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ISO/IEC 42001:2023 Internal Auditor

Certification Syllabus

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ISO/IEC 42001:2023 – internal auditor

Our goal at CertMind is to certify the skills of professionals working in the Technology field. To achieve this, we seek to ensure that professionals demonstrate their skills and knowledge through an International Certification Exam.

Certification Category

Main category: ISO Standards

Category: Artificial Intelligence Management System (AIMS)

Subcategory: Internal Audit

Certification Scope

The purpose of the ISO/IEC 42001 – Internal Auditor Certification is to demonstrate that the professional has a practical understanding of the terminology, structure, and considerations for the definition, implementation, monitoring, auditing, and improvement of an Artificial Intelligence Management System (AIMS); following the guidelines of the ISO/IEC 42001 standard (artificial intelligence) and the ISO 19011 standard (auditing).

Prerequisites

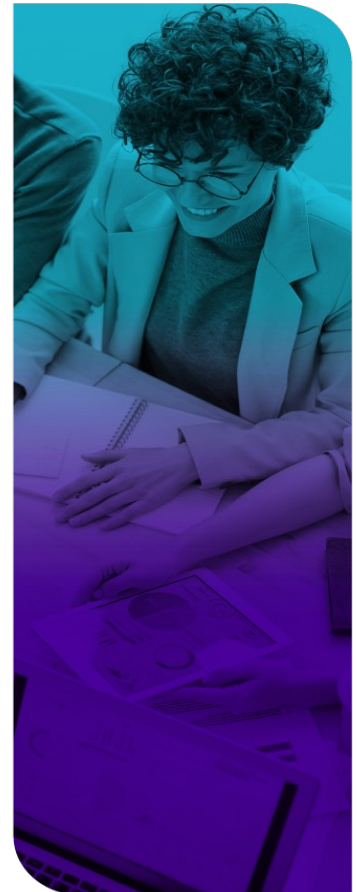
- Be of legal age, according to the minimum age set by law (based on the National Identity Document, which must be uploaded to the platform).
- Have basic reading, writing, and arithmetic skills: addition, subtraction, multiplication, and division.
- Read and accept the Code of Ethics available on the platform prior to taking the certification exam.

Code of Ethics

All certified professionals must know, accept, and adhere to the Code of Ethics, which is available for review on the platform.

Recommendations

- It is highly recommended that the professional attend formal ISO/IEC 42001:2023 Internal Auditor training of at least 24 hours, divided into approximately 6 sessions of 4 hours.



Required Competencies and Job Description

To ensure that the professional has the minimum competencies and knowledge that can be applied in a real-world environment, the exam covers the following topics:

0. Introduction and Context

Skill Assessed	Required Competencies
Know and understand the structure of the ISO/IEC 42001 standard and the reasons why artificial intelligence requires its own management system.	1. Context and introduction to the ISO/IEC 42001 standard 2. Responsible AI: risks not covered by traditional management systems

1. Basic Concepts

Skill Assessed	Required Competencies
Understand the basic concepts, terminology, and approach of the standard.	1. History, context, and structure of ISO standards 2. Certification scheme and process 3. Purpose and scope 4. Normative references: ISO/IEC 22989 5. Terms and definitions 6. PDCA continual improvement model

2. Context of the Organization

Skill Assessed	Required Competencies
Plan and carry out monitoring and review activities to identify the context of the organization and determine the scope of the AIMS.	1. Understanding the organization and its context 2. Understanding the needs and expectations of interested parties 3. Determining the scope of the AI management system 4. AI management system

3. Leadership

Skill Assessed	Required Competencies
Understand the organization's leadership and determine whether top management is committed to creating a favorable environment for defining the AIMS.	1. Leadership and commitment 2. AI policy 3. Roles, responsibilities, and authorities

4. Planning

Skill Assessed	Required Competencies
Define and assess the risks and impacts associated with the AIMS, decide on their treatment, and define the objectives and plans to achieve them.	1. Actions to address risks and opportunities. Overview 2. AI risk assessment 3. AI risk treatment 4. AI system impact assessment 5. AI objectives and planning to achieve them 6. Planning for changes

5. Support

Skill Assessed	Required Competencies
Identify the resources, competencies, and documented information needed for the definition and implementation of an AIMS.	1. Resources 2. Competence 3. Awareness 4. Communication 5. Documented information 6. Creating, updating, and controlling documented information

6. Operation

Skill Assessed	Required Competencies
Carry out the planning, implementation, and control of the processes needed to meet the AIMS requirements and execute the actions determined in the planning.	1. Operational planning and control 2. AI risk assessment 3. AI risk treatment 4. AI system impact assessment

7. Performance Evaluation

Skill Assessed	Required Competencies
Plan and carry out monitoring, measurement, and internal audit of the AIMS, and prepare for management review.	1. Monitoring, measurement, analysis, and evaluation 2. Internal audit 3. Internal audit program 4. Management review 5. Inputs and outputs of the management review

8. Improvement

Skill Assessed	Required Competencies
Identify and evaluate actions that contribute to the continual improvement of the AIMS and manage detected nonconformities.	1. Continual improvement 2. Nonconformity and corrective action

9. Annex A and Annex B. (Control objectives, reference controls, and implementation guidance for AI controls)

Skill Assessed	Required Competencies
- Explain the structure of Annex A: nine control objectives and 38 controls. - Distinguish a clause requirement from a reference control. - Determine the applicability of each control according to the organization's role. - Justify the inclusion or exclusion of each control in the Statement of Applicability. - Link each identified risk to the control that addresses it. - Identify the auditable evidence associated with each control family. - Use Annex B as a criterion for evidence sufficiency. - Verify consistency between the risk register, the SoA, and the implemented controls. - Draft findings citing the applicable control correctly.	Structure and application of Annex A Understand how the normative annex of controls is organized and applied: - Control objectives and reference controls - Clause requirement versus Annex A control - The Statement of Applicability as a decision-making tool - Inclusion, exclusion, and justification control by control - Annex B as an implementation guide for the controls - Auditable evidence expected for each control Governance, resources, and impact families Understand the controls for direction, organization, resources, and data: - A.2 AI-related policies - A.3 Internal organization - A.4 Resources for AI systems - A.5 Assessment of impacts of AI systems - A.7 Data for AI systems - Relationship of these families to clauses 5, 6, and 7 Lifecycle, use, and third-party relationship families Understand the controls for operation, transparency, and supply chain: - A.6 AI system lifecycle - A.8 Information for interested parties of AI systems - A.9 Use of AI systems - A.10 Third-party and customer relationships - Annex C, risk sources, and Annex D, sector-specific application.

10. Audit Guidelines. (Following the guidelines of the ISO 19011 standard for conducting the audit of a management system)

Skill Assessed	Required Competencies
- Define, implement, review, and improve the audit program. - Prepare and communicate the audit plan. - Coordinate and conduct the opening meeting - Prepare the findings reports. - Conduct interviews with process owners and participants. - Classify audit findings. - Prepare the final audit report. - Coordinate and conduct the closing meeting. - Determine and evaluate the competencies required of an auditor.	Managing an audit program - Clearly understand the considerations and guidelines of the standard for conducting the audit: - Audit principles - Defining the objectives of the audit program - Defining the audit program - Implementing the audit program - Monitoring the audit program - Reviewing and improving the audit program Conducting the audit - Understand the stages for conducting an internal audit: - Initiating the audit - Preparing audit activities - Conducting audit activities - Preparing and distributing the audit report - Completing the audit - Conducting audit follow-up activities Auditor competence and evaluation - Understand the importance of evaluating and maintaining auditor competence: - Determining auditor competence. - Establishing auditor evaluation criteria - Selecting the auditor evaluation method - Conducting the auditor evaluation - Maintaining and improving auditor competence.

Competency Assessment

CertMind conducts two types of assessment to ensure that the professional has the required competencies:

- 1. Single-answer multiple-choice questions:** this assessment format consists of theoretical single-answer multiple-choice questions that aim to measure the degree to which the professional has understood the theoretical concepts of the certification.
- 2. Case study:** its structure is similar to that of the questions discussed in the previous item; the difference is that, instead of asking about a particular concept, it presents a description of a situation that takes place in a real-world context and that must be analyzed by the professional so that they can first identify the problem and then evaluate which of the options presented reflects the best solution to that problem situation.

Competency	Questions (1)	Case Study (2)
Demonstrate knowledge of the basic concepts and context, and understand the approach of the ISO/IEC 42001 standard	X	
Understand Annex A and the applicability of its controls	X	
Understand the context of the organization, taking into account strategic objectives, the AI systems it develops or uses, its role in relation to them, and applicable legal and regulatory requirements	X	X
Clearly understand the importance of leadership and the involvement of top management in the organization, in creating an environment of commitment to the definition of the AIMS.	X	X
Understand the considerations for defining the objectives and principles for guiding the Artificial Intelligence Management System (AIMS)	X	
Understand the considerations and aspects necessary for the definition and implementation of the Artificial Intelligence Management System (AIMS).	X	X

Competency	Questions (1)	Case Study (2)
Understand how to implement and control the operational processes to achieve the objectives defined in the Artificial Intelligence Management System (AIMS)	X	X
Understand the importance of continuously monitoring the Artificial Intelligence Management System (AIMS), including periodic reviews to improve its operation.	X	X
Understand the organization's responsibility for the continual improvement of the AIMS' effectiveness through monitoring of the AI policy, audit findings, corrective actions, and management review	X	X
Clearly understand the considerations and guidelines of the standard for conducting the audit	X	
Understand the stages for conducting an internal audit	X	
Understand the importance of evaluating and maintaining auditor competence	X	

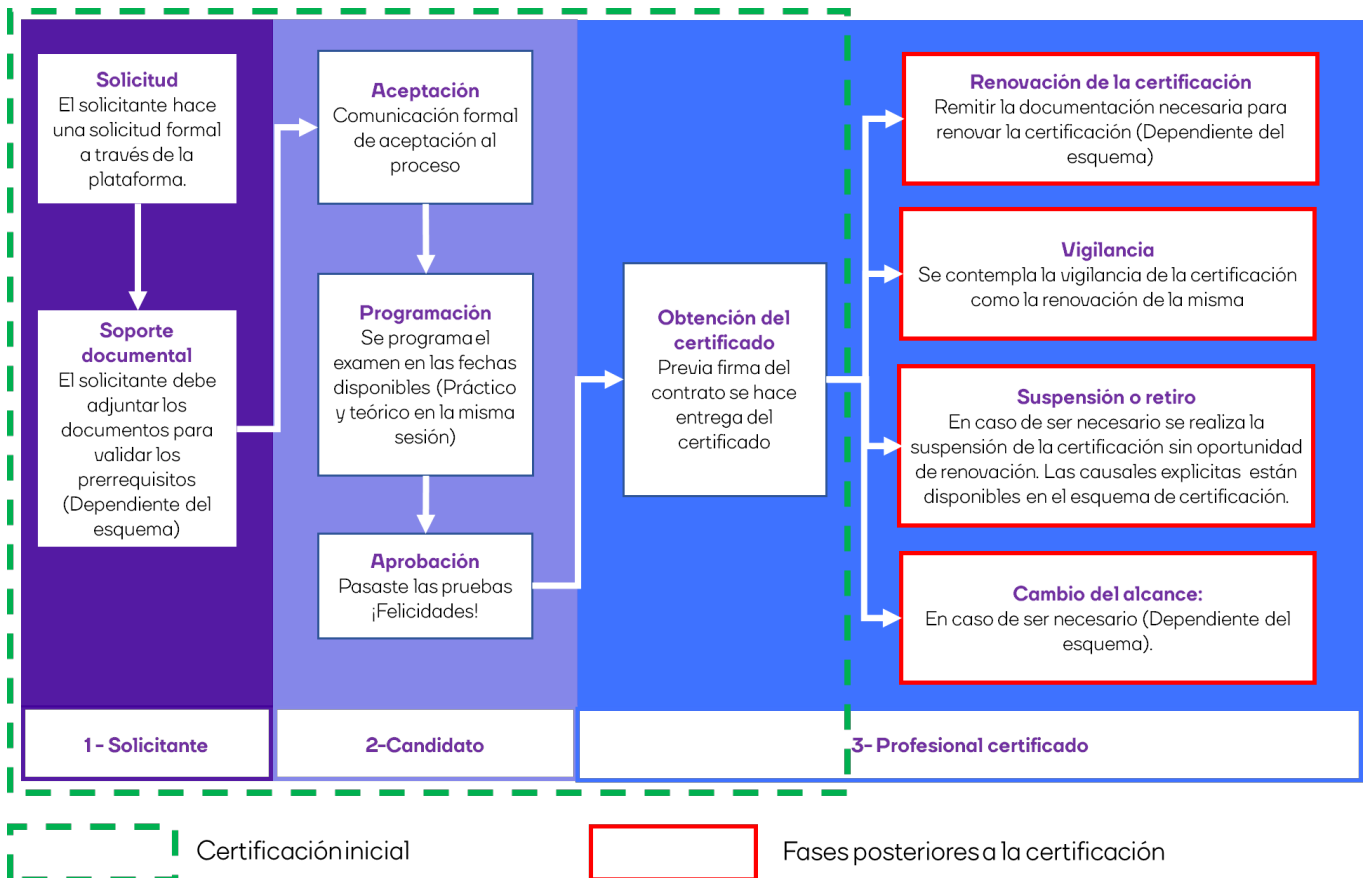
Who Should Take This Exam?

This exam is ideal for individuals or teams responsible for understanding the added value offered by the ISO/IEC 42001 – Internal Auditor methodology, related to the development of organizations.

Roles such as: Managers, analysts, leaders, specialists, and entrepreneurs interested in enhancing and adding value to their processes and projects; this is also a methodology applicable to different professional fields and can be used for personal projects.

Certification Process

The following chart presents the general lifecycle for obtaining a certification:



Certification Process

The following describes each of the phases for obtaining certification for the first time; the phases that follow certification (boxes with a red border) will be explained later.

- 1. Certification Request:** the applicant submits their certification request on the QuizLab platform, or through the partner company (where the applicant took their training). Once the request is approved, the applicant's profile is created in CertMind.
- 2. Supporting Documentation:** the applicant must upload their identity document to the CertMind platform and additionally complete their resume registration.
- 3. Verification and Acceptance:** the platform verifies that the applicant meets the prerequisites; once verified, the application is accepted and the applicant becomes a candidate for the certification process.
- 4. Scheduling:** the call for the exam is issued, either directly on the platform or through the applicant's representative. The exam format is explained below:
 - **Type:** Online exam with 40 single-answer multiple-choice questions.
 - **Duration:** 60 minutes.
 - **Minimum passing score:** 28/40 or 70%.
 - **Additional time:** If the professional does not take the exam in their native language, they will be given an additional 15 minutes and will also be allowed to use a dictionary.
 - **Proctoring:** CertMind monitors exams to ensure they are conducted correctly and transparently through the Invigilator Program (also known as "Proctor"). To learn more about this monitoring mechanism, visit the website www.certmind.org
 - **Open Book:** No.
 - **Format:** Available only online on the CertMind platform.
 - **Validity:** 5 Years.
 - **Other:** All applicants are required to read and accept the company's code of ethics and terms and conditions.

Difficulty Levels: Bloom's Taxonomy

Bloom's Taxonomy is a theory well known in the education sector because many teachers consider it ideal for assessing the cognitive level acquired in a subject. The goal of this theory is that, after completing a learning process, the learner acquires new skills and knowledge. The following table presents a description of the Bloom's Taxonomy categories present in the certification exam, as well as the percentage of each type of question within the exam.

Module	Level 1	Level 2	Level 3
Description	Knowledge. This can comprehend or recall a wide range of items, from specific data to complete theory. But all that is needed is to bring the appropriate information to mind.	Comprehension. This can be demonstrated by converting or translating material from one form to another (words to numbers), interpreting material (explaining or summarizing), and estimating future trends (predicting consequences or effects).	Application. Refers to the ability or capacity to use learned material in new, concrete situations.
Percentage of questions present in the exam	50%	30%	20%

Note: For more information about the monitoring system, visit our website <https://certmind.org>

5. Obtaining the Certificate: once the exam is passed and the terms and conditions agreement is accepted, the certification is issued.

Certification Renewal, Monitoring, and Withdrawal

This phase occurs after the professional has obtained their certification. Renewal refers to the reissuance of the certification once its validity period has ended. Monitoring refers to the oversight that CertMind performs of the professional's performance during the period between certification and recertification, to ensure compliance with what is stipulated in this certification scheme. The following describes the activities the certified professional must carry out in order to obtain recertification:

1. Recertification Request: before the certification expires, the certified professional submits their recertification request on the QuizLab platform. If the certification expires, the professional must go through the certification process again.

2. PUC Registration: the certified professional is required to register 30 PUCs every 5 years to renew the certification.

For more information about the Professional Update Credits (PUC) system, visit our website <https://certmind.org>. The certified professional must attach the supporting documents accrediting the PUCs on the CertMind platform.

3. Documentation Validation: the platform verifies compliance with the PUCs of the certified professional; once verified, the recertification request is accepted.

4. Obtaining Recertification: once the documents have been validated, the new certification is issued.

Criteria for Suspension or Withdrawal of Certification

The certification will be withdrawn from the professional in the following cases:

1. Failure to comply with the code of ethics.
2. Failure to meet the requirements of the scheme.
3. Unsatisfactory results from the monitoring process.
4. Inability to continuously meet the scheme's competency requirements.

Changes to the Certification Scheme

The certification scheme for ISO/IEC 42001 – Internal Auditor does not currently allow for changes in scope, as expansions or reductions in its scope or level do not currently apply.



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