
Question: 26

To confirm the fairness of AI model decisions, the BEST way to collect reliable evidence during an AI audit is by:

- A. Analyzing system metadata.
- B. Testing the model with a curated sample data set.
- C. Interviewing developers.
- D. Observing the system's interactions with end users.

Answer: B

Question: 27

An organization's system development process has been enhanced with AI. Which of the following features presents the GREATEST risk?

- A. The AI allocates resources for new system development projects.
- B. Non-technical users are validating AI results.
- C. The AI personalizes applications for the user.
- D. All codes are generated by AI without human oversight.

Answer: D

Question: 28

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

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

Answer: C

Question: 29

An IS auditor notes the combined number of records utilized within the training, validation, and

testing data sets exceeds the total number of records in the original data set. Which of the following is MOST important for the auditor to determine?

- A. Whether the training, validation, and testing data sets were created in the correct order
- B. Whether data leakage occurred from utilizing overlapping records in the data sets
- C. Whether a sufficient number of records were utilized in the training data set
- D. Whether the validation data set utilized the same number of records as the training data sets

Answer: B

Question: 30

During an audit of an investment organization's AI-powered software, an IS auditor identifies a potential security risk. What is the GREATEST risk associated with staff exfiltrating organizational data to a generative AI tool?

- A. Data contamination due to biased AI model outputs
- B. Unauthorized data disclosure
- C. Potential business disruptions
- D. Excessive reliance on AI-generated insights

Answer: B

Question: 31

Which of the following is the MOST important reason to perform regular ethical reviews of AI systems?

- A. To improve the accuracy and performance of the systems
- B. To align AI system development with organizational values and principles
- C. To ensure the systems align with the preservation of individual rights
- D. To identify and mitigate potential data drift within models

Answer: C

Question: 32

Which of the following is the MOST important task when gathering data during the AI system development process?

- A. Stratifying the data
- B. Isolating the system
- C. Cleaning the data
- D. Training the system

Answer: C

Question: 33

Which of the following controls would MOST effectively mitigate worst-case service disruption scenarios affecting an AI-based application system?

- A. Performing periodic tabletop exercises
- B. Implementing a kill chain process in the event of disruption
- C. Updating key risk indicators (KRIs) regularly
- D. Including a range of AI disruption scenarios in the disaster recovery plan (DRP)

Answer: D

Question: 34

An IS auditor reviewing documentation for an AI model notes that the modeler utilized a K-means clustering algorithm, which clusters data into categories for correlations and analysis. Which of the following is the MOST important risk for the auditor to consider?

- A. K-means clustering is not a common data clustering method due to its complexity and difficulty categorizing data correctly.
- B. K-means clustering requires the modeler to supervise the learning analysis, which can introduce bias.
- C. K-means clustering algorithms are significantly sensitive to outliers and dependent on the similarity of units of measure.
- D. K-means clustering determines the number of clusters for the modeler without supervision.

Answer: C

Question: 35

An organization uses an AI-powered tool to detect and respond to cybersecurity threats in real time. An IS auditor finds that the tool produces excessive false positives, increasing the workload of the security team. Which of the following techniques should the auditor recommend to BEST evaluate

the tool's effectiveness in managing this issue?

- A. Use a log analysis tool to examine the types and frequency of alerts generated.
- B. Implement a benchmarking tool to compare the system's alerting capability with industry standards.
- C. Conduct penetration testing to assess the system's ability to detect genuine threats.
- D. Deploy a machine learning (ML) validation tool to increase the model's accuracy and performance.

Answer: D

Question: 36

Which of the following is the MOST important consideration when auditing the data used for training an AI model?

- A. Timeliness
- B. Predictability
- C. Representativeness
- D. Understandability

Answer: C

Question: 37

An IS auditor is testing an AI-based fraud detection system that flags suspicious transactions and finds that the system has a high false positive rate. Which of the following testing methods should be prioritized to BEST optimize the detection rate?

- A. Regression testing
- B. Cross-validation testing
- C. Substantive testing
- D. Benford's Law analysis

Answer: B

Question: 38

The BEST way to prevent sensitive information disclosure by large language model (LLM) chatbots is through:

- A. Manual monitoring
- B. Access controls
- C. Data sanitization
- D. Data masking

Answer: D

Question: 39

A car manufacturer uses an AI model to predict maintenance needs for its vehicles. Which of the following techniques can an IS auditor apply to MOST effectively verify the AI model's decisions to stakeholders?

- A. Using neural network visualization to show how the AI model processes data through its layers
- B. Using K-means algorithms to group vehicles based on mileage or engine temperature for maintenance patterns
- C. Utilizing support vector machines (SVM) to classify vehicles based on maintenance urgency
- D. Using local interpretable model-agnostic explanation (LIME) to analyze how specific features contribute to predictions

Answer: D

Question: 40

Which of the following do supervised AI learning models PRIMARILY use to train algorithms?

- A. Unlabeled data sets
- B. Clustered data sets
- C. Labeled data sets
- D. Randomized data sets

Answer: C

Question: 41

From a data appropriateness and bias perspective, which of the following should be of GREATEST concern when reviewing an AI model used in a credit scoring system?

- A. The model incorporates the applicant's loan history to assess spending habits.
- B. The model utilizes historical credit data to predict future credit behavior.

- C. The model considers the applicant's income level as a key factor in the credit decision.
- D. The model uses postal codes as a primary factor in determining creditworthiness.

Answer: D

Question: 42

The PRIMARY objective of auditing AI systems is to:

- A. Identify biases and decision transparency.
- B. Maximize system efficiency and throughput.
- C. Optimize user experience and interface satisfaction.
- D. Minimize algorithm latency and information storage impacts.

Answer: A

Question: 43

When auditing a machine learning (ML) solution, false positives can BEST be assessed by examining the level of:

- A. Precision
- B. Completeness
- C. Accuracy
- D. Recall

Answer: A

Question: 44

An IS auditor is performing an inventory audit for a manufacturing organization. Which of the following would BEST enable the auditor to identify types of products without assistance from organizational staff?

- A. Natural language processing
- B. Speech modeling
- C. Robotic process automation (RPA)
- D. Computer vision

Answer: D

Question: 45

An IS auditor notes that an AI model achieved significantly better results on training data than on test data.

- a. Which of the following problems with the model has the IS auditor identified?
- A. Underfitting
 - B. Overfitting
 - C. Generalization
 - D. Bias

Answer: B

Question: 46

An AI social media platform uses an algorithm to increase user engagement that could unintentionally promote divisive content. Which of the following is the BEST course of action to mitigate this risk?

- A. Introduce controls allowing individuals to customize content preferences.
- B. Suspend the algorithm until concerns are addressed.
- C. Obtain users' consent for the content they wish to view.
- D. Regularly audit and adjust algorithms to reduce biases.

Answer: D

Question: 47

Which of the following is the MOST important risk for an IS auditor to consider when reviewing the adoption of an AI system?

- A. Costs associated with AI system maintenance
- B. Immaturity of AI systems in the industry
- C. Bias in AI system decision making
- D. Resistance to the use of AI technology

Answer: C

Question: 48

An organization uses an AI image generation platform to create promotional materials. An IS auditor identifies that the platform includes copyrighted images in its training data.

a. Which of the following is the auditor's BEST recommendation to address this issue?

- A. Implement a manual review process to ensure no copyrighted images are used in generated outputs.
- B. Use a platform that certifies the provenance and licensing of its training data.
- C. Label all AI-generated images to disclaim the possibility of third-party content.
- D. Suspend the use of the platform until the training data is sanitized.

Answer: B

Question: 49

An IS auditor uses an internally developed generative AI tool to prepare a status update for audit stakeholders. Which of the following is the auditor's MOST appropriate course of action?

- A. Compare results with a publicly available generative AI tool to ensure outputs are similar.
- B. Assess whether the information provided is complete and accurate.
- C. Regenerate the results to ensure similar outputs are provided.
- D. Share and review the results with management.

Answer: B

Question: 50

Which of the following is the PRIMARY benefit of implementing a robust data governance framework specific to AI solutions in an organization?

- A. It focuses on enhancing the accuracy and reliability of AI model predictions.
- B. It accelerates AI implementation timelines by fully automating data preparation processes.
- C. It fosters adherence to industry regulations while minimizing the risk of data breaches and privacy violations.
- D. It reduces the need for human oversight, ensuring seamless and autonomous data governance.

Answer: C

Question: 51

Which of the following BEST ensures that an AI system complies with user data ownership rights under privacy regulations?

- A. Applying data clustering techniques to anonymize data sets
- B. Enforcing strict data retention policies to limit storage duration
- C. Implementing a transparent data consent management process
- D. Regularly conducting AI system performance testing for accuracy

Answer: C

Question: 52

When using off-the-shelf AI models, which of the following is the MOST appropriate way for organizations to approach vendor management?

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

Answer: B

Question: 53

Which of the following is the PRIMARY reason IS auditors must be aware that generative AI may return different investment recommendations from the same set of data?

- A. Limitations can arise in the quantification of risk profiles.
- B. Neural node access varies each time the process is executed.
- C. Computational logic is based on probabilities.
- D. Servers are reconfigured periodically.

Answer: C

Question: 54

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?