



Free Questions for AAIA

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Question 1

Question Type: MultipleChoice

An IS auditor is planning an audit of an AI medical prognosis system. Which of the following is the BEST way to test model transparency?

Options:

- A- Document diagnostic tools for stress tests
- B- Build clinical integration workflows
- C- Design output assessments for recognized healthcare standards
- D- Use the SHapley Additive exPlanations (SHAP) method

Answer:

D

Explanation:

SHAP (Shapley Additive Explanations) is the leading, industry-recognized method for explaining complex AI model predictions.

AAIA specifically identifies SHAP as a robust technique for transparency in high-impact systems such as medical AI.

SHAP provides:

Feature contribution breakdowns

Visual explanation of each decision

Global and local interpretability

Quantifiable insights into model logic

Compliance-friendly justification of predictions

Options A and B relate to integration and stress testing, not transparency.

Option C validates outputs but does not explain how the model reached them.

Thus, SHAP is the best approach for achieving explainability in medical AI.

AAIA Domain 5: Explainability Techniques

AAIA Domain 3: Model Validation and Auditability

Question 2

Question Type: MultipleChoice

Which of the following is the MOST important step in an AI incident management process to ensure continuous improvement?

Options:

- A- Define ownership
- B- Root cause analysis
- C- Archive logs
- D- Assess severity

Answer:

B

Explanation:

Root cause analysis (option B) is the most critical step for continuous improvement because it ensures that incidents are not only resolved but prevented from recurring.

AAIA incident management emphasizes:

Identifying underlying systemic failures

Determining whether issues arose from data, model logic, drift, integration, or human factors

Implementing long-term mitigation strategies

Updating governance and operational controls

Defining ownership (A) is important early in the process.

Assessing severity (D) prioritizes response.

Archiving logs (C) supports documentation.

But none of these guarantee process learning or long-term resilience.

Root cause analysis is the essential step for organizational maturation and risk reduction.

AAIA Domain 2: Incident Management and Post-Incident Review

AAIA Domain 1: Continuous Improvement in AI Governance

Question 3

Question Type: MultipleChoice

Which of the following presents the MOST significant barrier to generative AI model explainability?

Options:

- A- Bias within data sets used for model training
- B- Rapid evolution of algorithm capabilities
- C- Lack of alignment between stakeholder groups
- D- Insufficient staff experience with generative AI tools

Answer:

B

Explanation:

The rapid evolution of modern generative AI architectures (option B) is the largest barrier to explainability.

Complex deep learning models like LLMs, diffusion models, and transformer-based architectures involve millions or billions of parameters, making it extremely challenging to determine precisely how outputs are produced.

AAIA notes that explainability challenges arise because:

Model structures are highly complex

Parameter interactions are nonlinear

Internal representations are not human-interpretable

Continuous updates make documentation outdated

Training data and latent representations create opaque reasoning chains

Bias (A) affects fairness, not explainability.

Stakeholder alignment (C) is a governance issue.

Lack of staff experience (D) is a training problem, not a structural barrier.

The inherent technical complexity and speed of model evolution are the primary obstacles.

AAIA Domain 5: Explainability Challenges

AAIA Domain 1: Advanced AI Model Architectures

Question 4

Question Type: MultipleChoice

A newly deployed fraud detection model is misclassifying transactions due to inconsistent formatting in the data stream. What is the BEST recommendation?

Options:

- A- Define and document the technical specifications for incoming data
- B- Enable real-time monitoring of transaction volumes
- C- Train staff on fraud patterns and alert handling
- D- Increase model complexity to handle more input types

Answer:

A

Explanation:

Inconsistent data formatting means the AI model is receiving inputs that do not match what it was trained to understand. The best corrective action is to document and enforce technical specifications for incoming data (option A).

AAIA highlights this as a fundamental data governance requirement:

Field formats

Data types

Encoding rules

Required attributes

Normalization methods

Without strict specifications, the model cannot reliably parse or classify inputs.

Option B does not address the root cause.

Option C improves human response but not data consistency.

Increasing model complexity (D) adds risk and does not fix inconsistent formatting.

AAIA Domain 2: Input Standards and Data Consistency

AAIA Domain 1: Governance and Data Pipeline Controls

Question 5

Question Type: MultipleChoice

Which of the following is the GREATEST data quality risk when using an AI tool to assist with audit procedures?

Options:

- A- Utilizing unstructured data sources without standardized preprocessing
- B- Training models on historical audit results generated prior to AI adoption
- C- Embedding AI audit tools in transactional systems without user training
- D- Applying automated anomaly detection without human oversight

Answer:

A

Explanation:

Unstructured data without standardized preprocessing (option A) creates the highest data quality risk because AI models depend heavily on the cleanliness, consistency, and structure of input data.

AAIA warns that improperly processed unstructured data leads to:

Incorrect text extraction

Lost contextual meaning

Feature extraction errors

Misclassification

Inaccurate audit evidence

Option B is a bias or relevance risk, not data quality.

Option C is a governance/training issue.

Option D is an oversight risk, not a data quality issue.

Therefore, using unstructured data without preprocessing is the most direct threat to data quality.



AAIA Domain 2: Data Preprocessing and Quality

AAIA Domain 3: AI-Assisted Audit Evidence Integrity

Question 6

Question Type: MultipleChoice

Which of the following is the BEST way to ensure data fed into an AI model aligns with business objectives?

Options:

- A- Normalize the data within expected tolerances
- B- Change to new data sources
- C- Document the data input requirements
- D- Define new data attributes



Answer:

C

Explanation:

Documenting data input requirements (option C) ensures that all incoming data supports the business purpose, operational constraints, and intended use cases of the AI model.

AAIA highlights that aligning AI systems with business objectives starts with clear data specifications, including:

Required fields and data formats

Data quality thresholds

Acceptable ranges and constraints

Mandatory attributes

Source system definitions

Business rationale for each feature

Without documentation, data pipelines may ingest irrelevant, low-quality, or misaligned data, causing the model to drift away from business needs.

Normalization (A) improves preprocessing but does not ensure alignment.

Switching data sources (B) is premature without evaluating needs.

Defining new attributes (D) is secondary to documenting overall requirements.

AAIA Domain 1: Business Alignment and Data Requirements

AAIA Domain 2: Input Specification Governance

Question 7

Question Type: MultipleChoice

Which of the following is the MOST effective control to safeguard a model's architecture, weights, and hyperparameters?

Options:

- A- Provide training to employees on best practices for AI technical security
- B- Require users to sign a confidentiality agreement before accessing the model
- C- Maintain detailed data audit logs of deviations in training data
- D- Implement strict access controls and encryption for model components

Answer:

D

Explanation:

The most effective way to protect proprietary AI model components---architecture, weights, hyperparameters---is through strict access controls and encryption (option D).

AAIA identifies model theft and reverse engineering as high-severity security risks, especially for organizations whose competitive advantage relies on intellectual property embedded in AI models.

Proper controls include:

Role-based access control (RBAC)

Encryption at rest and in transit

Model-level access segregation

Hardware security modules (HSMs)

Zero-trust access principles

Training (A) increases awareness but does not enforce protection.

Confidentiality agreements (B) are legally binding but do not stop technical intrusions.

Audit logs (C) track training data but do not secure the model itself.

Thus, encryption and access control provide the strongest protection.

AAIA Domain 2: AI Security and Intellectual Property Protection

AAIA Domain 1: Access Control and Safeguards

Question 8

Question Type: MultipleChoice

An organization deploys a complex AI model to support credit risk assessments. Stakeholders find the model's output difficult to interpret. Which of the following BEST improves interpretability?

Options:

- A- Training stakeholders to interpret AI outputs
- B- Implementing a rule-based system to validate the AI model's decisions
- C- Developing documentation and visual tools explaining how the model generates outputs
- D- Reducing the model's complexity

Answer:

C

Explanation:

AAIA emphasizes that transparency and interpretability require clear explanations of how the model functions, what features drive predictions, and how decisions are derived.

Creating documentation and visual interpretability tools (option C) provides:

Feature importance breakdowns

Decision pathway visualizations

Examples of prediction reasoning

Plain-language explanations for nontechnical stakeholders

Evidence that can be validated during audits

While training stakeholders (A) is helpful, it does not make the model itself clearer.

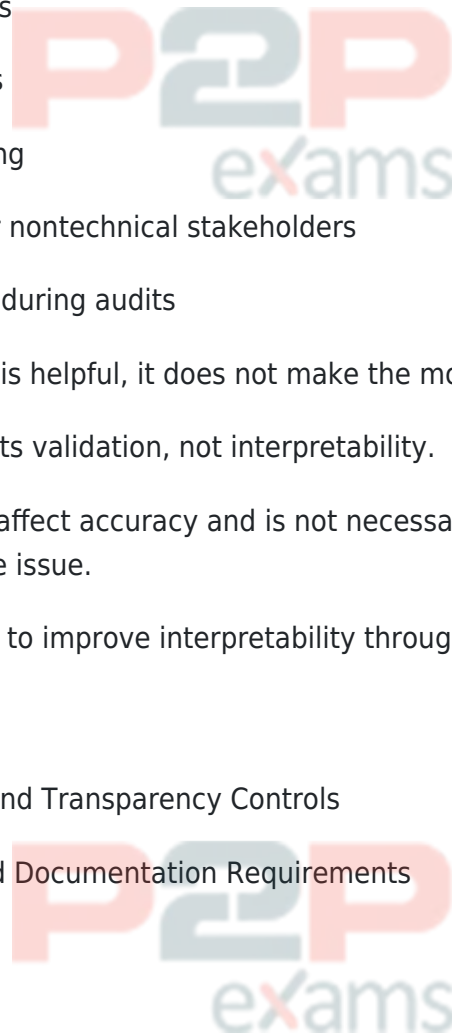
A rule-based system (B) supports validation, not interpretability.

Simplifying the model (D) may affect accuracy and is not necessary if documentation and interpretability tooling solve the issue.

Therefore, the best approach is to improve interpretability through clear documentation and visualization.

AAIA Domain 5: Explainability and Transparency Controls

AAIA Domain 3: Auditability and Documentation Requirements



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