

# ISO-IEC-42001-Lead-Auditor考試題庫 & ISO-IEC-42001-Lead-Auditor考古題介紹



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## PECB ISO-IEC-42001-Lead-Auditor 考試大綱：

主題	簡介
主題 1	<ul style="list-style-type: none"><li>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</li><li>IEC 42001. It explains how organizations should structure their AI-related activities and processes to meet compliance standards effectively.</li></ul>
主題 2	<ul style="list-style-type: none"><li>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.</li></ul>
主題 3	<ul style="list-style-type: none"><li>Preparing an ISO</li><li>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.</li></ul>

主題 4	<ul style="list-style-type: none"> <li>• Closing an ISO</li> <li>• 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.</li> </ul>
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## >> ISO-IEC-42001-Lead-Auditor考試題庫 <<

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### 最新的 AI management system (AIMS) ISO-IEC-42001-Lead-Auditor 免費考試真題 (Q61-Q66):

#### 問題 #61

What does the 'Human-Centered Design' core element prioritize in AI development?

- A. Maximizing profit
- **B. Designing AI systems that prioritize human needs and values**
- C. Minimizing user interaction
- D. Increasing automation

答案： B

解題說明：

Human-Centered Design focuses on designing AI systems that respect and enhance human well-being, align with user needs and values, and promote inclusive and accessible technologies.

According to ISO/IEC 42001:2023 - Clauses 4.2 and 6.1.2, and highlighted throughout the PECB Lead Auditor Guide - Domain 1, AI systems should be usable, inclusive, and ethically aligned, especially when intended for diverse or vulnerable user groups.

This principle ensures that humans remain in control and benefit from the capabilities of AI.

Reference: ISO/IEC 42001:2023 - Clause 4.2 (Needs of interested parties), Clause 6.1.2 (Ethical impact and risk analysis) PECB Lead Auditor Guide - Domain 1: "Human-Centered Design and Trustworthy AI"

#### 問題 #62

The process to assess the potential consequences for individuals or groups of individuals, or both, and societies that can result from the AI system throughout its life cycle is known as:

- **A. AI System Impact Assessment**
- B. AI System Risk Assessment
- C. None of the above
- D. Documentation of AI Systems

答案： A

解題說明：

The correct term here is AI System Impact Assessment (AIIA), which is distinctly referenced in ISO/IEC 42001:2023 - Clause 6.1.2 as part of the organization's process to identify and assess potential impacts of AI systems on stakeholders.

An AIIA is designed to evaluate the ethical, societal, legal, and human rights implications of AI use. It supports transparency, stakeholder trust, and ethical alignment.

While AI Risk Assessment (Clause 6.1.1) focuses more on organizational and system-level risks (e.g., technical, legal), the Impact

Assessment looks at external consequences- especially for individuals and groups.

Reference: ISO/IEC 42001:2023 - Clause 6.1.2 (AI impact identification and assessment) PECB Lead Auditor Guide - Domain 2: "Planning and Risk Assessment," Subsection: AI Impact Assessment

### 問題 #63

Scenario 5 (continued):

Scenario 5: Aizoia, located in Washington, DC, has revolutionized data analytics, software development, and consulting by using advanced AI algorithms. Central to its success is an AI platform adept at deciphering complex datasets for enhanced insights. To ensure that its AI systems operate effectively and responsibly, Aizoia has established an artificial intelligence management system AIMS based on ISO/IEC 42001 and is now undergoing a certification audit to verify the AIMS's effectiveness and compliance with ISO/IEC 42001.

Robert, one of the certification body's full-time employees with extensive experience in auditing, was appointed as the audit team leader despite not receiving an official offer for the role. Understanding the critical importance of assembling an audit team with diverse skills and knowledge, the certification body selected competent individuals to form the audit team. The certification body appointed a team of seven members to conduct the audit after considering the specific conditions of the audit mission and the required competencies.

Initially, the certification body, in cooperation with Aizoia, defined the extent and boundaries of the audit, specifying the sites (whether physical or virtual), organizational units, and the activities for review. Once the scope, processes, methods, and team composition had been defined, the certification body provided the audit team leader with extensive information, including the audit objectives and documented details on the scope, processes, methods, and team compositions.

Additionally, the certification body shared contact details of the auditee, including locations, time frames, and the duration of the audit activities to be conducted. The team leader also received information needed for evaluating and addressing identified risks and opportunities for the achievement of the audit objectives.

Before starting the audit, Robert wrote an engagement letter, introducing himself to Aizoia and outlining plans for scheduling initial contact. The initial contact aimed to confirm the communication channels, establish the audit team's authority to conduct the audit, and summarize the audit's key aspects, such as objectives, scope, criteria, methods, and team composition. During this first meeting, Robert emphasized the need for access to essential information that would help to conduct the audit.

Moreover, audit logistics, such as scheduling, access, health and safety arrangements, observer attendance, and the need for guides or interpreters, were thoroughly planned. The meeting also addressed areas of interest or concern, preemptively resolving potential issues and finalizing any matters related to the audit team composition.

As the audit progressed, Robert recognized the complexity of Aizoia's operations, leading him to conclude that a review of its AI-related data governance practices was essential for compliance with ISO/IEC 42001.

He discussed this need with Aizoia's management, proposing an expanded audit scope. After careful consideration, they agreed to conduct a thorough review of the AI data governance practices, but there was no mutual decision to officially change the audit scope. Consequently, Robert decided to proceed with the audit based on the original scope, adhering to the initial audit plan, and documented the conversation and decision accordingly.

Based on the scenario above, answer the following question:

Question:

According to Scenario 5, was Robert's decision to proceed with the audit without changing its scope appropriate?

- A. Yes, because no agreement was reached to change the scope, and he documented the decision accordingly
- B. No, Robert must have withdrawn from the audit and informed the interested parties
- C. No, Robert should have opted to conduct a follow-up audit

答案: A

解題說明:

Robert acted correctly by proceeding without changing the scope, because no official agreement was made to modify it, and he documented the conversation properly.

\* ISO/IEC 17021-1:2015 Clause 9.2.3.1 specifies that "Audit scope can only be changed if formally agreed by both the auditee and the certification body."

\* The Lead Auditor Guide says: "If the auditee and auditor cannot agree to modify the audit scope, the original scope must remain valid, and deviations should be documented." Reference: ISO/IEC 17021-1:2015 Clause 9.2.3.1; ISO/IEC 42001:2023 Clause 9.2.

### 問題 #64

Scenario 2 (continued):

Empsy HR Solutions is a human resources consulting company that provides innovative HR solutions to diverse

industries. Recognizing the significant impact of artificial intelligence AI in HR processes, including its ability to automate repetitive tasks, analyze vast amounts of data for insights, improve recruitment and talent management strategies, and personalize employee experiences, the company has initiated the implementation of an artificial intelligence management system AIMS based on ISO/IEC 42001.

Initially, the top management established an AI policy that was aligned with the company's objectives. The AI policy provided a framework for defining AI objectives, a commitment to meeting relevant requirements, and a dedication to continually improve the AIMS. However, it did not refer to other organizational policies, although some were relevant to the AIMS. Afterward, the top management documented the policy, communicated it internally, and made it accessible to interested parties.

The top management designated specific individuals to ensure that the AIMS meets the standard's requirements. Additionally, they ensured that these individuals were responsible for overseeing the AIMS, reporting its performance to the top management, and facilitating continual improvement. Moreover, in its awareness sessions, the company focused exclusively on ensuring that all personnel were informed about the AI policy, emphasizing their role in ensuring the effectiveness of the AIMS and the benefits of enhanced AI performance.

The company also planned, implemented, and monitored processes to meet AIMS requirements. Additionally, it set clear criteria and implemented controls based on them, ensuring effective operation, alignment with organizational objectives, and continual improvement. Empsy HR Solutions decided to implement strict measures to control changes to documented information within the AIMS. To ensure the integrity and accuracy of documentation, the company adopted version control practices. Each document update was tracked using a versioning system, with clear records of what was modified, who made the changes, and when the updates occurred. Access to make changes was restricted to authorized personnel, and any proposed modifications required approval from the designated management team before being implemented.

Moreover, considering past experiences where the company encountered unforeseen risks, Empsy HR Solutions established a comprehensive AI risk assessment process. This process involved identifying, analyzing, and evaluating AI risks to determine if it is necessary to implement additional controls than those specified in Annex A. The company also referred to Annex B for guidance on implementing controls and, ultimately, produced a Statement of Applicability SoA. The SoA contained the necessary controls, including all the controls of Annex A and justifications for their inclusion or exclusion.

Lastly, Empsy HR Solutions decided to establish an internal audit program to ensure the AIMS conforms to both the company's requirements and ISO/IEC 42001. It defined the audit objectives, criteria, and scope for each audit, selected auditors, and ensured objectivity and impartiality during the audit process. The results of the first audit were documented and reported only to the top management of the company.

Question:

Based on Scenario 2, has Empsy HR Solutions established a suitable internal audit program?

- A. No, results of audits should also be reported to the relevant managers
- B. No, the company should outsource the internal audit function to ensure objectivity and impartiality
- C. Yes, the internal audit program was established in accordance with ISO/IEC 42001 requirements
- D. Yes, provided results are communicated only to top management

答案: A

解題說明:

ISO/IEC 42001 Clause 9.2.2 specifies that internal audit results should be communicated to relevant management in addition to top management. Only informing top management is insufficient and nonconforming.

Reference: ISO/IEC 42001:2023 Clause 9.2.2 (Internal Audit Program Communication).

## 問題 #65

Scenario 4 (continued):

BioNovaPharm, a German biopharmaceutical company, has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001 to optimize various aspects of drug discovery, including analyzing extensive biological data, identifying potential drug candidates, and streamlining clinical trial processes. After having the AIMS in place for over a year, the company contracted a certification body and is now undergoing an AIMS audit to obtain certification against ISO/IEC 42001.

Adopting a risk-based approach, the audit team focused on risk throughout their activities. The level of detail outlined in the audit plan corresponded to the scope and complexity of the audit. The team employed a ranking system for detailed audit procedures, prioritizing those with the highest risk.

Once the stage 1 audit began, the audit team started reviewing the auditee's documented information. To assess whether BioNovaPharm complies with the legal and regulatory requirements related to incident communication, the audit team examined evidence provided by the company's external legal office. The evidence confirmed that BioNovaPharm applies the requirements of the EU AI Act, which mandates that providers of high-risk AI systems report serious incidents to relevant authorities.

Following the completion of the stage 1 audit, John, an audit team member, documented the stage 1 audit outputs, including the observations of the audit team that could result in nonconformities during the on-site audit. However, the audit team leader, Emma, who was overseeing the audit activities, observed that John failed to document significant observations related to the lack of



transparency in the AI decision-making processes of BioNovaPharm. Considering that Emma observed John's lack of competence in undertaking some audit activities, a disciplinary note was recorded for John.

Question:

Which of the following AI applications for auditing did the audit team employ?

- A. Automated planning
- B. Augmented analysis
- **C. Automated data validation**
- D. Augmented audit interviews

答案: C

解題說明:

The audit team used Automated Data Validation by using AI to gather and validate external digital data (e.g., drug development information).

\* ISO/IEC 42001 Clause 9.2.2 allows the use of automated methods to collect and validate information, provided that the reliability and integrity of such systems are ensured.

\* The Lead Auditor Course Guide explains: "Automated data validation tools help auditors improve evidence collection efficiency by cross-referencing multiple datasets with minimal manual intervention." Reference: ISO/IEC 42001:2023 Clause 9.2.2; Lead Auditor Guide Module 5 ("Use of Automated Tools in Audits").

## 問題 #66

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