

# ISO-IEC-42001-Lead-Auditor資格取得講座 & ISO-IEC-42001-Lead-Auditor絶対合格



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このほど、卒業生であれば、社会人であれば、ずっと「就職難」問題が存在し、毎年、「就職氷河期」といった言葉が聞こえてくる。ブームになるIT技術業界でも、多くの人はこういう悩みがあるんですから、PECBのISO-IEC-42001-Lead-Auditorの能力を把握できるのは欠かさせない技能であると考えられます。もし我々社のShikenPASSのISO-IEC-42001-Lead-Auditor問題集を手に入れて、速くこの能力をゲットできます。それで、「就職難」の場合には、他の人々と比べて、あなたはずっと優位に立つことができます。

## PECB ISO-IEC-42001-Lead-Auditor 認定試験の出題範囲：

トピック	出題範囲
トピック 1	<ul style="list-style-type: none"><li>• Fundamental audit concepts and principles: This section of the exam measures the skills of a Lead Auditor and outlines essential audit concepts such as evidence collection, impartiality, objectivity, and ethical conduct. It introduces the core principles that form the foundation of a reliable and consistent auditing process.</li></ul>
トピック 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>
トピック 3	<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>

トピック 4	<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>
トピック 5	<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>
トピック 6	<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>

>> ISO-IEC-42001-Lead-Auditor資格取得講座 <<

## 最高のISO-IEC-42001-Lead-Auditor資格取得講座 | 最初の試行で簡単に勉強して試験に合格する & 最新の更新ISO-IEC-42001-Lead-Auditor: ISO/IEC 42001:2023Artificial Intelligence Management System Lead Auditor Exam

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## PECB ISO/IEC 42001:2023Artificial Intelligence Management System Lead Auditor Exam 認定 ISO-IEC-42001-Lead-Auditor 試験問題 (Q26-Q31):

### 質問 # 26

#### Scenario 8:

Scenario 8: InnovateSoft, headquartered in Berlin, Germany, is a software development company known for its innovative solutions and commitment to excellence. It specializes in custom software solutions, development, design, testing, maintenance, and consulting covering both mobile apps and web development.

Recently, the company underwent an audit to evaluate the effectiveness and compliance of its artificial intelligence management system AIMS against ISO/IEC 42001.

The audit team engaged with the auditee to discuss their findings and observations during the audit's final phases. After evaluating the evidence, the audit team presented their audit findings to InnovateSoft, highlighting the identified nonconformities.

Upon receiving the audit findings, InnovateSoft accepted the conclusions but expressed concerns about some findings inaccurately reflecting the efficiency of their software development processes. In response, the company provided new evidence and additional information to alter the audit conclusions for a couple of minor nonconformities identified. After thorough consideration, the audit team leader clarified that the new evidence did not significantly alter the core conclusions drawn for the nonconformities.

Therefore, the certification body issued a certification recommendation conditional upon the filing of corrective action plans without a prior visit.

InnovateSoft accepted the decision of the certification body. The top management of the company also sought suggestions from the audit team on resolving the identified nonconformities. The audit team leader offered solutions to address the issues, fostering a collaborative effort between the auditors and InnovateSoft. During the closing meeting, the audit team covered key topics to enhance transparency. They clarified to InnovateSoft that the audit evidence was based on a sample, acknowledging the inherent uncertainty. The method and time frame of reporting and grading findings were discussed to provide a structured overview of nonconformities. The certification body's process for handling nonconformities, including potential consequences, guided InnovateSoft on corrective actions. The time frame for presenting a plan for correction was communicated, emphasizing urgency. Insights into the certification body's post-audit activities were provided, ensuring ongoing support.

Lastly, the audit team briefed InnovateSoft on complaint and appeal handling.

InnovateSoft submitted the action plans for each nonconformity separately, describing only the detected issues and the corrective actions planned to address the detected nonconformities. However, the submission slightly exceeded the specified period of 45 days set by the certification body, arriving three days later.

InnovateSoft explained this by attributing the delay to unexpected challenges encountered during the compilation of the action plans.

Question:

Was the audit team leader's attitude appropriate regarding the new evidence provided by the company?

- A. No, auditors should consult with the certification body before making any decisions regarding new evidence presented after the stage
- **B. Yes, auditors should consider the new evidence provided and modify their audit conclusion, if necessary**
- C. No, auditors should not take into consideration new evidence or additional information after reaching audit conclusions

**正解: B**

解説:

Auditors must remain open to considering additional evidence- even if submitted late - as long as it is relevant and within the audit timeframe.

\* ISO/IEC 17021-1:2015 Clause 9.4.7 states: "The audit team shall reconsider audit conclusions in light of any new, relevant information received before the audit report is finalized."

\* The Lead Auditor Guide reinforces: "Evidence-based decision-making must include post-audit review of any additional submissions before certification decisions are made." Reference: ISO/IEC 17021-1:2015 Clause 9.4.7; ISO/IEC 42001 Lead Auditor Manual - Section 7 ("Handling New Evidence Post-Audit").

#### 質問 # 27

A global bank is currently evaluating the effectiveness of its AI management system controls through an AIMS audit. Which role is being played by this company?

- A. An accreditation body
- B. A certification body
- C. An advisory body
- **D. An auditee**

**正解: D**

解説:

In this context, the global bank is the auditee, as it is the organization being audited. According to ISO 19011:2018 - Clause 3.12, an auditee is "the organization being audited." Since the bank is undergoing an internal or external audit of its AI Management System (AIMS), it assumes the role of the entity whose AIMS is being evaluated for effectiveness, compliance, and performance.

\* Accreditation body is responsible for accrediting certification bodies.

\* Certification body conducts audits for conformity assessments.

\* Advisory body provides consultation but does not participate directly in audits.

Reference: ISO 19011:2018 - Clause 3.12 (Auditee)

PECB Lead Auditor Guide - Domain 5: "Roles in the Audit Process"

#### 質問 # 28

Scenario 9 (continued):

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:

What type of audit is described in the last paragraph of Scenario 9?

- A. Surveillance audit
- B. Recertification audit
- C. Internal audit

正解: A

解説:

The follow-up audit one year after initial certification to assess ongoing conformity is classified as a Surveillance Audit.

\* ISO/IEC 17021-1:2015 Clause 9.6.2.1 states: "Surveillance audits are conducted at least once a year to ensure that the certified management system continues to meet requirements."

\* ISO/IEC 42001:2023 Clause 9.2.2 also references surveillance as part of maintaining AI management system certification.

Reference: ISO/IEC 17021-1:2015 Clause 9.6.2.1; ISO/IEC 42001:2023 Clause 9.2.2.

## 質問 # 29

Which control in Annex A of ISO 42001:2023 focuses on the need for stakeholder engagement in AI system development?

- A. Stakeholder Consultation
- B. Data Management
- C. Risk Assessment
- D. Continuous Improvement

正解: A

解説:

Annex A - Control A.5.2.2: Stakeholder Consultation explicitly requires organizations to consult with relevant stakeholders (such as users, impacted communities, regulators, etc.) during the development and operation of AI systems.

This control emphasizes the importance of engaging stakeholders to identify expectations, values, ethical concerns, and social impact risks associated with the AI system.

Stakeholder engagement supports transparency, ethical alignment, and social acceptability of AI solutions.

Reference: ISO/IEC 42001:2023 - Annex A, Control A.5.2.2 (Stakeholder Consultation) PECB Lead Auditor Guide - Domain 2: "Governance and Control Requirements for Ethical AI"

## 質問 # 30

Question:

An auditor has been assigned to perform a certification audit for an organization. However, the auditor discovers that their close relative holds a key management position within the organization being audited.

What kind of threat to impartiality does this situation represent?

- A. Intimidation
- B. Advocacy

- C. Self-interest
- D. Familiarity

正解: D

解説:

This situation represents a Familiarity Threat.

\* ISO/IEC 17021-1:2015 Clause 5.2.7 identifies familiarity as a risk when an auditor develops a relationship with a client that could impair objectivity.

\* The ISO/IEC 42001 Lead Auditor Guide states: "Familiarity threat occurs when an auditor becomes too sympathetic to the auditee's interests, due to close relationships or repeated interactions." A relative in management would heavily impair the auditor's independence.

Reference: ISO/IEC 17021-1:2015 Clause 5.2.7; ISO/IEC 42001 Lead Auditor Study Manual Section 4 ("Threats to Auditor Impartiality").

## 質問 # 31

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