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QUESTION 1

An organization is adopting AI for its procurement and inventory teams, raising concern from stakeholders that they will lose their jobs due to AI. Which of the following is the BEST way for the IS auditor to assess whether the potential negative impacts were minimized?

- A. Review human-centered design practices to determine how they were considered.
- B. Review how the project management team collected feedback in engagement activities.
- C. Review the current state assessment of how AI may impact the organization.
- D. Review the AI roadmap for short-term and long-term milestones.

Answer: A

Explanation:

The best way for the IS auditor to assess whether potential negative impacts were minimized is to review human-centered design practices. This approach ensures that AI adoption considered the needs, roles, and well-being of human stakeholders, helping to reduce resistance, mitigate job displacement concerns, and foster ethical implementation.

QUESTION 2

A healthcare organization uses data clustering to group patients by medical history for personalized treatment recommendations. Which of the following is the GREATEST privacy risk associated with this practice?

- A. Clustering increases the complexity of the model, making data harder to anonymize.
- B. The clustering requires more data, increasing the risk of a privacy breach.
- C. Irrelevant features in the data may result in inaccurate or biased treatments.
- D. Clusters can reveal sensitive personal information depending on how the information is presented.

Answer: D

Explanation:

The greatest privacy risk is that clusters can reveal sensitive personal information depending on how the information is presented. Even when data is grouped or anonymized, patterns in clusters may inadvertently expose identifiable or sensitive attributes, leading to privacy violations.

QUESTION 3

Which of the following is the GREATEST risk associated with using AI in audit planning?

- A. Scope creep
- B. Limited knowledge
- C. Increased planning costs
- D. Incomplete data

Answer: D

Explanation:

The greatest risk associated with using AI in audit planning is incomplete data. AI relies heavily on the quality and completeness of input data. If the data used during planning is incomplete, it can lead to flawed risk assessments, poor resource allocation, and an ineffective audit scope, ultimately compromising audit quality.

QUESTION 4

When using off-the-shelf AI models, which of the following is the MOST appropriate way for

organizations to approach vendor management?

- A. Establish responsibility and clear terms for model updates and support.
- B. Only use models from vendors with globally recognized accreditation.
- C. Use the vendor only if the contract has been reviewed by the information security department.
- D. Ensure a minimum of three quotes have been obtained for market research and comparison.

Answer: A

Explanation:

The most appropriate approach to vendor management when using off-the-shelf AI models is to establish responsibility and clear terms for model updates and support. This ensures ongoing accountability, proper maintenance, and alignment with evolving business and compliance requirements throughout the model's lifecycle.

QUESTION 5

Which of the following metrics are the BEST indication of a mature and effective approach to an organization's data governance program for its AI systems?

- A. Total budget allocated to AI initiatives across all departments
- B. Number of AI projects completed within the last fiscal year
- C. Percentage of AI models with documented data lineage
- D. Frequency of data quality audits on the organization's data sets

Answer: C

Explanation:

The percentage of AI models with documented data lineage is the best indication of a mature and effective data governance program. It demonstrates transparency, traceability, and accountability in how data flows through AI systems, which is essential for compliance, auditing, and maintaining trust in AI outputs.

QUESTION 6

Which of the following is the BEST way to support the development and design of high-risk AI systems?

- A. Conduct regular training sessions for users on data privacy.
- B. Ensure the availability of trustworthy data sets.
- C. Regularly back up the AI system's data to a secure, offsite location.
- D. Implement multi-factor authentication (MFA) for all users accessing the AI system.

Answer: B

Explanation:

The best way to support the development and design of high-risk AI systems is to ensure the availability of trustworthy data sets. Reliable, high-quality data is foundational to building AI systems that are accurate, fair, and compliant — especially critical in high-risk applications where errors can have significant consequences.

QUESTION 7

An organization shares an AI model with external partners. One partner reports that sensitive data has been inadvertently exposed through the model's outputs. Which of the following is the IS auditor's BEST recommendation?

- A. Retrain the model immediately and implement privacy-preserving techniques.
- B. Disable the shared model and notify partners of the potential breach.
- C. Limit the model's outputs to anonymized results while investigating further.
- D. Audit the data pipelines of all partners to identify the source of the leak.

Answer: A

Explanation:

The best recommendation is to retrain the model immediately and implement privacy-preserving techniques. This addresses the root cause — model exposure of sensitive data — by reducing the risk of similar incidents in the future while restoring trust and ensuring compliance with privacy regulations.

QUESTION 8

Which of the following controls helps mitigate the risk of competitors poisoning data utilized by a machine learning (ML) model performing sentiment analysis of product reviews?

- A. Peer reviewing code that acquires product reviews from social media posts
- B. Hiring a marketing firm to text links to customers requesting product reviews for monetary compensation
- C. Requiring customers to authenticate access to their accounts prior to writing product reviews
- D. Augmenting the unbalanced product review data set with the use of oversampling by the model developer

Answer: C

Explanation:

Requiring customers to authenticate access to their accounts prior to writing product reviews helps mitigate the risk of data poisoning by ensuring that only legitimate users contribute to the training data. This reduces the likelihood of competitors injecting fake or malicious content into the dataset used for sentiment analysis.

QUESTION 9

The PRIMARY purpose of maintaining an audit trail in AI systems is to:

- A. facilitate transparency and traceability of decisions.
- B. analyze model accuracy and fairness.
- C. ensure compliance with regulatory standards for AI.
- D. measure computational efficiency.

Answer: A

Explanation:

The primary purpose of maintaining an audit trail in AI systems is to facilitate transparency and traceability of decisions. Audit trails provide a record of how decisions were made, what data was used, and which processes were followed — supporting accountability, explainability, and trust in AI systems.

QUESTION 10

Which of the following is MOST important to review in order to gain assurance that an AI model is performing without biases?

- A. AI model temperature
- B. AI development environment

- C. AI training data
- D. AI model adaptability

Answer: C

Explanation:

The most important factor to review for assurance that an AI model is performing without biases is the AI training data. Biases are often introduced during the data collection and training phase, so examining the representativeness, completeness, and fairness of the data is critical to ensuring unbiased model behavior.

QUESTION 11

Which of the following processes is MOST important for an organization to have in place to ensure the credibility of AI outputs?

- A. User consent
- B. Model alignment
- C. Data governance
- D. Data analytics

Answer: C

Explanation:

Data governance is most important for ensuring the credibility of AI outputs because well-managed, accurate, and high-quality data directly impacts the reliability, fairness, and trustworthiness of AI model results.

QUESTION 12

When reviewing an organization's AI data governance program, which of the following is MOST important to validate to ensure compliance with privacy regulations?

- A. Implementation of privacy techniques in AI models
- B. Security of private cloud deployment of AI models
- C. Feasibility of AI model retraining to incorporate new privacy data
- D. Avoidance of AI models that are based on open-source algorithms

Answer: A

Explanation:

Validating the implementation of privacy techniques in AI models is most important to ensure compliance with privacy regulations. Techniques such as anonymization, differential privacy, or data minimization directly safeguard personal data during AI processing.

QUESTION 13

An organization passes transaction data to an AI system so it can produce recommendations for customers. Which of the following is MOST important for management to do to keep this reliable?

- A. Be aware of the social influences of the AI-based services they provide.
- B. Obtain independent certification on strategies for business resilience.
- C. Have insurance coverage to compensate for AI-related litigations.
- D. Ensure risk mitigation scenarios reduce exposures to a tolerable range.

Answer: D

Explanation:

Ensuring risk mitigation scenarios reduce exposures to a tolerable range is most important for keeping AI recommendations reliable. This approach manages operational, compliance, and reputational risks associated with AI outputs, maintaining trust and business continuity.

QUESTION 14

A banking organization uses AI to support the credit scoring process. Which of the following is the GREATEST benefit of providing interpretations of AI model outputs?

- A. It ensures the outputs align with the organization's internal ethical standards.
- B. It helps auditors identify areas where the AI model may require retraining.
- C. It allows stakeholders to understand the reasons behind the outputs.
- D. It reduces the need for human oversight in the loan approval process.

Answer: C

Explanation:

The greatest benefit of providing interpretations of AI model outputs is that it allows stakeholders to understand the reasons behind the outputs. This improves transparency, accountability, and trust in the credit scoring process.

QUESTION 15

When evaluating an AI system used to approve loan applications, an IS auditor notes decisions are made by the AI tool without oversight. Which of the following is the auditor's BEST recommendation?

- A. Establish early human review checkpoints to detect errors or biases in AI decisions.
- B. Allow human review only when customers appeal decisions.
- C. Perform cross-validation before model deployment to production.
- D. Accept the outputs of the AI tool as valid if technical validation was previously conducted.

Answer: A

Explanation:

Establishing early human review checkpoints is the best recommendation because it ensures oversight to detect errors or biases in AI-driven loan approvals. This protects fairness, accountability, and compliance with regulatory requirements.

QUESTION 16

When evaluating whether an AI algorithm deployed by an organization aligns with its business objectives, it is MOST important to:

- A. review algorithm documentation for completeness.
- B. confirm the outcomes from using the algorithm support strategic goals.
- C. validate that data sources are identified in the business strategy.
- D. verify the algorithm's ability to process transactions accurately.

Answer: B

Explanation:

Confirming that the outcomes from using the algorithm support strategic goals is most important. This ensures the AI deployment aligns with business objectives, delivering value while maintaining relevance to organizational priorities.

QUESTION 17

An organization uses an AI-based chatbot that collects customer data during interactions. Which of the following is MOST important to ensure compliance with data consent requirements?

- A. Obtaining consent each time queries are processed by the chatbot
- B. Deleting data immediately following customer interactions with the chatbot
- C. Anonymizing user interaction data after three months
- D. Embedding a consent mechanism that provides clear options before data collection begins

Answer: D

Explanation:

Embedding a consent mechanism that provides clear options before data collection begins is most important. It ensures compliance with privacy regulations by securing informed consent from customers prior to processing their data.

QUESTION 18

A large organization is implementing a new AI system that uses customer data. Which of the following is the BEST approach for risk mitigation to protect customer privacy?

- A. Implement a mechanism for customers to opt out of the use of their data.
- B. Assign sole responsibility for risk mitigation to the development team.
- C. Implement data anonymization and impact assessments.
- D. Conduct periodic risk and vulnerability assessments.

Answer: C

Explanation:

Implementing data anonymization and impact assessments is the best approach to mitigate risks to customer privacy. Anonymization protects sensitive information, while impact assessments ensure compliance and help identify potential privacy risks before deployment.

QUESTION 19

An IS auditor learns that the organization's AI solution is configured with web integration enabled. Which of the following is the MOST important control for the auditor to validate?

- A. Data augmentation activities prior to model building
- B. Key performance indicator (KPI) metrics for model inference time
- C. Activity logging with integration to the organization's SIEM system
- D. Separation of duties between the model creator and the model tester

Answer: C

Explanation:

Validating activity logging with integration to the organization's SIEM system is most important when AI solutions have web integration enabled. This ensures monitoring of data flows and potential security incidents, reducing risks of unauthorized access or malicious activity.

QUESTION 20

Which of the following is the GREATEST risk resulting from excessive agency in AI systems?

- A. Inefficient prioritization of tasks
- B. Uncontrolled access and unauthorized actions

- C. Slower AI system responses and performance
- D. Increased need for oversight of model actions

Answer: B

Explanation:

The greatest risk from excessive agency in AI systems is uncontrolled access and unauthorized actions. When AI operates with too much autonomy, it can make unmonitored decisions that compromise security, compliance, and organizational control.

QUESTION 21

A healthcare AI tool used by a hospital recommends treatments based on patient data. The tool sometimes suggests treatments that have high success rates but significant risk. The hospital's risk management approach prioritizes patient safety over innovative solutions. Which of the following is the hospital's BEST course of action?

- A. Adjust the AI's parameters to align with the hospital's risk tolerance.
- B. Discontinue using the AI tool and rely solely on doctor expertise.
- C. Obtain patients' consent for the use of their data by the AI tool.
- D. Use the AI tool only for low-risk situations.

Answer: A

Explanation:

Adjusting the AI's parameters to reflect the hospital's risk tolerance ensures the model's recommendations align with the organization's patient-safety-first governance stance. This directly embeds the hospital's risk appetite into model behavior without discarding the tool's benefits.

QUESTION 22

An AI audit reveals that a loan approval model has a significantly higher rejection rate for applicants from a specific demographic group. Which of the following should be management's PRIMARY response?

- A. Accept the audit findings as within risk tolerance.
- B. Determine if audit sampling is sufficient.
- C. Conduct comprehensive bias analysis.
- D. Synthesize more data of the affected demographic group.

Answer: C

Explanation:

A comprehensive bias analysis is required to determine whether the model is producing discriminatory outcomes, understand the root causes, and guide corrective actions to ensure fair and compliant model behavior.

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