GAICC

# ISO/IEC 42001 Senior Lead Auditor

## Course Curriculum

This curriculum defines what is taught, in what order, to what cognitive depth, and how each module traces to ISO/IEC 42001:2023. It is the controlling document for the instructor slide set, the self-paced course, the class handouts and the student workbook. Every factual claim made in any of those artifacts is governed by the Standard Fact Register and the Audit Standards Fact Register.

| Field | Value |
|---|---|
| **Document ID** | GAICC-CUR-SLA42001-001 |
| **Version** | 1.2 |
| **Issued** | 12 October 2026 |
| **Credential** | ISO/IEC 42001 Senior Lead Auditor |
| **Credential tier** | Tier 4 |
| **Modules** | 24 (M0 to M23) |
| **Contact hours** | 40 |
| **Self-paced video** | About 94 hours of narrated video, measured from the narration script; final audio may differ slightly. Video viewing time is stated separately from the 40 contact hours; the contact-hour requirement is unchanged. |
| **Standard** | ISO/IEC 42001:2023, First edition, 2023-12 |
| **Fact authority** | GAICC-QMS-FR-42001-001 (Standard Fact Register v1.0) and GAICC-QMS-FR-AUDIT-001 (Audit Standards Fact Register v1.0) |
| **Module architecture** | GAICC-QMS-MM-42001-001 v2.0 |

*This curriculum contains no fee information. Examination and membership fees are published in the Candidate Handbook and on the certification body website.*

# 1. Purpose and scope

This document specifies the ISO/IEC 42001 Senior Lead Auditor curriculum. It states the learning outcomes for every module, the clauses and Annex A controls each module covers, and the cognitive level at which the material is taught and assessed.

It exists so that three things stay aligned: what is taught, what is examined, and what the standard actually says. Where any course artifact departs from this curriculum, the artifact is a defect.

# 2. Audience and prerequisites

Audit team leaders on complex, multi-site and multi-standard engagements, technical experts on AIMS audits, and scheme and certification body technical managers.

**Prerequisite.** ISO/IEC 42001 Lead Implementer is recommended but not required. Candidates entering directly should expect the Lead Implementer material to be covered at senior depth, framed as judgment problems rather than method.

# 3. Learning architecture

The three implementer track credentials are supersets of one another, not a chain of prerequisites carrying forward untouched material.

| Credential | Modules | Treatment |
|---|---|---|
| **Foundation** | M0 to M7 | Written at Foundation depth |
| **Lead Implementer** | M0 to M16 | M0 to M7 rewritten at implementer depth, then M8 to M16 |
| **Senior Lead Implementer** | M0 to M23 | M0 to M16 rewritten at senior depth, then M17 to M23 |

**Why the material is rewritten rather than reused.** A module taught at three levels is three different modules. Foundation M3 describes the structure of the standard; Lead Implementer M3 uses that structure to locate requirements and build a clause to artifact map; Senior Lead Implementer M3 interprets the standard where its text admits more than one reading. Sharing one file between credentials would flatten those differences, and it was the mechanism by which factual defects propagated across all six GAICC 42001 credentials. No module file is shared between credentials.

The three auditor track credentials sit in three different seats. Each is written for its own seat, and no module file is shared between them.

| Credential | Modules | Seat |
|---|---|---|
| **Internal Auditor** | M0 to M16 | First-party audit of the auditor's own organization |
| **Lead Auditor** | M0 to M16 | Second-party and third-party audit, leading the audit team |
| **Senior Lead Auditor** | M0 to M23 | Complex engagements across sites, standards and jurisdictions |

**Depth rule for this credential.** Complex engagements. The learner designs audit programs across multiple sites, standards and jurisdictions, judges governance maturity rather than clause conformity, audits agentic and generative systems, and arbitrates where evidence, law and ethics conflict. They set precedent for other auditors.

**Outcome verbs used at this level.** design, arbitrate, set precedent, reconcile, adjudicate

## 4. Delivery

| Property | Value |
|---|---|
| **Contact hours** | 40 hours |
| **Self-paced video** | About 94 hours of narrated video, measured from the narration script; final audio may differ slightly. Video viewing time is stated separately from the 40 contact hours; the contact-hour requirement is unchanged. |
| **Instructor-led coverage** | Instructors deliver every module; material not covered live is assigned as self-study. No coverage is removed. |
| **Module count** | 24 |
| **Delivery modes** | Instructor led by a GAICC Authorized Training Partner or Certified Instructor; GAICC self-paced course; or equivalent hours from a GAICC recognized institution |
| **Materials per module** | Instructor slide deck with notes, self-paced deck with narration, interactive reveal deck, class handout with notes, workbook section, module quiz |
| **Formative assessment** | One 20 item quiz per module, 40 minutes, 15 single answer and 5 multi select |

## 5. Cognitive level and assessment alignment

The examination blueprint mirrors this distribution. Formative quizzes sit at the same cognitive level as the examination they prepare for, never above it.

| Cognitive level | Share of examination |
|---|---|
| **Remember** | 0% |
| **Understand** | 10% |
| **Apply** | 20% |
| **Analyze** | 30% |
| **Evaluate** | 40% |

**Difficulty band.** hard to very hard, center of gravity very hard. Permitted difficulty vocabulary is easy, moderate, hard and very-hard. No other word is used anywhere a candidate can see.

# 6. Module schedule

| Module | Title | Clauses | Annex |
|---|---|---|---|
| **M0** | Program Orientation and the Senior Lead Auditor Role | n/a | n/a |
| **M1** | Assurance Strategy and the Value of Certification | 1 | n/a |
| **M2** | Accreditation, Scheme Design and Certification Integrity | n/a | n/a |
| **M3** | Criteria Architecture Across Standards | 2, 3 | A, B, C, D |
| **M4** | Scope Architecture for Complex Organizations | 4, 4.1, 4.2, 4.3, 4.4 | n/a |
| **M5** | Strategic Governance and Accountability at Scale | 5, 5.1, 5.2, 5.3 | A.2, A.3 |
| **M6** | Ethics, Transparency and Cross-Border Obligations | 4.2, 6.1.4 | A.5, A.9 |
| **M7** | Applied Workshop, Program Design for a Complex Client | 4, 5, 6.1.4 | A.2, A.3, A.5, A.9 |
| **M8** | Advanced Audit of Planning, Risk and Applicability | 6, 6.1, 6.1.1, 6.1.2, 6.1.3, 6.1.4, 6.2, 6.3 | A.5 |
| **M9** | Advanced Audit of Support Across an Estate | 7, 7.1, 7.2, 7.3, 7.4, 7.5 | A.4 |
| **M10** | Evidence Architecture and Audit Trail Assurance | 7.5, 8.1 | A.6.2.3, A.6.2.7, A.6.2.8, A.8 |
| **M11** | Advanced Audit of Operations and Control Effectiveness | 8, 8.1, 8.2, 8.3, 8.4 | A.6, A.7 |
| **M12** | Advanced Assurance for Emerging and Systemic Risk | 6.1.2, 8.2 | A.5, A.10 |
| **M13** | Advanced Audit of Performance and Maturity | 9, 9.1, 9.2, 9.3 | n/a |
| **M14** | Improvement Systems and Organizational Learning | 10, 10.1, 10.2 | n/a |
| **M15** | Assurance of AI-Assisted Audit and Tooling Governance | 7.1, 9.1 | A.4.4 |
| **M16** | Leading Certification Audits at Scale | 4, 5, 6, 7, 8, 9, 10 | A |
| **M17** | Auditing Implementation Guidance, Annex B as an Audit Lens | 8 | B |
| **M18** | Auditing Objectives and Risk Sources with Annex C | 6.2 | C |
| **M19** | Sector and Domain Audit with Annex D | 4.1 | D |
| **M20** | Auditing Governance Maturity | 9.1, 10.1 | n/a |
| **M21** | Cross-Border Audit and Data Sovereignty | 4.1, 4.2, 8.1 | A.7, A.10 |
| **M22** | Auditing Future and Agentic Systems | 9.2 | n/a |
| **M23** | Capstone, End-to-End Global AIMS Audit | 4, 5, 6, 7, 8, 9, 10 | A, B, C, D |

# 7. Module specifications

Each specification below states the module title at this credential level, the clauses and controls it covers, the learning outcomes, the core content, and the forward looking material that keeps the module current.

## M0. Program Orientation and the Senior Lead Auditor Role

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | Not clause specific |
| **Annex A controls** | Not control specific |
| **Theme** | orientation |

### Learning outcomes

*On completion of this module the learner can:*

- State the Senior Lead Auditor examination specification: 80 scored items, 120 minutes, four domains weighted 25, 35, 25 and 15 percent
- Position the credential against the accreditation architecture: ISO/IEC 17021-1:2015, ISO/IEC 42006:2025 and ISO/IEC 17024:2026, and say which applies to whom
- Explain what a senior lead auditor is accountable for that a lead auditor is not: program design, precedent, and arbitration between conflicting criteria
- Frame the capstone engagement that runs through the program

### Core content

- How the credential is structured and assessed
- Exam format, cut score, and what the Exam Content Outline governs
- How to use the workbook, handouts and toolkit together
- The Standard Fact Register and why every factual claim is traceable
- Learner conduct, appeals and recertification in outline

### Forward looking content

- The AIMS accreditation criteria set as at least one accreditation body publishes it: ISO/IEC 42001:2023, ISO/IEC 17021-1:2015 and ISO/IEC 42006:2025
- Auditing agentic systems, where the auditee changes its own behavior between Stage 1 and Stage 2

## M1. Assurance Strategy and the Value of Certification

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 1 |
| **Annex A controls** | Not control specific |
| **Theme** | case for an AIMS |

### Learning outcomes

*On completion of this module the learner can:*

- Design an assurance strategy that combines internal audit, certification and independent technical assessment, and justify what each contributes
- Adjudicate between stakeholders who want a certificate to mean different things
- Set the boundary of what an AIMS audit can responsibly conclude

### Core content

- What problem an AI management system solves that existing controls do not
- Scope of ISO/IEC 42001 (Clause 1) and what it deliberately excludes
- Why AI needs a management system: opacity, drift, data dependence, autonomy, distributed accountability
- The management system family and the harmonized structure (formerly Annex SL)
- The regulatory and assurance landscape the standard sits inside

### Forward looking content

- Assurance for foundation models an organization uses but does not control
- Where certification, regulatory conformity assessment and AI assurance schemes overlap and diverge

## M2. Accreditation, Scheme Design and Certification Integrity

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | Not clause specific |
| **Annex A controls** | Not control specific |
| **Theme** | certification mechanics |

### Learning outcomes

*On completion of this module the learner can:*

- Explain the full accreditation chain and the role of each body in it
- Design a certification audit program for a multi-site, multi-jurisdiction client
- Adjudicate a scope dispute where the AIMS boundary and the legal entity boundary differ
- Judge whether a certification decision is defensible on the evidence recorded

### Core content

- How management system certification works: accreditation, certification body, audit stages
- ISO/IEC 42006 and requirements for bodies auditing AI management systems
- Stage 1 and Stage 2 audits, surveillance and recertification
- Nonconformity grading under 3.12 and 3.13 of ISO/IEC 17021-1, and corrective action under its 9.4.9 and 9.4.10
- The distinction between organizational certification and personnel certification

### Forward looking content

- Scheme fragmentation across jurisdictions and mutual recognition
- What a certification body owes when a certified AI system causes harm

## M3. Criteria Architecture Across Standards

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 2, 3 |
| **Annex A controls** | A, B, C, D |
| **Theme** | the standard's architecture and vocabulary |

### Learning outcomes

*On completion of this module the learner can:*

- Reconcile audit criteria drawn from ISO/IEC 42001, a sector standard and a legal instrument in a single engagement
- Arbitrate where two criteria sets impose incompatible obligations
- Set a house position on citation practice that other auditors will follow

### Core content

- Clause 2: exactly one normative reference, ISO/IEC 22989:2022
- The difference between a normative reference, a SOURCE attribution and a Bibliography entry
- Clause 3: 26 defined terms, 3.1 to 3.26, a flat list with no groups
- The four SOURCE attributed terms and the two terms original to ISO/IEC 42001
- Annex status: A and B normative, C and D informative
- Annex A: 38 controls, 9 control clauses, 10 objectives, identifiers A.2.2 to A.10.4
- The harmonized structure and Clauses 4 to 10

### Forward looking content

- Criteria architecture when a client is audited against 42001, a legal instrument and a sector regulator in one visit

**Fact critical module.** This module carries facts that were previously taught incorrectly across GAICC materials. Linter rules NR-01, NR-02, NR-03, TM-01, TM-02, TM-04, AX-01, AX-02, AX-03, AX-05 apply. Every artifact for this module must pass the fact linter before release.

## M4. Scope Architecture for Complex Organizations

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 4, 4.1, 4.2, 4.3, 4.4 |
| **Annex A controls** | Not control specific |
| **Theme** | scope and context |

### Learning outcomes

*On completion of this module the learner can:*

- Design a scope and sampling plan across multiple sites and legal entities
- Adjudicate where a group AIMS and a subsidiary's local obligations conflict
- Set precedent on scope for AI capability embedded in third-party platforms

### Core content

- Clause 4.1 external and internal issues, including the climate change determination
- Clause 4.2 interested parties and their relevant requirements
- Clause 4.3 determining the scope of the AI management system
- Clause 4.4 the AI management system itself and its processes
- Determining roles for each AI system, with the roles NOTE 1 to Clause 4.1 lists: provider, producer, customer (including AI users), partner, subject, relevant authority
- How role determines which requirements and controls apply

### Forward looking content

- Scope for federated and jointly operated AI systems with no single controller

## M5. Strategic Governance and Accountability at Scale

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 5, 5.1, 5.2, 5.3 |
| **Annex A controls** | A.2, A.3 |
| **Theme** | leadership, policy, roles |

### Learning outcomes

*On completion of this module the learner can:*

- Judge governance maturity across a group and distinguish it from local compliance
- Arbitrate accountability where an AI decision crosses legal entities
- Advise a board on the governance gap an audit has revealed without crossing into consultancy

### Core content

- Clause 5.1 leadership and commitment
- Clause 5.2 the AI policy
- Clause 5.3 roles, responsibilities and authorities
- Controls A.2.2 AI policy, A.2.3 alignment with other organizational policies, A.2.4 review of the AI policy
- Controls A.3.2 AI roles and responsibilities, A.3.3 reporting of concerns
- The governing body (3.22) and its relationship to top management (3.3)

### Forward looking content

- Governance of agentic systems that commission other systems

## M6. Ethics, Transparency and Cross-Border Obligations

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 4.2, 6.1.4 |
| **Annex A controls** | A.5, A.9 |
| **Theme** | impacts, values, responsible use |

### Learning outcomes

*On completion of this module the learner can:*

- Adjudicate where an audit obligation and a legal obligation in another jurisdiction conflict
- Set a position on disclosure when an audit uncovers harm outside the audit scope
- Judge whether an impartiality threat has been mitigated or merely documented

### Core content

- What responsible AI means inside a management system, as distinct from ethical aspiration
- Clause 6.1.4 AI system impact assessment as a requirement
- Controls A.5.2 to A.5.5 on assessing impacts on individuals or groups of individuals, and on societies
- Controls A.9.2 to A.9.4 on responsible use of AI systems
- Fairness, transparency, explainability, robustness and safety as engineering properties, not slogans
- Where ISO/IEC 23894, cited in the notes to Clause 6.1.1, supplies risk method

### Forward looking content

- Auditor obligations when a finding implicates a system already deployed to the public
- Cross-border data protection constraints on the audit evidence itself

## M7. Applied Workshop, Program Design for a Complex Client

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 4, 5, 6.1.4 |
| **Annex A controls** | A.2, A.3, A.5, A.9 |
| **Theme** | consolidation |

### Learning outcomes

*On completion of this module the learner can:*

- Design a three-year audit program across sites, standards and jurisdictions
- Justify audit time, team composition and remote deployment against the applicable requirements
- Defend the program to an accreditation assessor

### Core content

- End to end application of everything covered so far to a single worked organization
- From context and scope through policy and roles to a first impact assessment
- Identifying where the organization is not yet conformant, and recording it without advising on the fix

### Forward looking content

- Program design when the client's AI estate changes faster than the cycle

## M8. Advanced Audit of Planning, Risk and Applicability

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 6, 6.1, 6.1.1, 6.1.2, 6.1.3, 6.1.4, 6.2, 6.3 |
| **Annex A controls** | A.5 |
| **Theme** | risk, SoA, objectives, change |

### Learning outcomes

*On completion of this module the learner can:*

- Judge the coherence of a risk framework across an entire AI estate rather than a single system
- Arbitrate where AI risk assessment and enterprise risk management reach different conclusions
- Set precedent on what constitutes an adequate 6.1.3 b) comparison for a large control set

### Core content

- Clause 6.1.1 actions to address risks and opportunities
- Clause 6.1.2 AI risk assessment: criteria, process, repeatability
- Clause 6.1.3 AI risk treatment and the Statement of Applicability
- Clause 6.1.3 b) comparison against the whole of Annex A to verify no necessary control is omitted
- Clause 6.1.4 AI system impact assessment within planning
- ISO/IEC 42005:2025 as guidance a client may adopt for its impact assessment, and how an adopted method becomes criteria
- Clause 6.2 AI objectives and planning to achieve them
- Clause 6.3 planning of changes
- ISO/IEC 23894 as risk method

### Forward looking content

- Aggregate and systemic risk that no individual system assessment surfaces
- Auditing risk for agentic systems whose action space is not enumerable in advance

**Fact critical module.** This module carries facts that were previously taught incorrectly across GAICC materials. Linter rule AX-01 applies. Every artifact for this module must pass the fact linter before release.

## M9. Advanced Audit of Support Across an Estate

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 7, 7.1, 7.2, 7.3, 7.4, 7.5 |
| **Annex A controls** | A.4 |
| **Theme** | resources, competence, awareness, communication |

### Learning outcomes

*On completion of this module the learner can:*

- Judge whether resourcing is proportionate to the risk the AI estate carries

- Adjudicate competence disputes where the client asserts that no one in the market meets the bar
- Set expectations for oversight competence that other auditors can apply

### Core content

- Clause 7.1 resources
- Clause 7.2 competence and Clause 7.3 awareness
- Clause 7.4 communication
- Clause 7.5 documented information: creating, updating and controlling
- Controls A.4.2 to A.4.6 covering resource documentation, data, tooling, system and computing, and human resources

### Forward looking content

- Competence architecture for organizations operating autonomous agents at scale

## M10. Evidence Architecture and Audit Trail Assurance

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 7.5, 8.1 |
| **Annex A controls** | A.6.2.3, A.6.2.7, A.6.2.8, A.8 |
| **Theme** | documented information and transparency |

### Learning outcomes

*On completion of this module the learner can:*

- Design an evidence expectation for a client whose AI systems generate their own records
- Judge the reliability of machine-generated audit evidence
- Arbitrate where evidence exists but cannot be disclosed for legal reasons

### Core content

- What documented information ISO/IEC 42001 explicitly requires
- Control A.6.2.3 documentation of AI system design and development
- Control A.6.2.7 AI system technical documentation
- Control A.6.2.8 AI system recording of event logs
- Controls A.8.2 to A.8.5 information for interested parties
- The Statement of Applicability as a controlled document
- Why the AIMS manual is not a requirement of the standard

### Forward looking content

- Cryptographic and provenance-based evidence for model lineage

## M11. Advanced Audit of Operations and Control Effectiveness

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 8, 8.1, 8.2, 8.3, 8.4 |

| Coverage | Reference |
|---|---|
| **Annex A controls** | A.6, A.7 |
| **Theme** | operation, life cycle, data |

### Learning outcomes

*On completion of this module the learner can:*

- Judge control effectiveness across a portfolio where individual systems pass and the portfolio does not
- Adjudicate where an operational control conflicts with a safety or legal obligation
- Set testing expectations for agentic systems that act without a per-action human decision

### Core content

- Clause 8.1 operational planning and control
- Clause 8.2 AI risk assessment in operation, Clause 8.3 AI risk treatment, Clause 8.4 AI system impact assessment
- Controls A.6.1.2 and A.6.1.3 management guidance for responsible development
- Controls A.6.2.2 to A.6.2.8 covering the AI system life cycle
- Controls A.7.2 to A.7.6 covering data for AI systems
- Nine controls under A.6 and five under A.7

### Forward looking content

- Auditing multi-agent systems where responsibility for an outcome is distributed

**Fact critical module.** This module carries facts that were previously taught incorrectly across GAICC materials. Linter rule AX-05 applies. Every artifact for this module must pass the fact linter before release.

## M12. Advanced Assurance for Emerging and Systemic Risk

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 6.1.2, 8.2 |
| **Annex A controls** | A.5, A.10 |
| **Theme** | risk landscape |

### Learning outcomes

*On completion of this module the learner can:*

- Judge systemic and aggregate risk across an estate and across a supply chain
- Arbitrate where a risk is real, material and has no available treatment
- Set audit expectations for risks the standard does not yet name

### Core content

- Risk sources catalogued in Annex C and how to use an informative annex properly
- Generative and foundation model risks: hallucination, prompt injection, data leakage, misuse
- Third party and supply chain risk, controls A.10.2 to A.10.4

- Model drift, data drift and performance degradation
- Security risks specific to AI systems

### Forward looking content

- Frontier and agentic capability risk within a management-system audit
- Auditing where the risk is to third parties rather than to the organization

## M13. Advanced Audit of Performance and Maturity

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 9, 9.1, 9.2, 9.3 |
| **Annex A controls** | Not control specific |
| **Theme** | monitoring, audit, review |

### Learning outcomes

*On completion of this module the learner can:*

- Judge whether a performance regime is capable of detecting the failures that matter
- Distinguish maturity from conformity and evidence the distinction
- Adjudicate where measured performance is good and outcomes are poor

### Core content

- Clause 9.1 monitoring, measurement, analysis and evaluation
- Clause 9.2 internal audit and the audit program
- Clause 9.3 management review, its inputs and outputs
- Choosing indicators that measure AIMS effectiveness rather than activity

### Forward looking content

- Outcome-based assurance alongside conformity-based audit

## M14. Improvement Systems and Organizational Learning

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 10, 10.1, 10.2 |
| **Annex A controls** | Not control specific |
| **Theme** | nonconformity, corrective action, improvement |

### Learning outcomes

*On completion of this module the learner can:*

- Judge whether an organization learns or merely closes actions
- Arbitrate where corrective action for one system creates risk in another
- Set expectations for effectiveness verification across an estate

### Core content

- Clause 10.1 continual improvement
- Clause 10.2 nonconformity and corrective action
- Cause analysis that reaches system causes rather than individual blame
- Closing the loop from incident to control change

### Forward looking content

- Learning loops between AI incidents and management system change

## M15. Assurance of AI-Assisted Audit and Tooling Governance

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 7.1, 9.1 |
| **Annex A controls** | A.4.4 |
| **Theme** | tooling |

### Learning outcomes

*On completion of this module the learner can:*

- Set a house policy on AI use in audit that satisfies impartiality and competence requirements
- Judge whether an AI-assisted conclusion is defensible to an accreditation assessor
- Arbitrate where audit tooling and auditee systems share a supplier

### Core content

- Where AI assistance genuinely helps AIMS operation and where it does not
- Control A.4.4 tooling resources for the AI system, and where AIMS tooling falls instead (7.1, A.4.2, A.9.2 to A.9.4, A.10.3)
- Tool assisted evidence gathering, monitoring and documentation drafting
- The governance paradox: governing the tools used to govern AI
- Verification obligations when AI output enters the evidence trail

### Forward looking content

- ISO/IEC 17024:2026 provisions on AI-based assessment tools in certification of persons, and what they signal for audit tooling

## M16. Leading Certification Audits at Scale

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 4, 5, 6, 7, 8, 9, 10 |
| **Annex A controls** | A |
| **Theme** | readiness and consolidation |

### Learning outcomes

*On completion of this module the learner can:*

- Direct a multi-team certification audit and integrate findings from several auditors into one coherent conclusion
- Adjudicate between auditors who grade the same evidence differently
- Defend a certification decision under accreditation assessment

### Core content

- Readiness assessment against every clause and all 38 controls
- Assembling the evidence pack
- Common audit findings and how to evidence and grade them
- Examination preparation and the Exam Content Outline

### Forward looking content

- Integrated audits across AIMS, ISMS and privacy in a single engagement

## M17. Auditing Implementation Guidance, Annex B as an Audit Lens

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 8 |
| **Annex A controls** | B |
| **Theme** | implementation guidance in depth |

### Learning outcomes

*On completion of this module the learner can:*

- Use Annex B, which is normative implementation guidance, to test whether an Annex A control is implemented in substance
- Distinguish auditing against Annex A control intent from auditing against Annex B guidance
- Judge control maturity using Annex B rather than presence or absence
- Integrate Annex B evidence into a process-based audit

### Core content

- Annex B is normative implementation guidance for the Annex A controls
- Working through Annex B guidance control by control
- Integration of the AIMS with ISO/IEC 27001, ISO 9001 and privacy management systems
- Shared controls, shared evidence and single audit efficiency

### Forward looking content

- Annex B applied to controls for generative and agentic systems
- Where Annex B guidance and sector practice diverge

**Fact critical module.** This module carries facts that were previously taught incorrectly across GAICC materials. Linter rules AX-02, AX-03 apply. Every artifact for this module must pass the fact linter before release.

## M18. Auditing Objectives and Risk Sources with Annex C

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 6.2 |
| **Annex A controls** | C |
| **Theme** | objectives and risk sources catalog |

### Learning outcomes

*On completion of this module the learner can:*

- Use Annex C, which is informative, to test the completeness of an organization's risk source identification
- Evaluate AI objectives against the organizational objectives they are meant to serve
- Rule on whether an omitted risk source is a nonconformity or an opportunity for improvement, given that Annex C is informative

### Core content

- Annex C is informative: potential AI related organizational objectives and risk sources
- How to use an informative annex without treating it as a checklist of requirements
- Deriving measurable AI objectives from organizational objectives
- Mapping risk sources to controls and to treatment

### Forward looking content

- Risk sources that Annex C does not yet enumerate

## M19. Sector and Domain Audit with Annex D

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 4.1 |
| **Annex A controls** | D |
| **Theme** | domain and sector application |

### Learning outcomes

*On completion of this module the learner can:*

- Apply Annex D, which is informative, when auditing an AIMS in a regulated sector
- Integrate sector regulatory criteria with ISO/IEC 42001 criteria in one audit plan
- Judge where sector obligation exceeds management system requirement and report accordingly

### Core content

- Annex D is informative: use of the AI management system across domains or sectors
- Sector specific obligations layering on top of the AIMS
- Healthcare, financial services, public sector, employment and safety critical contexts
- Where sector regulation is stricter than the standard

### Forward looking content

- Sector-specific AI regulation and its interaction with certification

## M20. Auditing Governance Maturity

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 9.1, 10.1 |
| **Annex A controls** | Not control specific |
| **Theme** | maturity and benchmarking |

### Learning outcomes

*On completion of this module the learner can:*

- Assess AIMS maturity beyond binary conformity and evidence the assessment
- Communicate a maturity judgment without converting it into a nonconformity
- Compare maturity across sites and explain divergence

### Core content

- Maturity models and their proper use as diagnostic rather than target
- The GAICC Framework, Maturity Model and Implementation Roadmap
- Benchmarking AI governance capability
- Designing a maturity progression that survives leadership change

### Forward looking content

- Maturity models for autonomous and agentic governance

## M21. Cross-Border Audit and Data Sovereignty

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 4.1, 4.2, 8.1 |
| **Annex A controls** | A.7, A.10 |
| **Theme** | jurisdiction |

### Learning outcomes

*On completion of this module the learner can:*

- Plan an audit where evidence cannot lawfully leave a jurisdiction
- Adjudicate where data protection law constrains the audit itself
- Reconcile conflicting national obligations in one certification scope

### Core content

- Divergent AI regulatory regimes and their extraterritorial reach
- Data localization, transfer mechanisms and their interaction with AI training and inference
- Model and data residency

- Contractual allocation of obligation across borders

### Forward looking content

- Data localization and its effect on remote audit
- Auditing models trained across jurisdictions with incompatible consent bases

## M22. Auditing Future and Agentic Systems

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 9.2 |
| **Annex A controls** | Not control specific |
| **Theme** | horizon and assurance |

### Learning outcomes

*On completion of this module the learner can:*

- Design audit approaches for agentic systems that act without per-action human approval
- Judge assurance for foundation models the client does not control
- Set audit expectations where no control set is yet established

### Core content

- Technology trajectories that will stress the current control set
- Agentic systems, multimodal models, on device inference, synthetic data
- Evolving AI audit practice and assurance techniques
- Building an AIMS that absorbs change rather than resisting it

### Forward looking content

- Agentic AI, tool use and delegated authority as audit subjects
- Continuous assurance replacing point-in-time audit

## M23. Capstone, End-to-End Global AIMS Audit

| Coverage | Reference |
|---|---|
| **ISO/IEC 42001 clauses** | 4, 5, 6, 7, 8, 9, 10 |
| **Annex A controls** | A, B, C, D |
| **Theme** | integrated assessment |

### Learning outcomes

*On completion of this module the learner can:*

- Plan, conduct and report a complete multi-site AIMS certification audit
- Integrate findings from several auditors and grade them consistently
- Present a certification recommendation to an executive audience and defend it
- Withstand challenge on scope, evidence sufficiency and grading

### Core content

- Full simulation across a complex multi jurisdiction organization
- Contested evidence, incomplete information and competing stakeholder demands
- Defending decisions under adversarial challenge
- Integration of every module into a single judged performance

### Forward looking content

- A capstone scenario that includes an agentic system and a cross-border constraint

## 8. Assessment

| Property | Value |
|---|---|
| **Formative** | One 20 item quiz per module, 24 quizzes in total |
| **Quiz format** | 15 single answer multiple choice with four options, and 5 multi select with five options and two or three correct |
| **Quiz duration** | 40 minutes, two minutes per item |
| **Quiz attempts** | 10 |
| **Summative** | One certification examination governed by the Exam Content Outline |
| **Blueprint** | The examination mirrors the cognitive distribution in section 5 |
| **Result** | Provisional result on screen at completion; the Certification Decision Authority confirms the certification decision within 72 hours |

## 9. Factual governance

Every factual claim in every artifact built from this curriculum is governed by GAICC-QMS-FR-42001-001 (Standard Fact Register v1.0), which is verified against the licensed text of ISO/IEC 42001:2023, and by GAICC-QMS-FR-AUDIT-001 (Audit Standards Fact Register v1.0), which is verified against the ISO catalog record or official preview of each auditing standard.

The following facts are the ones most often stated incorrectly in AI governance training, including previously in GAICC materials. They are restated here so that no artifact built from this curriculum can repeat them.

| Fact | Correct position |
|---|---|
| **Normative references** | Clause 2 lists exactly one: ISO/IEC 22989:2022 |
| **ISO 9000** | Does not appear anywhere in ISO/IEC 42001:2023 |
| **Defined terms** | 26 terms, 3.1 to 3.26, a flat list with no groups |
| **Annex A controls** | 38 controls, 9 control clauses, 10 objectives |
| **Annex status** | A and B are normative; C and D are informative |
| **Control identifiers** | A.2.2 to A.10.4; A.6.1 contains only A.6.1.2 and A.6.1.3 |
| **3.12 in ISO/IEC 42001** | Continual improvement. A grade cites 3.12 or 3.13 of ISO/IEC 17021-1 by name, never a bare number |
| **ISO 19011:2026** | Guidance, written in should. Not certifiable, and no nonconformity can be raised against it. The 2018 edition was withdrawn on 27 May 2026 |
| **Principles of auditing** | Seven, at 4.2 to 4.8 of ISO 19011:2026 |
| **ISO/IEC 17021-1:2015** | Defines nonconformity, major nonconformity and minor nonconformity at 3.11, 3.12 and 3.13. Under 9.4.5, a nonconformity is never recorded as an opportunity for improvement |

| Fact | Correct position |
|---|---|
| **ISO/IEC 42006:2025** | Published July 2025. Supplements ISO/IEC 17021-1 and does not replace it. Audit time sits at 9.1.4, with Annex A normative |
| **ISO/IEC 42005:2025** | Guidance on AI system impact assessment. Criteria only where the client adopts it. Awareness level. |
| **ISO/IEC 17024:2026** | Sets requirements for bodies that certify persons, and GAICC's schemes are designed against it. The 2012 edition was withdrawn on 31 March 2026 |

*Instructors must not supplement these facts from memory or from secondary sources. Where a learner question cannot be answered from the Fact Registers, it is escalated rather than answered speculatively.*

## 10. Revision history

| Version | Date | Change |
|---|---|---|
| **1.0** | 25 August 2026 | First issue. Establishes the superset module architecture, restates the corrected fact base, and adds forward looking content to every module. |
| **1.1** | 29 September 2026 | Reissued against the Audit Standards Fact Register. The examination is stated as 80 items, all scored. The accreditation standards are dated, and ISO/IEC 17024:2026 is no longer said to govern audit tooling; its provisions on AI-based assessment tools apply to certification of persons. ISO/IEC 42005 is removed. The NOTE 1 to Clause 4.1 roles are corrected. An omitted Annex C risk source is ruled a nonconformity or an opportunity for improvement, not an observation. The auditor track table and the audit standard facts are added, and the self-paced materials are listed. Spelling is American English outside quoted standard wording, including module titles M0, M4, M7 and M14. Module numbering, domains and tasks are otherwise unchanged. |
| **1.2** | 12 October 2026 | Reissued to match the corrected Senior Lead Auditor course. Criteria architecture names "a legal instrument" in place of "an AI act". The harmonized structure is described as formerly Annex SL. The AI roles add AI customer (including AI users), as NOTE 1 to Clause 4.1 lists them. The A.4.4 content distinguishes tooling resources for the AI system from the tools used to operate the AIMS. ISO/IEC 42005:2025 is restored at awareness level in M8 and in the audit standard facts. The result wording matches the Examination Content Outline. Self-paced video viewing time (about 94 hours, measured from the narration script) is stated separately from the 40 contact hours, which are unchanged; instructors deliver every module and assign material not covered live as self-study. Module numbering and titles are unchanged. |