

# 最新ISO-IEC-42001-Lead-Auditor題庫資源，ISO-IEC-42001-Lead-Auditor考題



順便提一下，可以從雲存儲中下載NewDumps ISO-IEC-42001-Lead-Auditor考試題庫的完整版：  
版：[https://drive.google.com/open?id=1kJ7\\_fXwF9Ne91fxiXOtojr8alNUzHD2](https://drive.google.com/open?id=1kJ7_fXwF9Ne91fxiXOtojr8alNUzHD2)

PECB ISO-IEC-42001-Lead-Auditor認證考試是目前IT人士報名參加的考試中很受歡迎的一個認證考試。通過了PECB ISO-IEC-42001-Lead-Auditor認證考試不僅能使你工作和生活帶來提升，而且還能鞏固你在IT領域的地位。但是事實情況是它通過率確很低。

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

| 主題   | 簡介                                                                                                                                                                                                                                                                                                                                                                                         |
|------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 主題 1 | <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>                                  |
| 主題 2 | <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 3 | <ul style="list-style-type: none"><li>• Conducting an ISO</li><li>• IEC 42001 audit: This section of the exam measures the skills of a Lead Auditor and focuses on executing the audit according to ISO</li><li>• IEC 42001 guidelines. It includes collecting evidence, interviewing relevant staff, and evaluating compliance with the AI management system standards.</li></ul>         |
| 主題 4 | <ul style="list-style-type: none"><li>• Managing an ISO</li><li>• 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.</li></ul> |

|      |                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 主題 5 | <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> |
|------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

>> 最新 ISO-IEC-42001-Lead-Auditor 題庫資源 <<

## 免費獲得最新的ISO-IEC-42001-Lead-Auditor考試題庫試題和答案 - 是最新和最完整的ISO/IEC 42001:2023Artificial Intelligence Management System Lead Auditor Exam - ISO-IEC-42001-Lead-Auditor題庫質料

面對競爭激勵的世界，唯有考取和別人不一樣的證照，才可以充實自己，知識就是力量。購買 PECB ISO-IEC-42001-Lead-Auditor 題庫，可以免費享受一年的更新題庫的售后服務，在購買前享有免費試用部分考題DEMO。我們提供PDF和軟體格式的考題，其中PDF版本可以列印，軟體版的題庫可以模擬真實的 PECB 的 ISO-IEC-42001-Lead-Auditor 考試。正確率100%，考生可以參照最新的 ISO-IEC-42001-Lead-Auditor 認證部分考題。

### 最新的 AI management system (AIMS) ISO-IEC-42001-Lead-Auditor 免費考試真題 (Q20-Q25):

#### 問題 #20

The top management of Alterhealth initially rejected the selected audit team leader because they had audited the company in the past, and thus would not bring added value for the auditee. Is this acceptable?

Scenario 5: Alterhealth is a mid-sized technology firm based in Toronto, Canada. It develops AI systems for healthcare providers, focusing on improving patient care, optimizing hospital workflows, and analyzing healthcare data for insights that can improve health outcomes.

To ensure responsible and effective use of AI in its operations, Alterhealth has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001. After a year of having the AIMS in place, the company decided to apply for a certification audit to obtain certification against ISO/IEC 42001.

The company contracted a certification body to conduct the audit, who assembled the audit team and appointed the audit team leader. The audit team leader had conducted a certification audit at Alterhealth in the past. The top management of Alterhealth decided to reject the appointment of this auditor because they believed that they would not receive added value from the audit. In response, the certification body appointed Jonathan, an independent auditor with no prior engagements with Alterhealth, as the new audit team leader. Jonathan's introduction marked the beginning of a collaborative process aimed at evaluating the conformity of the AIMS to ISO/IEC 42001 requirements.

The certification body determined the audit scope, which included only specific departments essential to the integration and application of AI, such as the AI Research, Machine Learning Applications, and AI Ethics and Compliance Departments, and did not cover all of the departments covered by the AIMS scope. Meanwhile, Alterhealth determined the audit time, setting the necessary time frame for planning and conducting a thorough and effective review to ensure all aspects of the AIMS within the selected departments were meticulously reviewed.

Afterward, Jonathan received a detailed offer from the certification body, outlining his role and including information related to the audit, such as the audit's duration, team members, their responsibilities, the limits to the audit engagement, and their salary compensation. With a clear mandate, Jonathan was tasked with a multitude of responsibilities: defining the audit objectives and criteria, planning the audit process, identifying and addressing audit risks, managing communication with Alterhealth, overseeing the audit team, and ensuring a smooth and conflict free execution.

With Jonathan's leadership and a well-defined audit framework in place, the certification audit proceeded with a structured and objective evaluation of Alterhealth's AIMS.

- A. Yes, this is a valid reason for rejecting an auditor
- **B. No, an auditor can only be rejected by the auditee if a conflict of interest is present**
- C. Yes, if the auditor lacks knowledge of AI systems
- D. No, the auditee does not have the authority to reject an auditor assigned by the certification body

答案: B

解題說明:

According to ISO/IEC 17021-1:2015 Clause 9.1.7, the auditee has the right to object to specific audit team members, but such

objection must be supported by a valid justification such as a perceived conflict of interest or lack of competence. Rejecting an auditor solely based on the claim that they will not "bring added value" does not meet this criterion. Unless a legitimate concern is raised - such as impartiality, bias, or conflict of interest - the certification body is under no obligation to change the auditor.

Reference:

ISO/IEC 17021-1:2015, Clause 9.1.7 - Audit team selection and auditee objection ISO 19011:2018, Clause 5.3 - Auditor competence and impartiality PECB ISO/IEC 42001 Lead Auditor Guide - Section: Responsibilities of Certification Bodies and Auditees

---

## 問題 #21

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:

What level of negligence did Emma observe regarding John's audit documentation failures?

- A. Ordinary negligence
- B. Minor error
- C. Gross negligence
- D. Fraud

答案: A

解題說明:

Ordinary negligence refers to a failure to apply the level of care that a reasonable auditor would exercise, without intentional misconduct.

\* ISO/IEC 17021-1:2015 Clause 7.2.5 requires auditors to document audit findings properly and completely.

\* The Lead Auditor Study Guide defines ordinary negligence as: "An auditor's unintentional oversight or failure to perform duties to expected professional standards, without evidence of deliberate wrongdoing." Reference: ISO/IEC 17021-1:2015 Clause 7.2.5; Lead Auditor Manual Chapter 6 ("Audit Team Behavior and Ethics").

## 問題 #22

How does ISO 19011 recommend auditors select audit criteria?

- A. By using random selection methods
- B. Based on the organization's industry reputation
- C. According to the requirements of the management system standards and objectives
- D. By choosing criteria that are easiest to measure

答案: C

解題說明:

Audit criteria should be selected according to the requirements of the management system standard (e.g., ISO/IEC 42001:2023) and the organization's objectives.

PerISO 19011:2018 - Clause 5.4.2, audit criteria must be defined based on standards, statutory requirements, internal policies, procedures, and contractual obligations relevant to the audit.  
Random selection or convenience-based criteria are not acceptable in professional audit practice.

### 問題 #23

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:

Based on Scenario 4, does the level of detail in the audit plan adequately reflect all aspects recommended for a comprehensive risk-based approach to planning?

- A. No, the audit plan should have included sufficient detail correlating with the risk of not achieving the audit objectives
- B. No, the audit plan should have focused on nonconformities only
- C. Yes, the amount of detail provided in the audit plan reflects all the necessary aspects
- D. No, detailed audit procedures should have been prioritized based on the level of risk, from lowest to highest

答案: A

解題說明:

The audit plan should correlate directly with the risk of not achieving the audit objectives, meaning higher-risk areas need more scrutiny.

\* ISO/IEC 17021-1:2015 Clause 9.2.3.1 and ISO/IEC 42001 Clause 9.2.1 emphasize that audit planning must be risk-based, addressing critical risk areas sufficiently to meet audit objectives.

\* Lead Auditor Training Module 3 highlights: "An audit plan must be sufficiently detailed based on risks to ensure critical activities receive proportionate audit attention." Reference: ISO/IEC 42001:2023 Clause 9.2.1; ISO/IEC 17021-1:2015 Clause 9.2.3.1.

### 問題 #24

Which of the following does NOT represent the purpose of managing and maintaining audit program records?

- A. To demonstrate the implementation of the audit program
- B. To focus on the competence and performance evaluation of the audit team members
- C. To address information security and confidentiality needs for audit records

答案: B

解題說明:

Maintaining audit program records serves multiple purposes, such as demonstrating program implementation (ISO 19011:2018 Clause 5.4) and addressing confidentiality (Clause 7.5). However, the competence and performance evaluation of auditors is managed separately under auditor competence procedures (Clause 7.2), not as a direct objective of record keeping.

Reference:

ISO 19011:2018 Clause 5.4 - Establishing the audit program

ISO/IEC 17021-1:2015 Clause 7.2 - Competence management

ISO/IEC 42001:2023 Clause 7.2 - Competence

=====

• • • • •

**ISO-IEC-42001-Lead-Auditor** 考題: <https://www.newdumpspdf.com/ISO-IEC-42001-Lead-Auditor-exam-new-dumps.html>

- 此外，這些NewDumps ISO-IEC-42001-Lead-Auditor考試題庫的部分內容現在是免費的：[https://drive.google.com/open?id=1kLJ7\\_fXwF9Ne91fxiXOtoir8aINUzHD2](https://drive.google.com/open?id=1kLJ7_fXwF9Ne91fxiXOtoir8aINUzHD2)