# Certified ISO/IEC 42001 Lead Auditor Training

Duration: **4 Day**

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## Overview

The **Certified ISO/IEC 42001 Lead Auditor** course is designed to provide participants with the knowledge and practical expertise required to audit an **Artificial Intelligence Management System (AIMS)** against ISO/IEC 42001 using recognised auditing principles, procedures, and techniques.

Artificial intelligence is now a significant part of many organisations, supporting automation, operational efficiency, and data-driven decision-making. At the same time, organisations must ensure that AI systems are managed responsibly, ethically, and under appropriate governance and control.

ISO/IEC 42001 provides a structured management system approach for establishing processes, responsibilities, controls, and governance around the use of AI. As adoption of the standard increases, organisations require auditors who can objectively assess whether an AIMS conforms to its requirements.

This training helps participants interpret ISO/IEC 42001 from an auditor's perspective and develop the skills needed to evaluate the conformity and effectiveness of an AI Management System.

The programme covers audit planning, evidence-based auditing, risk-based auditing, Stage 1 and Stage 2 audits, audit communication, audit procedures, test plans, findings, nonconformity reporting, corrective action review, audit closure, and audit programme management.

Participants also learn how to plan, conduct, close, and follow up an ISO/IEC 42001 audit in line with **ISO 19011 guidelines, ISO/IEC 17021-1 requirements**, and recognised auditing best practices.

Bilginç IT Academy is a **recognized official training partner of PECB (Professional Evaluation and Certification Board)**.
Through this partnership, we deliver **globally accredited PECB-certified training programs**, enabling professionals to gain international recognition and practical expertise in areas such as Artificial Intelligence Management, Information Security, Environmental, and Quality Management Systems.
Visit our official PECB partner page here:Bilginç IT Academy – PECB Official Partner

## Prerequisites

Participants should have fundamental knowledge of:

- ISO/IEC 42001
- Artificial Intelligence Management Systems
- Management system principles
- Audit principles
- Basic risk and governance concepts

Previous exposure to ISO/IEC 42001 implementation will help learners gain more value from the programme.

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## Who Should Attend

The course is particularly suitable for:

- Governance, Risk & Compliance practitioners
- Internal Auditors
- External Auditors
- Auditors seeking to specialise in AI Management Systems
- AI governance and compliance professionals
- Consultants responsible for AIMS audit activities
- Professionals responsible for maintaining ISO/IEC 42001 conformity
- Expert advisors in AI management
- Professionals analysing AI implementation requirements
- AI solution development teams
- Specialists involved in AI system architecture
- Managers responsible for AI governance and assurance

## What You Will Learn

By the end of the course, participants will be able to:

- Explain the fundamental concepts of an AI Management System
- Describe the principles of an AIMS based on ISO/IEC 42001
- Interpret ISO/IEC 42001 requirements from an auditor's perspective
- Evaluate AIMS conformity against ISO/IEC 42001
- Apply fundamental audit concepts and principles
- Apply evidence-based auditing
- Use a risk-based auditing approach
- Plan an ISO/IEC 42001 Stage 1 audit
- Prepare for a Stage 2 audit
- Conduct an ISO/IEC 42001 compliance audit
- Manage audit communication
- Apply audit procedures
- Develop audit test plans
- Evaluate audit evidence
- Draft audit findings
- Prepare nonconformity reports
- Assess corrective action plans
- Close an audit
- Manage an internal ISO/IEC 42001 audit programme
- Structure audits in line with ISO/IEC 17021-1 and ISO 19011

## Outline

### Day 1: Introduction to the Artificial Intelligence Management System and ISO/IEC 42001

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### Module 1: Training Course Objectives and Structure

This module introduces the course objectives, structure, and learning approach.

### Module 2: Introduction to ISO/IEC 42001 and Management Systems

Topics include:

- Introduction to ISO/IEC 42001
- Management system approach
- What is an AIMS?
- Role of an AIMS within an organisation
- ISO management system concepts
- Governance and management relationships

### Module 3: ISO/IEC 42001 Certification Process

Topics include:

- Certification lifecycle
- Stage 1 audit
- Stage 2 audit
- Certification decision
- Surveillance
- Recertification

### Module 4: Fundamental Concepts and Principles of Artificial Intelligence

Topics include:

- AI system concepts
- AI lifecycle
- AI governance
- Responsible AI
- Risk and accountability
- Ethical considerations
- Organisational impact

### Module 5: Overview of ISO/IEC 42001 Requirements

This module introduces the main requirements of ISO/IEC 42001 from an auditor perspective.

Topics include:

- AIMS structure
- Management system requirements
- Organisational responsibilities
- Controls and evidence
- Performance evaluation
- Improvement

### Day 2: Audit Principles, Preparation and Initiation

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### Module 6: Fundamental Audit Concepts and Principles

Topics include:

- Audit purpose
- Audit objectives
- Audit scope
- Audit criteria
- Audit evidence
- Independence
- Objectivity
- Professional judgement

### Module 7: Impact of Other Technologies in ISO/IEC 42001 Auditing

This module examines how other technologies can affect an AIMS audit.

Topics include:

- Integrated technologies
- Cloud environments
- Data platforms
- Automation
- Security technologies
- Third-party dependencies

### Module 8: Evidence-Based Auditing

Topics include:

- Objective evidence
- Evidence collection
- Evidence reliability
- Sampling
- Document review
- Interview evidence
- Technical evidence

Participants learn how to determine whether evidence is sufficient, appropriate, and reliable enough to support audit conclusions.

### Module 9: Risk-Based Auditing

Topics include:

- Audit risk
- High-risk processes
- Risk-based sampling
- Prioritisation
- Audit focus
- AI-specific risks

### Module 10: Initiating the ISO/IEC 42001 Audit Process

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Topics include:

- Client communication
- Audit objectives
- Audit scope
- Audit team
- Initial documentation
- Audit planning
- Audit feasibility

### Module 11: ISO/IEC 42001 Stage 1 Audit

Topics include:

- Purpose of Stage 1
- Documentation review
- Readiness assessment
- Scope validation
- Identifying key gaps
- Stage 2 readiness

Participants learn how to assess whether an organisation is sufficiently prepared to proceed to the Stage 2 certification audit.

## Day 3: On-Site Audit Activities

### Module 12: Preparing for the ISO/IEC 42001 Stage 2 Audit

Topics include:

- Detailed audit planning
- Audit timetable
- Audit team responsibilities
- Process sampling
- Site preparation
- Audit agenda

### Module 13: ISO/IEC 42001 Stage 2 Audit

Topics include:

- On-site auditing
- Process evaluation
- Requirement conformity
- Control implementation
- Operational evidence
- Management system effectiveness

### Module 14: Communication During the Audit

Topics include:

- Opening meeting

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- Auditor-auditee communication
- Interview techniques
- Clarification
- Escalation
- Daily review meetings
- Closing meeting preparation

### Module 15: ISO/IEC 42001 Audit Procedures

Topics include:

- Document review
- Interviewing
- Observation
- Sampling
- Traceability
- Technical verification
- Audit trails

### Module 16: Creating ISO/IEC 42001 Audit Test Plans

Topics include:

- Test objectives
- Evidence sources
- Sampling
- Test procedures
- Expected evidence
- Evaluation criteria

### Module 17: Auditing the Requirements of ISO/IEC 42001

Participants examine how the requirements of the standard can be evaluated during an audit.

Topics include:

- Requirement-by-requirement assessment
- Organisational context
- Leadership
- Planning
- Support
- Operation
- Performance evaluation
- Improvement
- AIMS controls

## Day 4: Closing the Audit

### Module 18: Drafting Audit Findings and Nonconformity Reports

Topics include:

- Conformity

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- Nonconformity
- Major and minor issues
- Audit observations
- Evidence-based findings
- Writing nonconformities
- Traceable reporting

### Module 19: Audit Documentation and Quality Review

Topics include:

- Audit records
- Working papers
- Findings
- Audit evidence
- Report consistency
- Quality review

### Module 20: Closing the ISO/IEC 42001 Audit

Topics include:

- Closing meeting
- Final conclusions
- Audit report
- Certification recommendation
- Client communication
- Record retention

### Module 21: Evaluation of Action Plans by the Auditor

Topics include:

- Corrective actions
- Root cause analysis
- Action adequacy
- Evidence of correction
- Effectiveness review

### Module 22: Beyond the Initial ISO/IEC 42001 Audit

Topics include:

- Surveillance audits
- Recertification audits
- Follow-up audits
- Continual conformity
- Changes to the AIMS
- Certification lifecycle

### Module 23: Managing an Internal ISO/IEC 42001 Audit Programme

Topics include:

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- Audit programme objectives
- Risk-based scheduling
- Auditor assignment
- Resource planning
- Audit frequency
- Audit reporting
- Follow-up
- Programme performance
- Continual improvement

## What's Included

Participants receive:

- **More than 400 pages of training material**
- Practical examples
- Exercises
- Quizzes
- Auditor-focused reference material

Participants who attend the programme receive an attestation of completion worth**31 CPD (Continuing Professional Development) credits**.

Candidates who complete the course but do not pass the examination are eligible for**one free retake within 12 months of the original examination date**.

## Certification

After completing the course and passing the examination, eligible candidates may apply for the:

**PECB Certified ISO/IEC 42001 Lead Auditor**

credential.

The credential is intended to demonstrate professional competence in planning, conducting, and managing audits of AI Management Systems against ISO/IEC 42001.

## Exams and Assessments

The **PECB Certified ISO/IEC 42001 Lead Auditor** examination is included with the course and meets the requirements of the PECB Examination and Certification Program.

## Exam Competency Domains

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The examination covers the following areas:

### Domain 1: Fundamental Principles and Concepts of an AIMS

- AI Management System fundamentals
- AIMS principles
- ISO/IEC 42001 terminology

### Domain 2: AI Management System Requirements

- ISO/IEC 42001 requirements
- Management system requirements
- Conformity expectations

### Domain 3: Fundamental Audit Concepts and Principles

- Audit principles
- Audit evidence
- Independence
- Objectivity
- Risk-based auditing
- Evidence-based auditing

### Domain 4: Preparing an ISO/IEC 42001 Audit

- Audit planning
- Scope
- Objectives
- Audit team
- Stage 1 audit
- Audit preparation

### Domain 5: Conducting an ISO/IEC 42001 Audit

- Stage 2 audit
- Interviews
- Evidence collection
- Audit procedures
- Test plans
- Conformity assessment

### Domain 6: Closing an ISO/IEC 42001 Audit

- Findings
- Nonconformities
- Reporting
- Corrective actions
- Audit closure
- Follow-up

### Domain 7: Managing an ISO/IEC 42001 Audit Programme

- Audit programme planning

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- Scheduling
- Resources
- Internal audit management
- Monitoring
- Continual improvement

The examination format, available languages, and other administrative details are determined by the current PECB examination rules and certification policies.