

# 值得信賴的ISO-IEC-42001-Lead-Auditor考題套裝|第一次嘗試輕鬆學習並通過考試並且有效的ISO-IEC-42001-Lead-Auditor: ISO/IEC 42001:2023 Artificial Intelligence Management System Lead Auditor Exam

Credential	Exam	Professional experience	MS audit/assessment experience	Other requirements
PECB Certified ISO/IEC 42001 Provisional Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	None	None	Signing the PECB Code of Ethics
PECB Certified ISO/IEC 42001 Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	Two years: One year of work experience in AI management	Project activities: a total of 200 hours	Signing the PECB Code of Ethics
PECB Certified ISO/IEC 42001 Lead Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	Five years: Two years of work experience in AI management	Project activities: a total of 300 hours	Signing the PECB Code of Ethics
PECB Certified ISO/IEC 42001 Senior Lead Auditor	PECB Certified ISO/IEC 42001 Lead Auditor exam or equivalent	Ten years: Seven years of work experience in AI management	Project activities: a total of 1,000 hours	Signing the PECB Code of Ethics

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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>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 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>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>

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### 最新的 AI management system (AIMS) ISO-IEC-42001-Lead-Auditor 免費考試真題 (Q98-Q103):

#### 問題 #98

An audit team member is tasked with evaluating a sophisticated AI system used for autonomous driving. They lack the necessary expertise but proceed without consulting a specialist. Which principle is being neglected in this scenario?

- A. Due Professional Care
- B. Confidentiality
- C. Integrity
- D. Independence

答案: A

解題說明:

The principle being neglected is Due Professional Care.

According to ISO 19011:2018 - Clause 4(f), auditors are expected to apply diligence, competence, and judgment during audit activities. If an auditor proceeds with an audit without the required expertise, especially for a high-risk system like autonomous driving, this violates the principle of due care.

The PECB Lead Auditor Guide - Domain 3 clearly states that in complex technical environments (such as AI or autonomous systems), auditors must seek assistance from domain specialists when they lack direct experience.

Reference: ISO 19011:2018 - Clause 4(f): "Due professional care"

PECB Lead Auditor Guide - Domain 3: "Auditor Competence and Responsibilities"

#### 問題 #99

What certification recommendation did the auditee receive?

Scenario 8: VeridicAI, based in San Francisco, USA, specializes in market research using AI technologies to analyze customer behavior. Founded in 2023, the company employs natural language processing, machine learning, and predictive analytics to provide real time insights to a range of businesses. VeridicAI has implemented an artificial intelligence management system AIMS based on ISO/IEC 42001 to manage its AI technologies effectively. The AIMS scope includes select departments within the company, for which it has received a four-year certification against ISO/IEC 42001. Committed to transparency, VeridicAI publicly shares details of this certification.

As the certification nears its end, VeridicAI is preparing for an audit to renew its certification.

The audit process was led by Sharona, the audit team leader, who is a full-time employee of the certification body. Sharona and the audit team undertook all planned audit activities. Afterward, they organized the closing meeting with VeridicAI's management. During the meeting, Sharona and the team made a recap on audit objectives and scope, presented the audit findings and conclusions, presented identified nonconformities, and organized a session for questions and answers for the auditee.

VeridicAI received a conditional recommendation for certification, underscoring its compliance with the industry's standards.

Sharona confirmed that the company met the essential requirements but noted some identified minor nonconformities. In response, VeridicAI compiled and submitted a comprehensive action plan that addresses all identified nonconformities within a designated timeframe. Because of the comprehensive action plan, Sharona did not see the need for an additional on-site visit to verify the effectiveness of the action plan.

Sharona played an integral role in the certification decision process. Her thorough understanding of VeridicAI's operations, gained from the audit, guided the certification body towards a well-informed certification decision.

- A. Recommendation for certification
- B. Recommendation for certification conditional upon the filing of corrective action plans with a prior visit
- C. Recommendation for certification conditional upon the filing of corrective action plans without a prior visit

答案： C

解題說明：

According to ISO/IEC 42001:2023 and auditing best practices as per ISO 19011:2018 guidelines, a conditional certification may be issued when an organization conforms to most of the requirements but has minor nonconformities that do not pose a major risk to the system's effectiveness. In this case, VeridicAI received a conditional recommendation based on minor nonconformities. They submitted a comprehensive action plan, and the audit leader decided no additional on-site visit was necessary.

ISO/IEC 42001:2023 refers to such decisions under Clause 9.5 (Improvement), which supports corrective actions based on minor issues without necessarily requiring physical validation if the evidence submitted is sufficient.

Reference:

ISO/IEC 42001:2023 Clause 9.5 - Nonconformity and Corrective Action

ISO/IEC 17021-1:2015 - Requirements for bodies providing audit and certification of management systems ISO 19011:2018

Clause 6.4.10 - Audit Conclusion and Recommendation

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### 問題 #100

Which international standard does the top management of NeuraGen apply to govern the effective use of AI?

(Refer to Scenario 1)

Scenario: NeuraGen, founded by a team of AI experts and data scientists, has gained attention for its advanced use of artificial intelligence. It specializes in developing personalized learning platforms powered by AI algorithms. MindMeld, its innovative product, is an educational platform that uses machine learning and stands out by learning from both labeled and unlabeled data during its training process. This approach allows MindMeld to use a wide range of educational content and personalize learning experiences with exceptional accuracy. Furthermore, MindMeld employs an advanced AI system capable of handling a wide variety of tasks, consistently delivering a satisfactory level of performance. This approach improves the effectiveness of educational materials and adapts to different learners' needs.

NeuraGen skillfully handles data management and AI system development, particularly for MindMeld.

Initially, NeuraGen sources data from a diverse array of origins, examining patterns, relationships, trends, and anomalies. This data is then refined and formatted for compatibility with MindMeld, ensuring that any irrelevant or extraneous information is systematically eliminated. Following this, values are adjusted to a unified scale to facilitate mathematical comparability. A crucial step in this process is the rigorous removal of all personally identifiable information (PII) to protect individual privacy. Finally, the data is subjected to quality checks to assess its completeness, identify any potential bias, and evaluate other factors that could impact the platform's efficacy and reliability.

NeuraGen has implemented an advanced artificial intelligence management system (AIMS) based on ISO/IEC 42001 to support its efforts in AI-driven education. This system provides a framework for managing the life cycle of AI projects, ensuring that development and deployment are guided by ethical standards and best practices.

NeuraGen's top management is key to running the AIMS effectively. Applying an international standard that specifically provides guidance for the highest level of company leadership on governing the effective use of AI, they embed ethical principles such as fairness, transparency, and accountability directly into their strategic operations and decision-making processes.

While the company excels in ensuring fairness, transparency, reliability, safety, and privacy in its AI applications, actively preventing bias, fostering a clear understanding of AI decisions, guaranteeing system dependability, and protecting user data, it struggles to clearly define who is responsible for the development, deployment, and outcomes of its AI systems. Consequently, it becomes difficult to determine responsibility when issues arise, which undermines trust and accountability, both critical for the integrity and success of AI initiatives.

- A. ISO/IEC 38507
- B. ISO/IEC 23503
- C. ISO/IEC 22989

答案： A

解題說明：

The scenario states: "Applying an international standard that specifically provides guidance for the highest level of company leadership on governing the effective use of AI..." This aligns directly with ISO/IEC 38507.

ISO/IEC 38507:2022 - Governance implications of the use of artificial intelligence by organizations - provides guidance to the governing body (i.e., top management) of organizations on how to ensure the proper oversight, accountability, and ethical use of AI. It complements ISO/IEC 42001 by focusing specifically on leadership roles and responsibilities in AI governance.

Option B (ISO/IEC 22989) refers to AI terminology and concepts.

Option C (ISO/IEC 23503) is not an officially published ISO standard relating to AI governance at this time.

Reference:

ISO/IEC 38507:2022 - Governance of AI, Clause 4

### 問題 #101

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

答案： D

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 #102

How are auditors expected to handle conflicts of interest during an audit?

- A. By assigning an external auditor to handle the conflict
- **B. By disclosing any potential conflicts and avoiding auditing the affected area**
- C. By excluding the affected area from the audit scope
- D. By ignoring conflicts to maintain impartiality

答案： B

解題說明：

The correct practice is: disclose any potential conflicts and avoid auditing the affected area.

ISO 19011:2018 - Clause 5.3 and Clause 6.3.2 require auditors to declare conflicts of interest and take steps to preserve impartiality. Failure to do so compromises the integrity and independence of the audit.

According to the PECB Lead Auditor Guide, auditors should immediately report any situation where their objectivity may be questioned, including past relationships, financial ties, or personal bias.

Reference: ISO 19011:2018 - Clause 5.3 (Audit program management), Clause 6.3.2 (Establishing audit objectives, scope, and criteria) PECB Lead Auditor Guide - Domain 3: "Impartiality and Conflict of Interest Management"

### 問題 #103

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