Clause 9.3).

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