

Protect



AIRO

an Ontology for Representing AI Risks
based on the Proposed EU AI Act and
ISO Risk Management Standards

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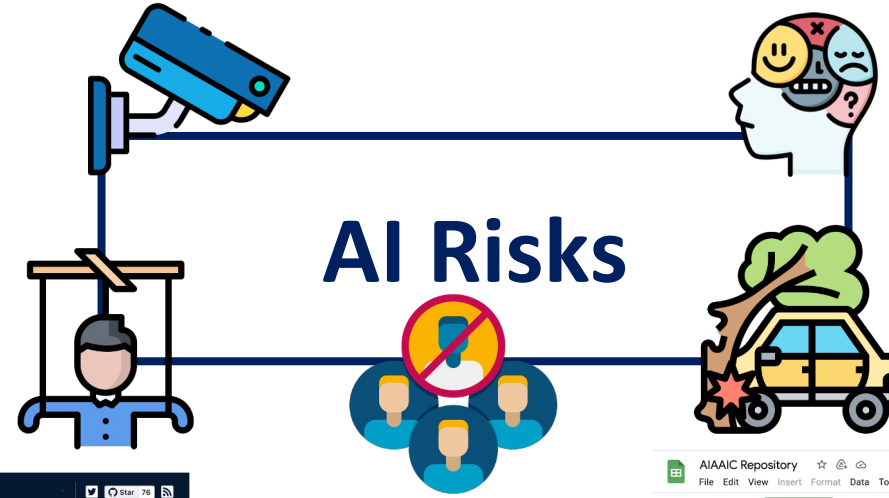
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PROTECT ITN

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AI Risks



AIID (AI Incident Database)
<https://incidentdatabase.ai>

AIID AI INCIDENT DATABASE

Type Here

Classifications

Source

Authors

Submitters

Incident ID


Incident Date

Published Date

Flagged


1368 reports found

Clear Filters




Is Starbucks shortchanging its baristas?
cbsnews.com - 2015

For Starbucks (SBUX) barista Kyle Weiss, working at the coffee chain helps him secure health insurance and some extra money while he studies at Georgia Perimeter College. What it doesn't provide is the kind of stable schedule that the




Zillow's home-buying debacle shows how hard it is to use AI to value real estate
www.cnn.com - 2021

In February, Zillow appeared so confident in its ability to use artificial intelligence to estimate the value of homes that it announced a new option: for certain homes, its so-called "Zestimate" would



Zillow to exit its home buying business, cut 25% of staff
www.cnn.com - 2021

Zillow is getting out of the iBuying business and will shut down its Zillow Offers division, resulting in a 25% reduction in its staff. In its quarterly earnings report on Tuesday, the company said it will see a total write-down of more



YouTube to crack down on inappropriate content masked as kids' cartoons
arstechnica.com - 2017

Recent news stories and blog posts highlighted the underbelly of YouTube Kids, Google's children-friendly version of the wide world of YouTube. While all content on YouTube Kids is meant to be

AIAAIC Repository
<https://www.aiaaic.org/aiaaic-repository>

AIAAIC Repository

File Edit View Insert Format Data Tools Extensions Help

75%

View only

	A	B	C	D	E	F	G	H	I	J	K	L
1	AIAAIC											
2	AIAAIC ID	Description	Year	Country(s)	Sector(s)	Operator(s)	Developer(s)	Purpose(s)	Technology(s)	Media trigger(s)	General	Request
3												
4	AIAAIC001	Twitter Ukraine OSINT account suspensions	2022	Ukraine	Govt - defence	Twitter	Twitter	Moderate content	Content moderation	User comments/complaints	General	Black box, Governance
5	AIAAIC002	MoviePass Pro-Blow eye tracking	2022	UK	Media/entertainment	MoviePass	MoviePass	Earn virtual currency	Facial recognition	By Product/service launch	Appropriateness/need, Privacy	
6	AIAAIC003	The Bank of Wales discrimination investigation	2021	UK	Finance	Bank of Wales	Bank of Wales	Expose misadministration	NLP/Text analysis	Product/service launch	Manipulation, Misinformation/Existence, Purpose	
7	AIAAIC004	US prison inmate call monitoring	2021	USA	Govt - justice	Suffolk County Sheriff's	LEO Technologies	Improve safety	Speech-to-text	NGO campaign	Surveillance, Privacy, Bias/Discrimination	
8	AIAAIC005	Hackney Early Help Profiling System (EHPS)	2019	UK	Govt - welfare	Hackney Council	Xantura	Predict child harm	Predictive analytics	Contact termination	Accuracy/reliability, Effectiveness/Existence, Purpose, Governance	
9	AIAAIC006	DWP "General Matching Service" disability list	2021	UK	Govt - welfare	Department for Work and Pensions	Department for Work and Pensions	Identify fraud	Data matching algorithm	Legal challenge	Fairness, Bias/Discrimination, Existence, Governance, Consent	
10	AIAAIC007	Amazon chemical food preservative subsidies	2022	USA	Govt - welfare	Amazon	Amazon	Recommend products	Recommendation algorithm	Media investigation	Safety	Black box, Governance, Consent
11	AIAAIC008	Twitter age, sexual orientation discrimination	2022	New Zealand	Media/entertainment	Match Group/Twitter	Match Group/Twitter	Determine pricing	Phishing algorithm	NGO research/report	Fairness, Bias/Discrimination	Black box, Governance
12	AIAAIC009	Hemlock biomass robot temperature tests	2022	USA	Govt - police	Hemlock Motor Group	Hemlock Motor Group	Strengthen law enforcement	Robotics	Media investigation	FOI request, Appropriateness/need, Effectiveness/Purpose	
13	AIAAIC010	Twitter phantom trading	2022	USA	Automotive	Twitter	Twitter	Automate steering, accelerator	Automate steering, accelerator	Media investigation	Safety	Black box
14	AIAAIC011	Crisis Text Line commercial data sharing	2022	USA	NGO/Non-profit/charity	Crisis Text Line (CTL)	Crisis Text Line (CTL)	Provide mental health support	Chatbot, NLP/Text and Media report	Employee comments/complaints	Privacy, Confidentiality, Security	
15	AIAAIC012	Leaves Bank despicable extortion	2022	USA	Politics	Jenny Kampanis	Jenny Kampanis	Extortion	Overlook - Image	Protagonist email	Privacy, Ethics	Identity, Consent
16	AIAAIC013	Houthi Abu Dhabi oil facility attack	2022	Yemen	Govt - energy	Govt - Ansar Allah	Ansar Allah	Military attack	Drone	Military attack	Disruption, Lethal autonomous	
17	AIAAIC014	Replica app created alone	2022	UK	Media/entertainment	Luka Inc/Repika	Luka Inc/Repika	Provide companionship	Chatbot, NLP/Text and Media report	Anthropomorphism, Marketing	Capability	
18	AIAAIC015	Volvoverse NFT video theft	2022	USA	Media/entertainment	Volvoverse	Volvoverse	Self voice rights	Voice synthesis, Bio Creator comment/complaint	Copyright, Reputation	Consent	
19	AIAAIC016	Tesla FSD "Assault" mode rolling stops	2022	USA	Automotive	Tesla	Tesla	Control car behaviour	Self-driving system	Software update	Safety, Legal - compliance, Ethics	Black box
20	AIAAIC017	Major police COVID-19 face app abuse	2022	Germany	Govt - police	Culturelle, Politische, Kulturwissenschaften	Culturelle, Politische, Kulturwissenschaften	Track COVID-19	Application	User comments/complaints	Privacy, Security	Consent
21	AIAAIC018	Tokyo Fug political manipulation, harassment	2022	India	Politics	Bharatya Janata Party	Bharatya Janata Party	Manipulate public opinion	Harassment, NLP/Text, Whistleblower	Application	Privacy, Bias/Discrimination, Existence, Governance	
22	AIAAIC019	Bull Bull Market women auction	2022	India	Politics	Unclear/unknown	Unclear/unknown	Moderate content	Content moderation	User comments/complaints	Accuracy/reliability, Ethics, Self Governance	
23	AIAAIC020	Hyderabad police facial recognition	2022	India	Govt - police	Hyderabad City Police	NEC Technologies India	Reduce crime	Facial recognition	Litigation	Privacy, Surveillance, Discrimination, Purpose, Consent	
24	AIAAIC021	Tesla Paris fatal crash	2021	France	Automotive	Tesla	Tesla	Automate steering, accelerator	Automate steering, accelerator	Police investigation	Safety, Accuracy/reliability	Black box
25	AIAAIC022	Bangladesh AI processor	2021	China	Govt - justice	Unclear/unknown	Shanghai Pudong Peop	Determine criminal guilt	NLP/Text analysis, Visual analysis	Academic research study	Accuracy/reliability, Bias/Discrimination, Compliance/Policy	
26	AIAAIC023	Amazon Alexa privacy challenges	2021	UK	Technology	Amazon	Amazon	Interact with users	Voice recognition	User comments/complaints	Safety	Black box
27	AIAAIC024	Pony AI driverless test crash	2021	USA	Automotive	Pony AI	Pony AI	Automate steering, accelerator	Automate steering, accelerator	License suspension	Safety, Accuracy/reliability	Black box
28	AIAAIC025	Busheon COVID-19 facial recognition tracking	2021	South Korea	Govt - health	City of Busheon	Unclear/unknown	Track COVID-19 infected individuals	Facial recognition	On Media investigation	Privacy, Scope creep/harmfulness	Governance, Purpose, Consent
29	AIAAIC026	Horizon Worlds beta virtual groping	2021	USA	Media/entertainment	Meta/Quest	Meta/Quest	Manage system safety	Virtual reality	Safety	User comments/complaints	Safety
30	AIAAIC027	Xpeng customer facial recognition	2021	China	Automotive	Xpeng Motors	Unclear/unknown	Understand customer, improve facial recognition	Facial recognition	Regulatory fine	Privacy	Existence, Consent
31	AIAAIC028	Facebook political ads misidentification	2021	Brazil	USA: Politics	Meta/Facebook	Meta/Facebook	Authorise political advertisements	Political advertising	Academic research study	Accuracy/reliability	Governance, Black box
32	AIAAIC029	Trollbaiting website social sentiment automation	2019	Sweden	Govt - welfare	Trollbaiting Municipality	Trollbaiting Municipality	Optimize welfare payments	Robotic Process Automation	User comments/complaints	Safety, Employment - jobs, PG Governance	Black box, Legal - communication, Consent
33	AIAAIC030	Life360 location data sharing	2021	UK	Govt - welfare	Life360	Life360	Track children's movements	Location tracking	Non-profit research reports	Privacy, Security	
34	AIAAIC031	Denny's robot server	2021	USA	Travel/hospitality	Denny's	Bea Robotics, Softbank	Serve food	Robotics	User comments/complaints	Appropriateness/need, Employment Purpose	
35	AIAAIC032	Henan teenage journalist, student surveillance	2021	China	Govt - police	Henan Public Security	Newspaper, Student	Identify & track suspicious people	Facial recognition	Media investigation	Surveillance, Privacy	Consent
36	AIAAIC033	Amazon DSP Area Rate crash liability	2021	USA	Transport/logistics	Amazon	Harper Legal	Manage package delivery	Application, Algorithm	Litigation	Safety, Liability	Governance, Black box

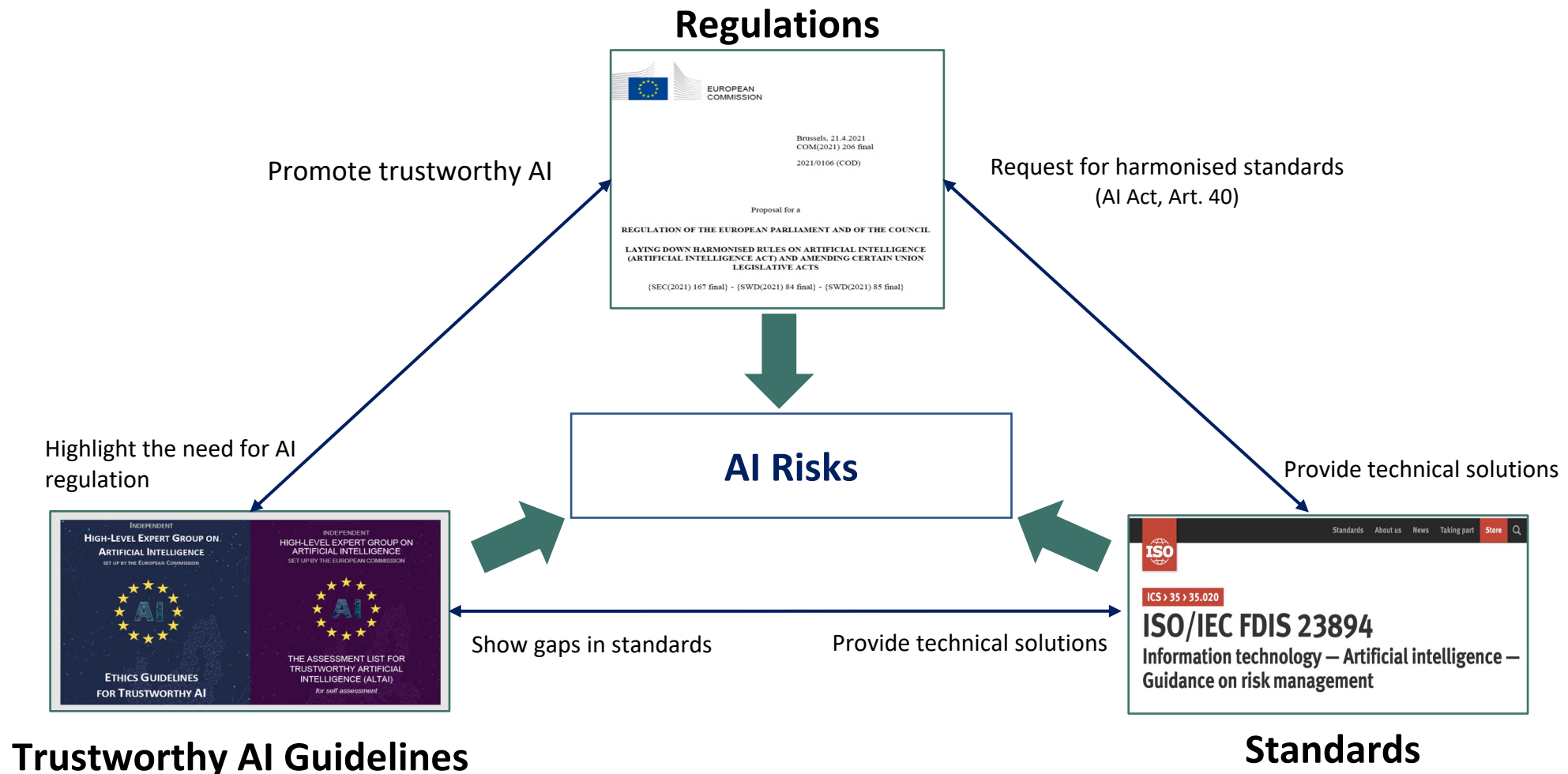
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Incidents

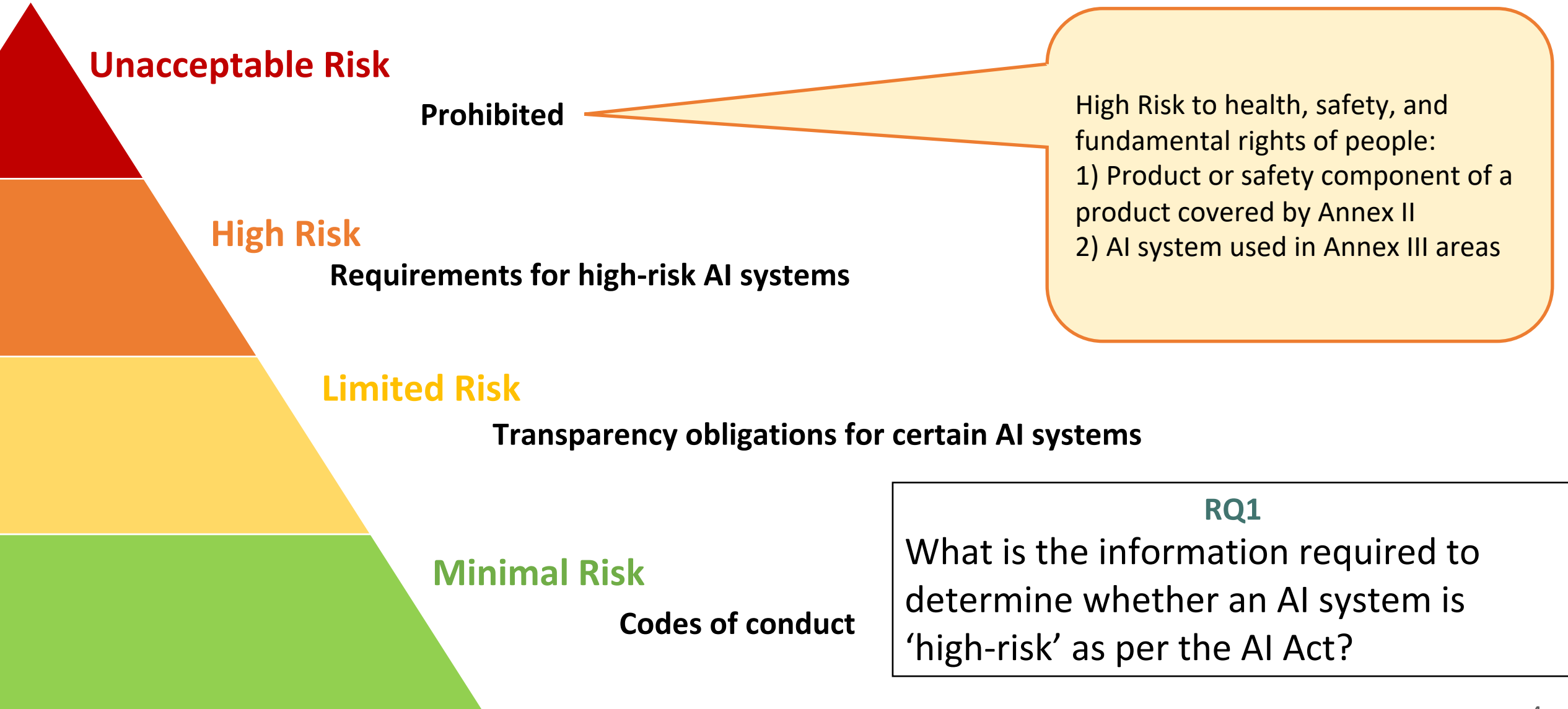
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Icons from <https://www.flaticon.com/>

Efforts Addressing AI Risks



AI Act Risk Pyramid





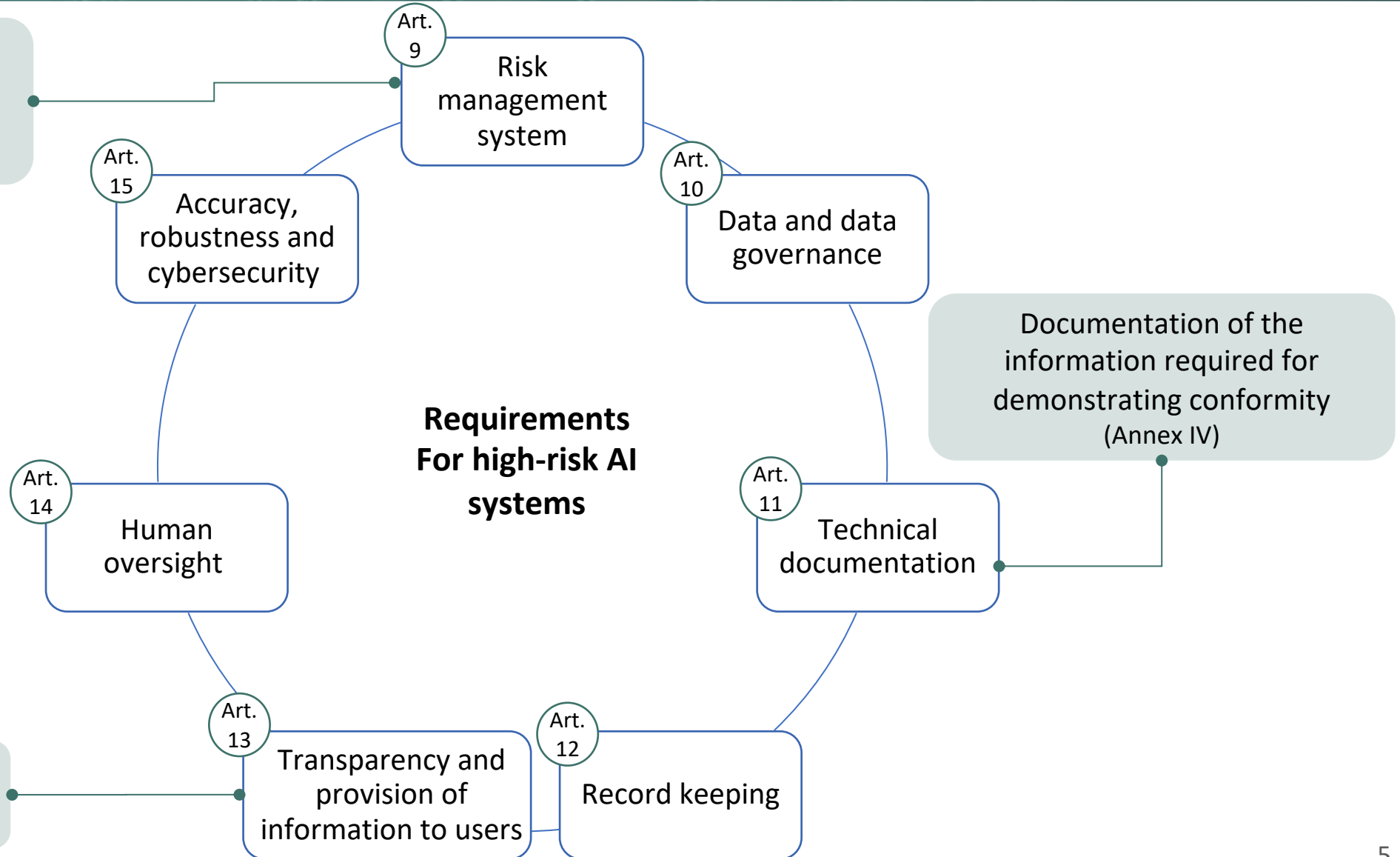
Requirements for High-Risk AI Systems

Identification, assessment and mitigation of risks and impacts

RQ2

What information must be maintained regarding risk and impacts of high-risk AI systems according to the AI Act and ISO risk management standards?

Creating instruction of use





- Maintaining, querying, and sharing information associated with risks for compliance checking, demonstrating accountability, and building trust
- Challenges:
 - The pace of changes in AI systems
 - The amount of risk-related information
 - The complexities in the AI value chain

Using semantic web technologies:

- enables automation
- Interoperability

RQ3

To what extent can semantic web technologies assist with representing information and generating documentation for high-risk AI systems required by the AI Act?

Research Questions



1

What is the information required to determine whether an AI system is 'high-risk' as per the AI Act?

2

What information must be maintained regarding risk and impacts of high-risk AI systems according to the AI Act and ISO risk management standards?

3

To what extent can semantic web technologies assist with representing information and generating documentation for high-risk AI systems required by the AI Act?



Identify information requirements from:

- the AI Act
- ISO 31000 family

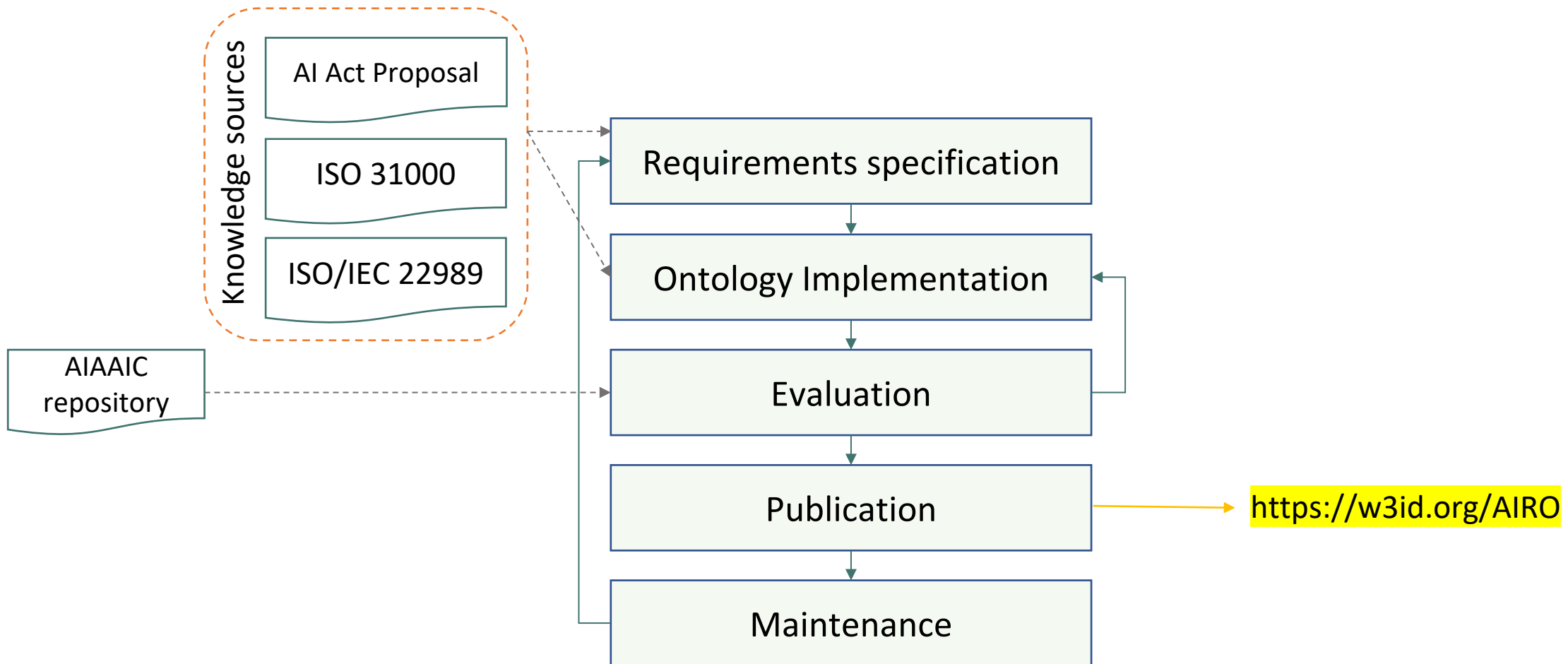


Create AIRO (AI Risk Ontology) demonstrate its applicability in real-world cases



Topic	Summary	Relation to this work
AI risk management standards	ISO 31000:2018 Risk management– Guidelines ISO 31073:2022 Risk management — Vocabulary	Used for identifying risk concepts
AI risk taxonomies	Existing taxonomies of AI risks, harms, risk sources, & mitigation measures	Reusing the taxonomies for populating AIRO
Risk models & ontologies	- Generic risk models - Domain-specific risk models	Reusing risk concepts

Ontology Development Methodology



AIRO Requirements

Describing High-Risk AI Systems



Questions to identify whether an AI system is high-risk according to Annex III

Question	concept	Relation with AISystem
What techniques are utilised in the system?	AI Technique	usesAITechnique
What domain is the system intended to be used in?	Domain	isAppliedWithinDomain
What is the intended purpose of the system?	Purpose	hasPurpose
What is the application of the system?	AI Application	hasApplication
Who is the intended user of the system?	AI User	hasAIUser
Who is the subject of the system?	AI Subject	hasAISubject
In which environment is the system used?	Environment Of Use	isUsedInEnvironment

ANNEX I ARTIFICIAL INTELLIGENCE TECHNIQUES AND APPROACHES referred to in Article 3, point 1

- (a) Machine learning approaches, including supervised, unsupervised and reinforcement learning, using a wide variety of methods including deep learning;
- (b) Logic- and knowledge-based approaches, including knowledge representation, inductive (logic) programming, knowledge bases, inference and deductive engines, (symbolic) reasoning and expert systems;
- (c) Statistical approaches, Bayesian estimation, search and optimization methods.

ANNEX III HIGH-RISK AI SYSTEMS REFERRED TO IN ARTICLE 6(2)

High-risk AI systems pursuant to Article 6(2) are the AI systems listed in any of the following areas:

1. Biometric identification and categorisation of natural persons:
 - (a) AI systems intended to be used for the 'real-time' and 'post' remote biometric identification of natural persons;
2. Management and operation of critical infrastructure:
 - (a) AI systems intended to be used as safety components in the management and operation of road traffic and the supply of water, gas, heating and electricity.
3. Education and vocational training:
 - (a) AI systems intended to be used for the purpose of determining access or assigning natural persons to educational and vocational training institutions;
 - (b) AI systems intended to be used for the purpose of assessing students in educational and vocational training institutions and for assessing participants in tests commonly required for admission to educational institutions.
4. Employment, workers management and access to self-employment:
 - (a) AI systems intended to be used for recruitment or selection of natural persons, notably for advertising vacancies, screening or filtering applications, evaluating candidates in the course of interviews or tests;
 - (b) AI intended to be used for making decisions on promotion and termination of work-related contractual relationships, for task allocation and for monitoring and evaluating performance and behavior of persons in such relationships.
5. Access to and enjoyment of essential private services and public services and benefits:
 - (a) AI systems intended to be used by public authorities or on behalf of public authorities to evaluate the eligibility of natural persons for public assistance benefits and services, as well as to grant, reduce, revoke, or reclaim such

AIRO Requirements

Technical Documentation

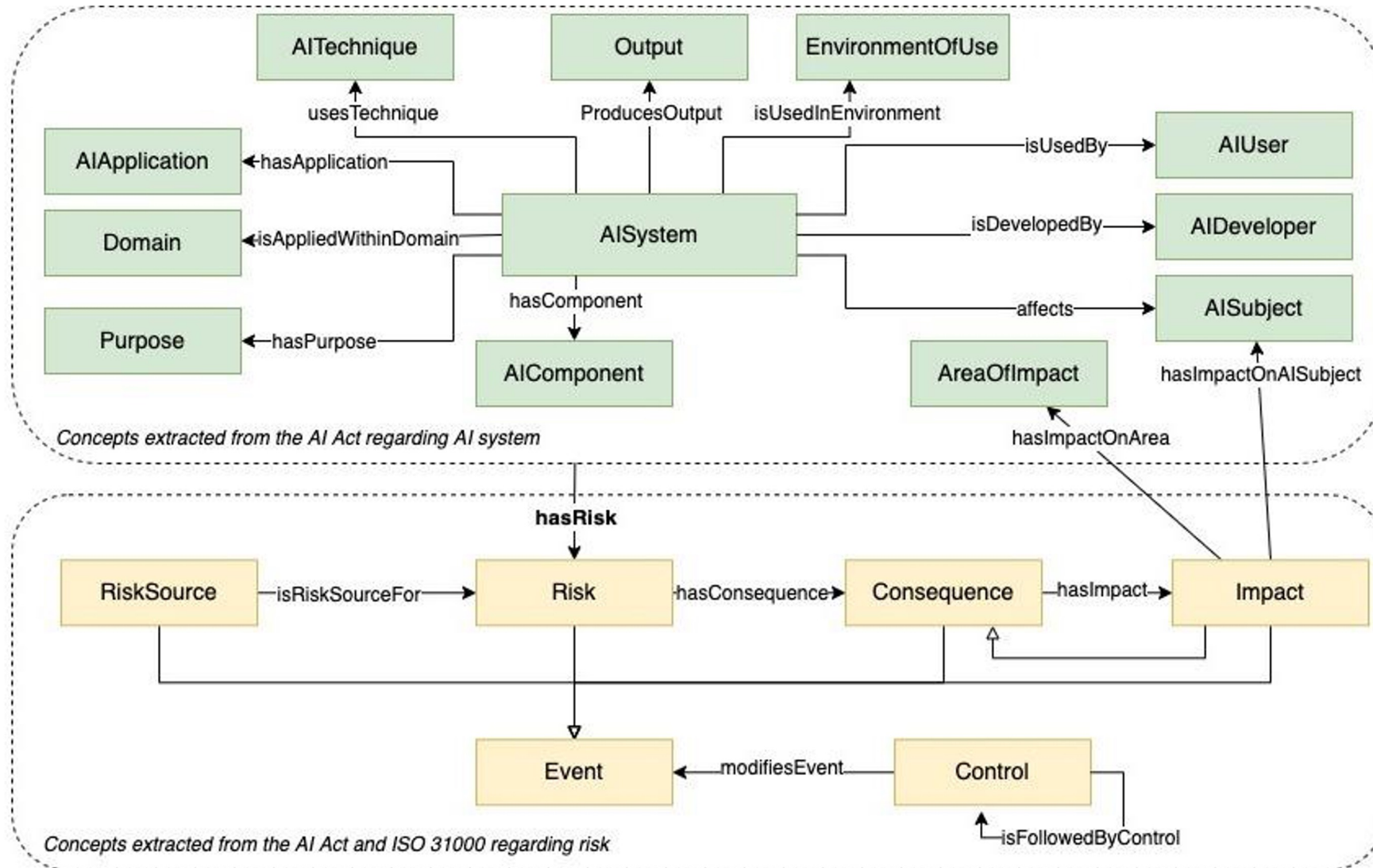


Ann ex IV	Required Info	Domain	Relation	Range
1(a)	System's intended purpose	AISystem	hasPurpose	Purpose
	System's developers	AISystem	isDevelopedBy	AIDeveloper
	System's date	AISystem	dcterms:date	
	System's version	AISystem	hasVersion	Version
...				
4	Risks of AI system	AISystem	hasRisk	Risk
	Sources of the risk	RiskSource	isRiskSourceFor	Risk
	Consequences of the risk	Risk	hasConsequence	Consequence
	Harmful impacts of risk	Consequence	hasImpact	Impact
	Probability of risk	Risk	hasLikelihood	Likelihood
	Severity of impact	Risk	hasSeverity	Severity
	...	Impact		

ANNEX IV TECHNICAL DOCUMENTATION referred to in Article 11(1)

The technical documentation referred to in Article 11(1) shall contain at least the following information, as applicable to the relevant AI system:

- A general description of the AI system including:
 - its intended purpose, the person/s developing the system the date and the version of the system;
 - how the AI system interacts or can be used to interact with hardware or software that is not part of the AI system itself, where applicable;
 - the versions of relevant software or firmware and any requirement related to version update;
 - the description of all forms in which the AI system is placed on the market or put into service;
 - the description of hardware on which the AI system is intended to run;
 - where the AI system is a component of products, photographs or illustrations showing external features, marking and internal layout of those products;
 - instructions of use for the user and, where applicable installation instructions;
- A detailed description of the elements of the AI system and of the process for its development, including:
 - the methods and steps performed for the development of the AI system, including, where relevant, recourse to pre-trained systems or tools provided by third parties and how these have been used, integrated or modified by the provider;
 - the design specifications of the system, namely the general logic of the AI system and of the algorithms; the key design choices including the rationale and assumptions made, also with regard to persons or groups of persons on which the system is intended to be used; the main classification choices; what the system is designed to optimise for and the relevance of the different parameters; the decisions about any possible trade-off made regarding the technical solutions adopted to comply with the requirements set out in Title III, Chapter 2.





Use-case #1: Uber's Real-time ID Check System

Purpose: Ensure the system is used by the registered driver

Main issue: Discrimination against drivers of BAME background

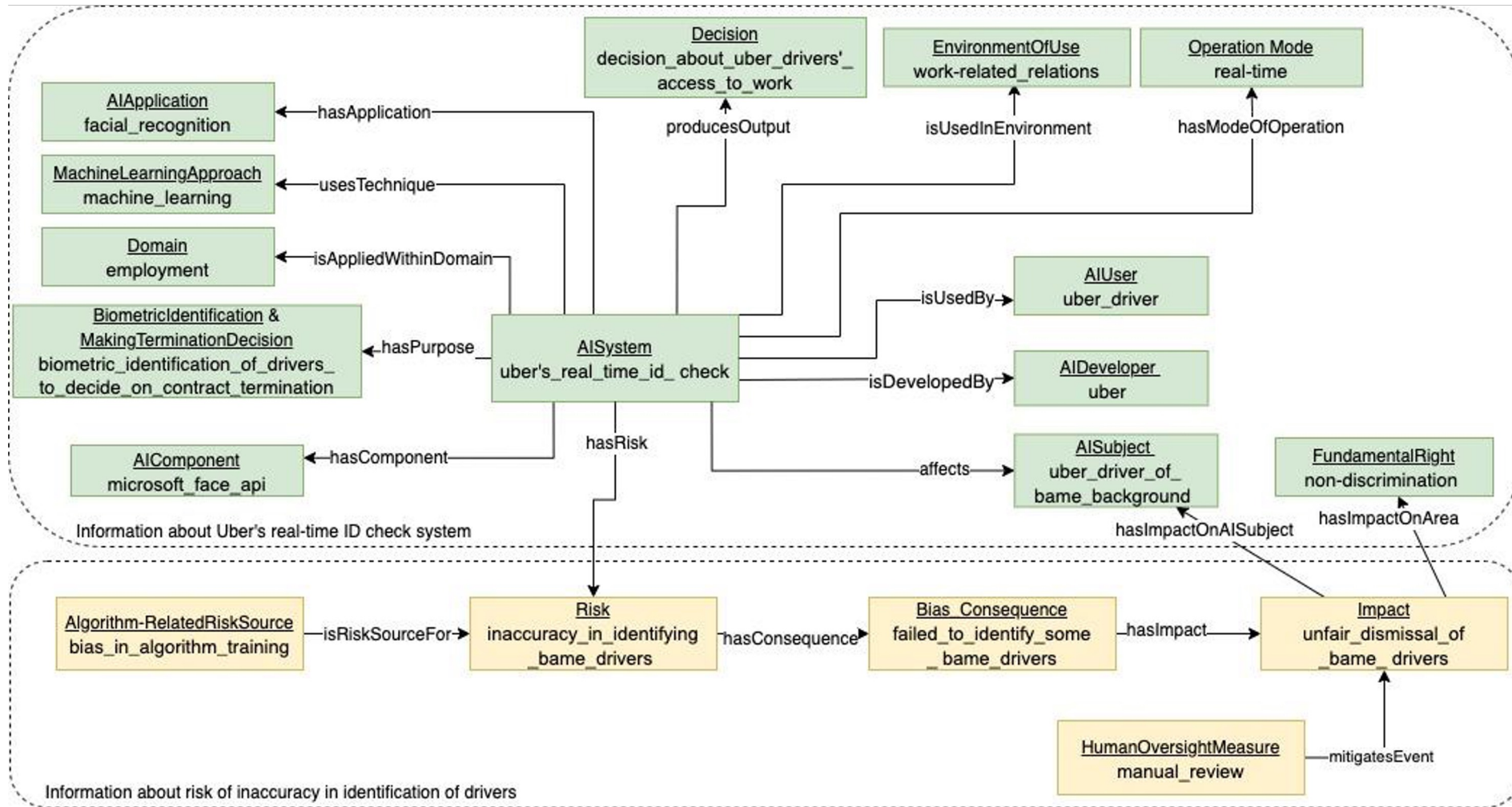


Use-case #2: VioGen Domestic Violence System

Purpose: Determine the eligibility to access police protection by predicting the likelihood of a victim of gender violence to be assaulted by the same perpetrator again

Main issue: Inaccuracy of predictions

Use-case #1: Uber's Real-time ID Check System



Identification of High-Risk AI Systems



```
1 PREFIX airo: <https://w3id.org/AIRO#>
2 SELECT ?system ?technique ?domain ?purpose
3        ?application ?user ?subject ?environment
4 WHERE {
5     ?system a airo:AISystem ;
6     airo:usesTechnique ?technique ;
7     airo:isUsedWithinDomain ?domain ;
8     airo:hasPurpose ?purpose ;
9     airo:hasApplication ?application ;
10    airo:isUsedBy ?user ;
11    airo:affects ?subject ;
12    airo:isUsedInEnvironment ?environment . }
```

AIRO concept	
AISystem	uber's real time id check
AITechnique	machine learning techniques
Domain	employment
Purpose	biometric identification of drivers to decide on contract termination
AIApplication	facial recognition
AIUser	uber driver
AISubject	uber driver of bame background
Environment OfUse	work related relations

1. Biometric identification and categorisation of natural persons:
 - (a) AI systems intended to be used for the 'real-time' and 'post' real-time identification of natural persons;
4. Employment, workers management and access to self-employment:
 - (a) AI systems intended to be used for recruitment or selection of natural persons, notably for advertising vacancies, screening or filtering applications, evaluating candidates in the course of interviews or tests;
 - (b) AI intended to be used for making decisions on promotion and **termination of work-related contractual relationships**, for task allocation and for monitoring and evaluating performance and behavior of persons in such relationships.

- Manual analysis

High Risk

SHACL Shapes for Automatic Identification of High-Risk AI



- “Rules” to determine whether AI satisfies conditions for being “high-risk”
- Choose your favourite flavour of rule languages & mechanisms
- We chose **SHACL**
- Why:
 - Flexible, Standardised
 - Extensible with plugins/features
 - Built-in documentation of outputs
 - Integrate to instead check outputs e.g. another rule engine
- We implement SHACL shapes for clauses defined in Annex III that determine high-risk
- Validation is to NOT satisfy the expressed criteria

```
1 @prefix dash: <http://datashapes.org/dash#> .
2 @prefix sh: <http://www.w3.org/ns/shacl#> .
3 @prefix airo: <https://w3id.org/AIRO#> .
4 @prefix rdf: <http://www.w3.org/1999/02/22-rdf-syntax-ns#> .
5 :AnnexIII-1
6   a sh:NodeShape ;
7   sh:targetClass airo:AISystem ;
8   sh:message "High-Risk AI System as per AI Act Annex III-1"@en ;
9   sh:description "Biometric Identification of Natural Persons"@en ;
10  sh:not [
11    a sh:PropertyShape ;
12    sh:path airo:hasPurpose ;
13    sh:class airo:BiometricIdentification; ] .
```



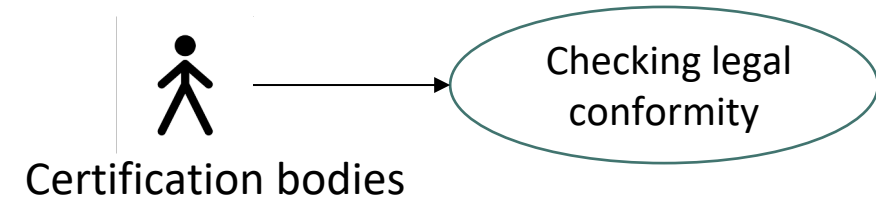
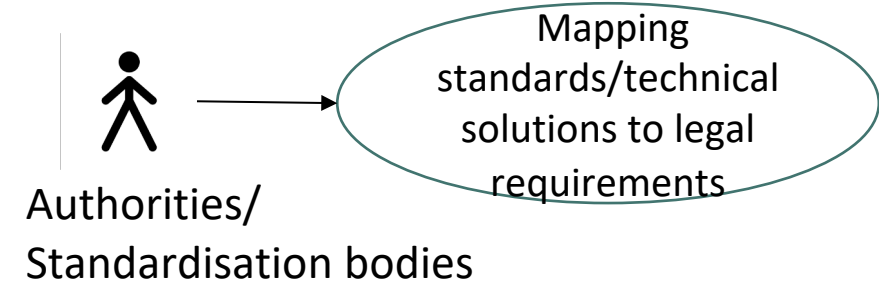
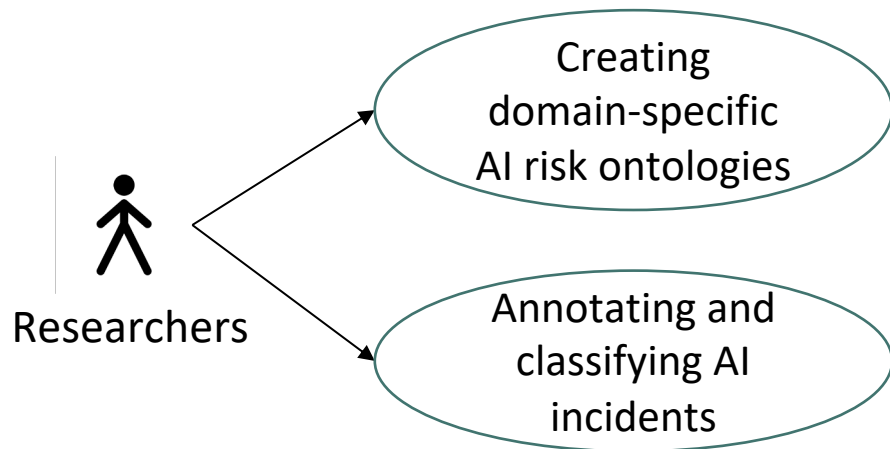
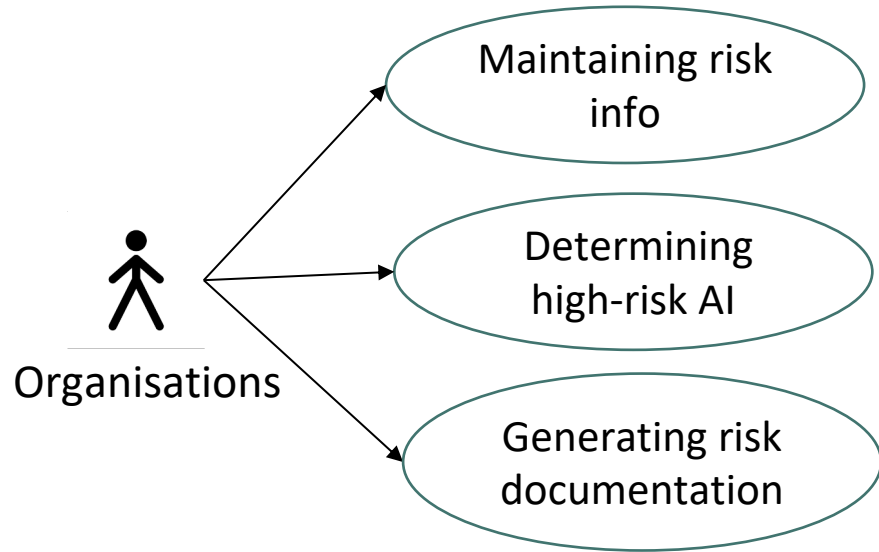
Anx.IV. Required Information	Concept	Uber's Real-time ID Check
1(a). System's intended purpose	Purpose	biometric_identification_of_drivers_to_decide_on_contract_termination
1(a). System's developers	AIDeveloper	uber
1(d). Forms in which AI system is placed on the market or put into service	AISystemForm	service
2(e) & 3. Human oversight measures	HumanOversightControl	manual_review
2(g). Discriminatory impacts of the system	Impact ImpactedArea	unfair_dismissal_of_bame_drivers non-discrimination
3. Expected level of accuracy	AISystemAccuracy	high
3. Foreseeable unintended outcomes of the risk 4. Consequences of the risk	Consequence	failed_to_identify_some_bame_drivers
3 & 4. Sources of the risk	RiskSource	bias_in_algorithm_training
4. Risks associated with the AI system	Risk	inaccuracy_in_identifying_bame_drivers
4. Harmful impacts of the risk	Impact	unfair_dismissal_of_bame_drivers
4. Severity of impact	Severity	N/A
4. Impacted stakeholders	AISubject	uber_driver_of_bame_background
4. Impacted area	AreaOfImpact	non-discrimination
4. Risk management measures applied	Control	manual_review

Domain Challenge

the incident reports do not provide *detailed information*

Why:
Implementation Details

Benefit to Stakeholders





- Enhance AIRO to:
 - represent known categories of AI risks identified from real-world incidents
 - express provenance of AI risk and impact assessments
- Incorporate changes from the AI Act update and recently developed ISO standards
- Create rules for determining High-Risk AI
- Develop tools for risk documentation generation and sharing
- Apply AIRO's AI impact assessment for the GDPR's DPIA



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Ontology: <https://w3id.org/AIRO>

GitHub:
<https://github.com/delaramglp/AIRO>

