ISO 42001 Foundation practice questions and answers

> **Ten questions from the Mindset Prep bank, written from ISO/IEC 42001:2023. Original practice questions, not real exam questions.**

Ten questions, then the answer key with the correct option, a plain-English rationale and the clause each answer comes from. Answer all ten before you turn to the answers.

Prefer instant scoring? The same questions are online at mindsetprep.co.uk/free-practice-questions/iso-42001-foundation/.

QUESTION 1

A bank's fraud model updates itself every night from that day's transactions, so an identical transfer can be scored differently in June than at launch. Which AI-specific consideration does this illustrate?

A. Automatic decisions that may be unexplainable

B. Behaviour changing through continuous learning

C. Logic learned from data, not hand-coded

QUESTION 2

A hospital's AI objective is that clinicians trust its triage AI. It is shared with all staff and no practical way exists to put a number on it, but nobody reviews its progress. Which Clause 6.2 requirement is breached?

A. Being monitored

B. Being measurable

C. Being communicated

QUESTION 3

A team has chosen the event-logging control and wants examples of what its logs could record, such as the time of each use. Where in ISO/IEC 42001 are such examples given, and what is that part's status?

A. Annex B, informative

B. Annex C, informative

C. Annex B, normative

QUESTION 4

Before go-live, a team runs its speech-to-text engine on regional accents and noisy call-centre audio and compares its word error rate with the limit set in its requirements. Which life cycle stage is this?

A. Verification and validation

B. Operation and monitoring

C. Deployment

QUESTION 5

A CEO funds an AIMS team and opens each staff meeting with a rival's AI failure that AIMS rules would have prevented. Teams still build, buy and release AI with no AIMS steps. Which of these Clause 5.1 duties is unmet?

A. Communicating why AI management matters

B. Making resources available for the AIMS

C. Integrating the AIMS into business processes

QUESTION 6

Mapleford Credit Union has chosen to reduce one AI risk, but nothing in Annex A would do that. A consultant says ISO/IEC 42001 limits it to Annex A. What does Clause 6.1.3 have Mapleford do?

A. Retain the risk by informed decision

B. Add a control from another source

C. Use the closest Annex A control

QUESTION 7

Forum posts show owners of Kingfisher Home Robotics' cleaning robots filming their cleaners secretly with the robots' cameras, which the manual forbids. Under Clause 6.1.4, what is this in Kingfisher's impact assessment?

A. The robots' foreseeable misuse

B. The robots' intended use by owners

C. The robots' deployment in homes

QUESTION 8

Vexley Legal Tech uses an AI system to rank incoming client enquiries. It publishes how the system works and what data it was trained on, and a named partner answers for the system's outcomes. Clients whose enquiries are ranked low are told only their place in the queue. Which aspect of trustworthy AI is Vexley still falling short on?

A. Accountability

B. Explainability

C. Transparency

QUESTION 9

Which of these does ISO/IEC 42001 Clause 9.1 itself require to be available as documented information?

A. The schedule for monitoring and measurement

B. The methods chosen for monitoring and measurement

C. The results of monitoring and measurement

QUESTION 10

A speech engine learned only from adults' voices. In a children's reading app, it misrecognizes many words. Which aspect of its training data does this MOST directly concern?

A. Representativeness of the data

B. Accuracy and integrity of the data

C. Privacy and security of the data

Answers

Q1 Correct answer: **B.** Behaviour changing through continuous learning

A model that keeps retraining itself in operation changes its behaviour while in use, which the ISO/IEC 42001 Introduction lists among the specific considerations AI raises. The deciding detail is the drift over time: a model trained once, however opaque, would give an identical transfer the same score. Systems like this need ongoing oversight, not a one-off approval.

`Cited: ISO/IEC 42001:2023 Introduction`

`Trap pattern: T-01 Look-alike terms`

Q2 Correct answer: **A.** Being monitored

Clause 6.2 asks for AI objectives to be measurable only if practicable, but being monitored carries no such condition. Monitoring is determining the status of something, so an objective about clinicians' trust can be followed through feedback and observation even without a number. A hard-to-measure objective still has to be monitored, communicated and documented.

`Cited: ISO/IEC 42001:2023 Clause 6.2`

`Trap pattern: T-02 One part still missing`

Q3 Correct answer: **C.** Annex B, normative

The event-logging control itself sits in Annex A, while Annex B explains how to implement it. The examples of what event logs can record, such as when the AI system was used, the production data it worked on and outputs outside the intended range, are in Annex B. Although it is written as guidance, Annex B is normative, like Annex A; only Annexes C and D are informative.

`Cited: ISO/IEC 42001:2023 Annex B.6.2.8`

`Trap pattern: T-03 Requirement or guidance`

Q4 Correct answer: **A.** Verification and validation

Two facts settle it: the test runs before go-live, and the error rate is compared with a limit set in the requirements. Checking a system against documented requirements and criteria, using test data that reflects how it will really be used, is verification and validation. Deployment follows once release criteria are met, and operation and monitoring watches the live system.

`Cited: ISO/IEC 42001:2023 Annex B.6.2.4`

`Trap pattern: T-01 Look-alike terms`

Q5 Correct answer: **C.** Integrating the AIMS into business processes

Clause 5.1 lists ways top management shows leadership, including providing resources, communicating why effective AI management matters and integrating AIMS requirements into business processes. A well-funded AIMS team and strong messages from the top still leave the AIMS outside the business if everyday building, buying and release work carries on with no AIMS steps.

`Cited: ISO/IEC 42001:2023 Clause 5.1`

`Trap pattern: T-02 One part still missing`

Q6 Correct answer: **B.** Add a control from another source

Annex A is a set of reference controls, not a closed list. Clause 6.1.3 d) requires the organization to identify any additional controls needed beyond Annex A to implement its chosen treatment options, so the consultant is wrong. Settling for an unsuitable Annex A control, or quietly accepting the risk, would leave the chosen treatment unimplemented.

Cited: ISO/IEC 42001:2023 Clause 6.1.3

Trap pattern: T-03 Requirement or guidance

Q7 Correct answer: **A.** The robots' foreseeable misuse

Clause 6.1.4 requires an AI system impact assessment to determine the potential consequences of the system's deployment, its intended use and its foreseeable misuse. A forbidden use is not out of scope: when it can reasonably be foreseen, as here, its effects on people such as the filmed cleaners have to be assessed.

Cited: ISO/IEC 42001:2023 Clause 6.1.4

Trap pattern: T-01 Look-alike terms

Q8 Correct answer: **B.** Explainability

ISO/IEC 42001 Annex C separates the two ideas. Transparency concerns openness about the organization and its AI systems, which Vexley provides by publishing how the system works and its training data. Explainability concerns explaining, in terms people can understand, the important factors behind a result, and the low-ranked clients receive no such explanation.

Cited: ISO/IEC 42001:2023 Annex C.2.11

Trap pattern: T-02 One part still missing

Q9 Correct answer: **C.** The results of monitoring and measurement

Clause 9.1 separates what the organization must decide from what it must keep as evidence. It must determine what to monitor and measure, the methods and the timing, but the documented information the clause requires is evidence of the results. Recording the methods or timetable can still be useful, but that is the organization's choice rather than a Clause 9.1 requirement.

Cited: ISO/IEC 42001:2023 Clause 9.1

Trap pattern: T-03 Requirement or guidance

Q10 Correct answer: **A.** Representativeness of the data

When training data do not reflect the people or conditions an AI system meets in use, performance drops for those left out. Annex B guidance for Control A.7.2 names the representativeness of training data compared with the operational domain of use as a data management topic. Here the operational domain is children's speech, which the training data never covered.

Cited: ISO/IEC 42001:2023 Annex B.7.2

Trap pattern: T-01 Look-alike terms

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