

ISO-IEC-42001-Lead-Auditor덤프샘플문제최신버전덤프 공부자료

CERTIFICATION PROCESS FOR ISO 42001 LEAD IMPLEMENTER AND LEAD AUDITOR



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PECB ISO-IEC-42001-Lead-Auditor 시험요강:

주제	소개
주제 1	<ul style="list-style-type: none"> Closing an ISO IEC 42001 audit: This section of the exam measures the skills of an AI Compliance Officer and explains how to complete the audit process. It includes reporting findings, managing nonconformities, and conducting follow-ups to ensure continuous improvement and compliance.
주제 2	<ul style="list-style-type: none"> Preparing an ISO IEC 42001 audit: This section of the exam measures the skills of a Lead Auditor and covers how to plan and prepare for an AI management system audit. It includes creating audit plans, selecting team members, and setting clear objectives to ensure a smooth audit process.
주제 3	<ul style="list-style-type: none"> Conducting an ISO IEC 42001 audit: This section of the exam measures the skills of a Lead Auditor and focuses on executing the audit according to ISO IEC 42001 guidelines. It includes collecting evidence, interviewing relevant staff, and evaluating compliance with the AI management system standards.
주제 4	<ul style="list-style-type: none"> AI management system requirements: This section of the exam measures the skills of a Lead Auditor and focuses on understanding the key requirements outlined in ISO IEC 42001. It explains how organizations should structure their AI-related activities and processes to meet compliance standards effectively.
주제 5	<ul style="list-style-type: none"> Fundamental principles and concepts of an AI management system: This section of the exam measures the skills of an AI Compliance Officer and covers the basic principles of artificial intelligence, including ethical use, trustworthiness, and transparency. It introduces the purpose and importance of having an AI management system in place for responsible AI governance.

주제 6	<ul style="list-style-type: none"> • Managing an ISO • IEC 42001 audit program: This section of the exam measures the skills of an AI Compliance Officer and deals with overseeing an entire audit program. It involves managing multiple audits, tracking audit performance, and aligning audit outcomes with broader organizational goals related to AI governance.
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>> ISO-IEC-42001-Lead-Auditor덤프 샘플문제 <<

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최신 AI management system (AIMS) ISO-IEC-42001-Lead-Auditor 무료 샘플문제 (Q52-Q57):

질문 # 52

Scenario 7 (continued):

Scenario 7: ICure, headquartered in Bratislava, is a medical institution known for its use of the latest technologies in medical practices. It has introduced groundbreaking AI-driven diagnostics and treatment planning tools that have fundamentally transformed patient care.

ICure has integrated a robust artificial intelligence management system AIMS to manage its AI systems effectively. This holistic management framework ensures that ICure's AI applications are not only developed but also deployed and maintained to adhere to the highest industry standards, thereby enhancing efficiency and reliability.

ICure has initiated a comprehensive auditing process to validate its AIMS's effectiveness in alignment with ISO/IEC 42001. The stage 1 audit involved an on-site evaluation by the audit team. The team evaluated the site-specific conditions, interacted with ICure's personnel, observed the deployed technologies, and reviewed the operations that support the AIMS. Following these observations, the findings were documented and communicated to ICure, setting the stage for subsequent actions.

Unforeseen delays and resource allocation issues introduced a significant gap between the completion of stage 1 and the onset of stage 2 audits. This interval, while unplanned, provided an opportunity for reflection and preparation for upcoming challenges.

After four months, the audit team initiated the stage 2 audit. They evaluated AIMS's compliance with ISO/IEC 42001 requirements, paying special attention to the complexity of processes and their documentation. It was during this phase that a critical observation was made:

ICure had not fully considered the complexity of its processes and their interactions when determining the extent of documented information. Essential processes related to AI model training, validation, and deployment were not documented accurately, hindering effective control and management of these critical activities. This issue was recorded as a minor nonconformity, signaling a need for enhanced control and management of these vital activities.

Simultaneously, the auditor evaluated the appropriateness and effectiveness of the "AIMS Insight Strategy," a procedure developed by ICure to determine the AIMS internal and external challenges. This examination identified specific areas for improvement, particularly in the way stakeholder input was integrated into the system. It highlighted how this could significantly enhance the contribution of relevant parties in strengthening the system's resilience and effectiveness.

The audit team determined the audit findings by taking into consideration the requirements of ICure, the previous audit records and conclusions, the accuracy, sufficiency, and appropriateness of evidence, the extent to which planned audit activities are realized and planned results achieved, the sample size, and the categorization of the audit findings. The audit team decided to first record all the requirements met; then they proceeded to record the nonconformities.

Based on the scenario above, answer the following question:

Question:

Did the audit team consider all the necessary aspects when determining audit findings?

- A. Yes, the audit team considered all the necessary aspects for determining audit findings
- B. No, audit team did not consider the findings exceeding normal practices or opportunities for improvement
- C. No, the audit team overlooked the importance of the auditee's feedback in shaping the audit findings

정답: A

설명:

The scenario states that the audit team considered:

- * audit objectives
 - * audit criteria
 - * planned results
 - * sample size
 - * conformity to requirements
 - * and previous records - all key elements of audit evidence analysis.
- * ISO/IEC 17021-1:2015 Clause 9.4.5 and ISO 19011:2018 Clause 6.6 confirm that audit findings must be based on objective evidence, conformity criteria, and audit scope. This matches what the audit team did, confirming full compliance.
Reference: ISO/IEC 17021-1:2015 Clause 9.4.5; ISO 19011:2018 Clause 6.6.

질문 # 53

An AI system is being developed to assist elderly people in their daily activities. The system needs to be intuitive and align with the needs and values of its users. Which core element of AI should guide the design and development of this AI system?

- A. Accountability
- B. Transparency and Explainability
- C. Fairness and Non-Discrimination
- **D. Human-Centered Design**

정답: D

설명:

The correct guiding principle in this scenario is Human-Centered Design. This principle is explicitly emphasized in ISO/IEC 42001:2023, particularly in the context of aligning AI systems with human needs, values, and well-being.

Human-Centered Design ensures that the AI system is designed with a focus on users, particularly vulnerable populations like the elderly. The AI should be intuitive, inclusive, and usable while enhancing human capabilities.

In ISO/IEC 42001:2023:

- * Clause 4.2 (Understanding the needs and expectations of interested parties) requires that systems consider stakeholders, particularly end users, when defining system requirements.
- * Clause 6.1.2 (AI risk identification and assessment) and Clause 8.2.3 (Operational planning and control) reinforce designing systems that respect and respond to human diversity and usability needs.

The PECB Lead Auditor Guide - Domain 1 lists Human-Centered Design as one of the foundational AI principles essential for promoting trust, accessibility, and adoption among users - especially those with specific assistance needs.

Reference: ISO/IEC 42001:2023 - Clauses 4.2, 6.1.2, 8.2.3

PECB Lead Auditor Guide - Domain 1, Topic: "Trustworthy and Ethical AI Principles," Subsection: Human-Centered Design

질문 # 54

What is the purpose of conducting an opening meeting in the audit process?

- A. To discuss the audit findings
- **B. To confirm the audit plan and address any issues**
- C. To establish the audit criteria
- D. To perform a root cause analysis

정답: B

설명:

The opening meeting is a critical step in the audit process where the audit team:

- * Confirms the audit plan
- * Clarifies the scope, objectives, and schedule
- * Addresses any last-minute concerns or changes
- * Establishes lines of communication and cooperation

As per ISO 19011:2018 - Clause 6.4.3, the opening meeting ensures mutual understanding between the auditor(s) and the auditee, helping set expectations and reduce confusion during the audit.

질문 # 55

In which situations does an auditor have the right to decline the audit mandate?

- A. When clear problems exist related to the experience and language proficiency of the auditee's employees
- B. When technical experts have not been assigned to participate in the audit
- C. When the auditee is unwilling to provide documented information in advance
- **D. When the allocated time for conducting the audit does not allow for a thorough assessment of the management system**

정답: D

설명:

Auditors have the right and responsibility to ensure that audits are conducted effectively. According to ISO 19011:2018 and ISO/IEC 17021-1:2015, if the audit time allocated is insufficient to conduct a comprehensive and thorough audit, the auditor may refuse or request modification of the assignment.

This helps maintain audit integrity, quality, and professional due care.

Reference:

ISO/IEC 17021-1:2015, Clause 9.1.4 - Audit duration

ISO 19011:2018, Clause 5.3.2 - Audit planning responsibilities

PECB ISO/IEC 42001 Lead Auditor Guide - Chapter: Auditor Rights and Responsibilities

질문 # 56

Scenario 9:

Scenario 9: Securisai, located in Tallinn, Estonia, specializes in the development of automated cybersecurity solutions that utilize AI systems. The company recently implemented an artificial intelligence management system AIMS in accordance with ISO/IEC 42001. In doing so, the company aimed to manage its AI-driven systems' capabilities to detect and mitigate cyber threats more efficiently and ethically. As part of its commitment to upholding the highest standards of AI use and management, Securisai underwent a certification audit to demonstrate compliance with ISO/IEC 42001.

The audit process comprised two main stages: the initial or stage 1 audit focused on reviewing Securisai's documentation, policies, and procedures related to its AIMS. This review laid the groundwork for the stage 2 audit, which involved a comprehensive, on-site evaluation of the actual implementation and effectiveness of the AIMS within Securisai's operations. The goal was to observe the AIMS in operation, ensuring that it not only existed on paper but was effectively integrated into the company's daily activities and cybersecurity strategies.

After the audit, Roger, Securisai's internal auditor, addressed the action plans devised to rectify nonconformities identified during the certification audit. He developed a long term strategy, highlighting key AIMS processes for triennial audits. Roger's internal audits play a key role in advancing Securisai's goals by employing a systematic and disciplined method to assess and boost the efficiency of risk management, governance processes, and strategic decision-making. Roger reported his findings directly to Securisai's top management.

Following the successful rectification of nonconformities, Securisai was officially certified against ISO/IEC 42001.

Recently, the company decided to transfer its ISO/IEC 42001 certification registration from one certification body to another despite being initially bound by a long-term agreement with the current certification body.

This decision was motivated by the desire to partner with a certification body that offers deeper insights and expertise in the rapidly evolving field of artificial intelligence in cybersecurity.

To ensure a smooth transition and uphold its certification status, Securisai is diligently compiling the required documentation for submission to the new certification body. This includes a formal request, the most recent audit report underscoring its adherence to ISO/IEC 42001, the latest corrective action plan that highlights its continuous efforts toward improvement, and a copy of its current valid certification registration.

A year following Securisai's initial certification audit, a subsequent audit was carried out by the certification body on its AIMS. The purpose of this audit was to assess compliance with ISO/IEC 42001 and verify the ongoing improvement of the AIMS. The audit team concluded that Securisai's AIMS consistently meets the requirements set by ISO/IEC 42001.

Question:

Roger followed up on action plans resulting from external audits. Is this acceptable?

- A. No, the internal auditor should follow up on action plans submitted in response to nonconformities resulting only from internal audits
- **B. Yes, the internal auditor should follow up on action plans submitted during internal and external audits**
- C. No, it is the responsibility of the external auditor to follow up on action plans resulting from external audits

<https://drive.google.com/open?id=1H0mVz-RZY3EyFqAlJiA6wH0uwN3AcCB4>