Protect

AIRO

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

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PROTECT ITN

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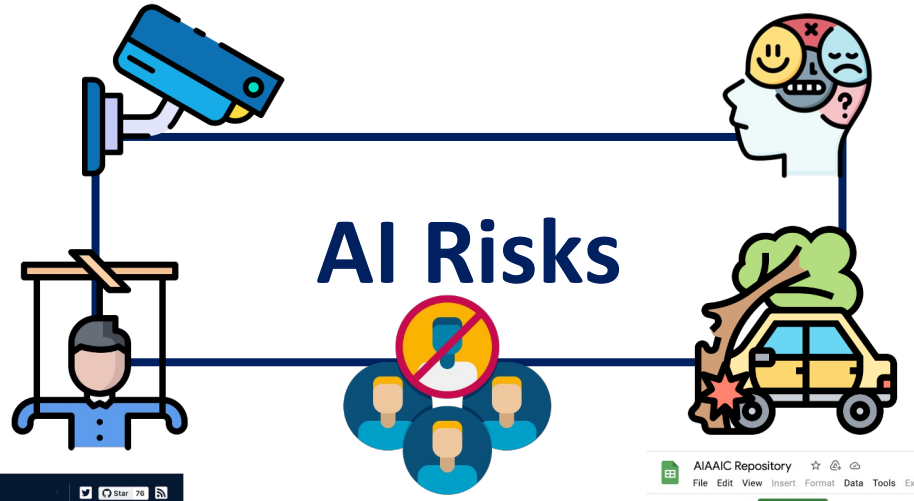
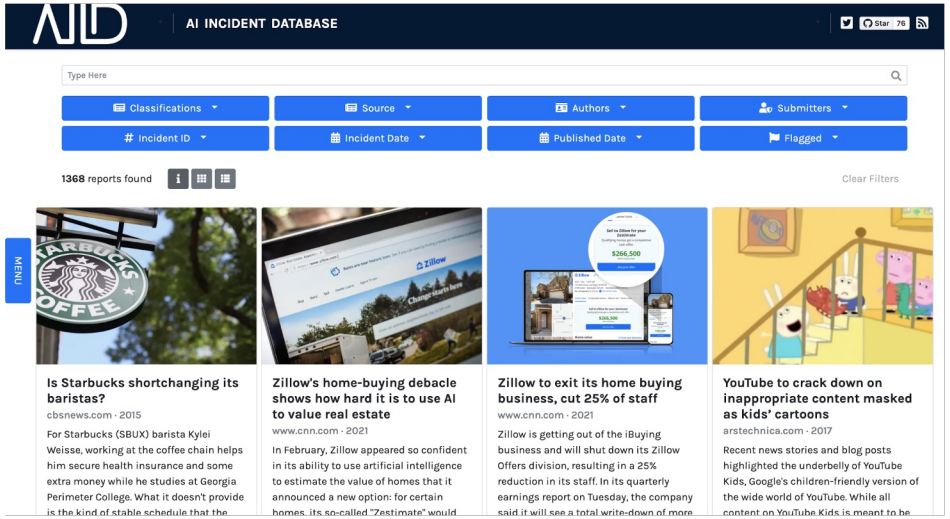
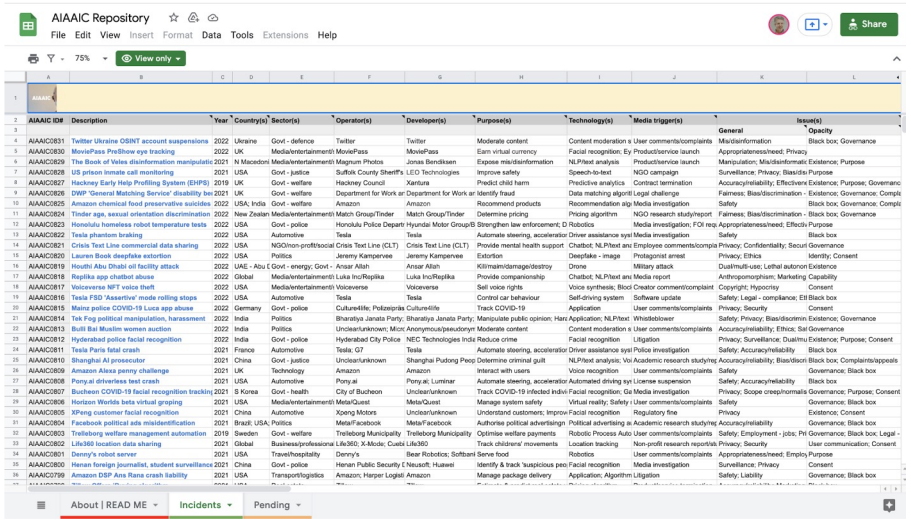
AI Risks



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

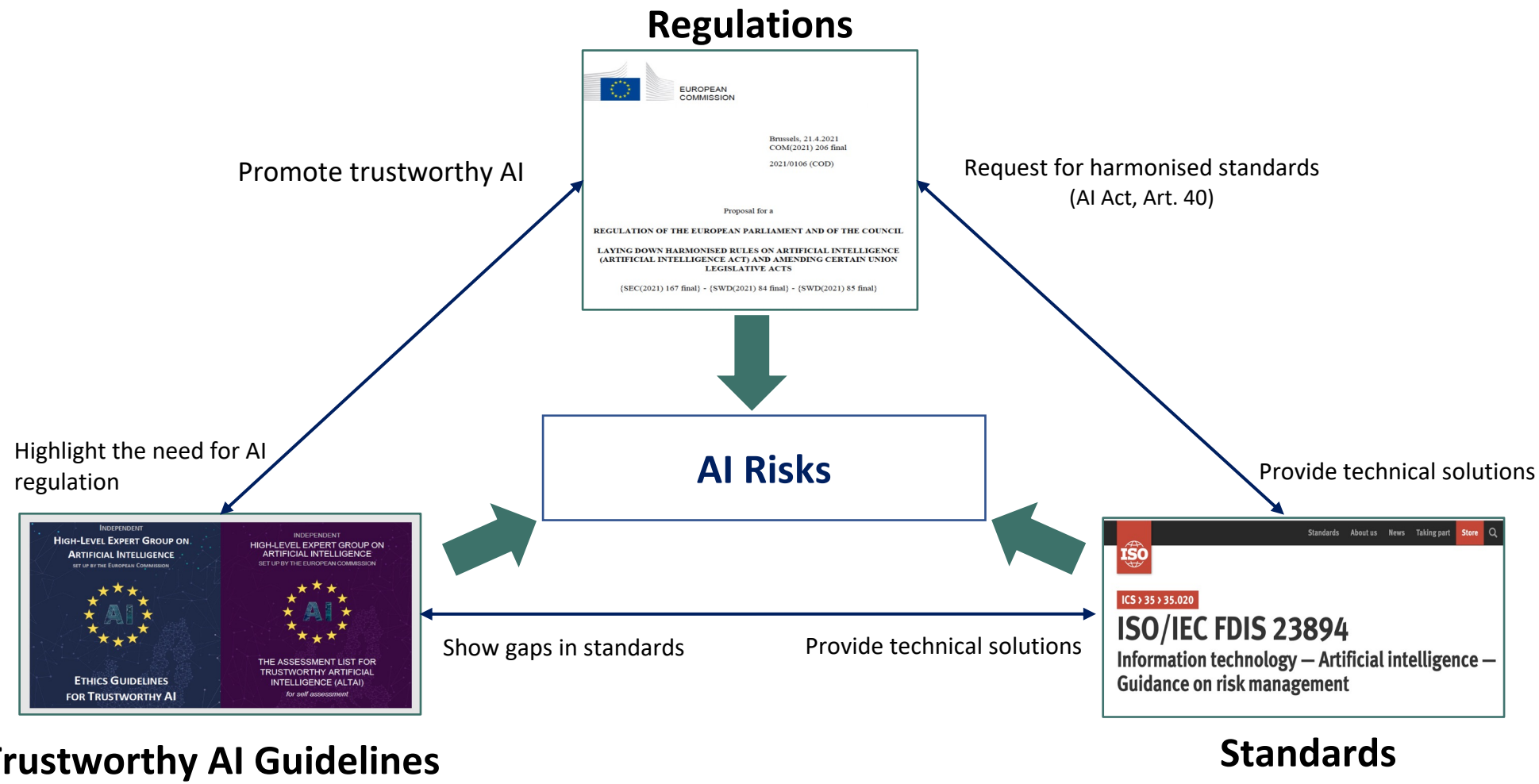


AIAAIC Repository
https://www.aiaaic.org/aiaaic-repository

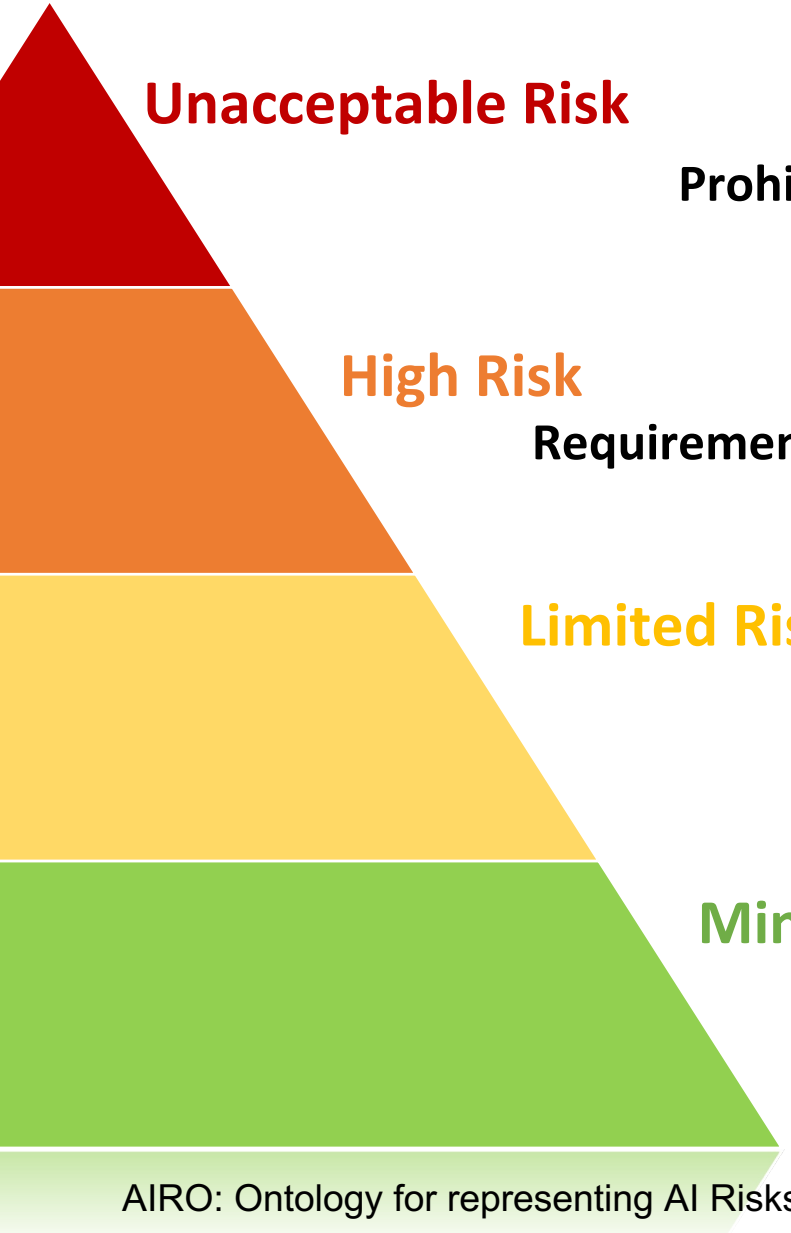


Icons from https://www.flaticon.com/

Efforts Addressing AI Risks



AI Act Risk Pyramid



Unacceptable Risk

Prohibited

High Risk

Requirements for high-risk AI systems

Limited Risk

Transparency obligations for certain AI systems

Minimal Risk

Codes of conduct

High Risk to health, safety, and fundamental rights of people:
1) Product or safety component of a product covered by Annex II
2) AI system used in Annex III areas

RQ1

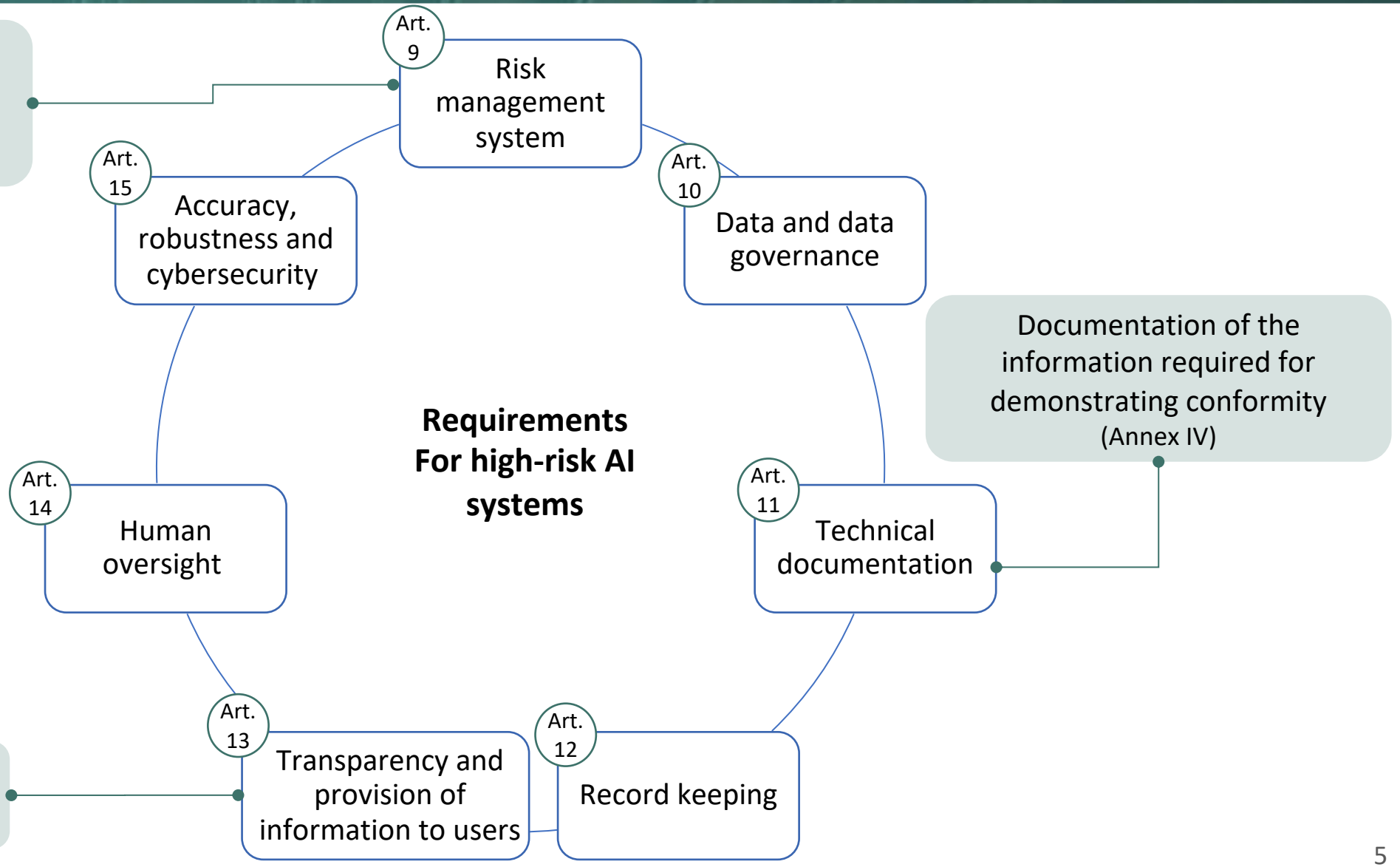
What is the information required to determine whether an AI system is ‘high-risk’ as per the AI Act?

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?



Documentation of the information required for demonstrating conformity (Annex IV)

Creating instruction of use

Challenge

- 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?

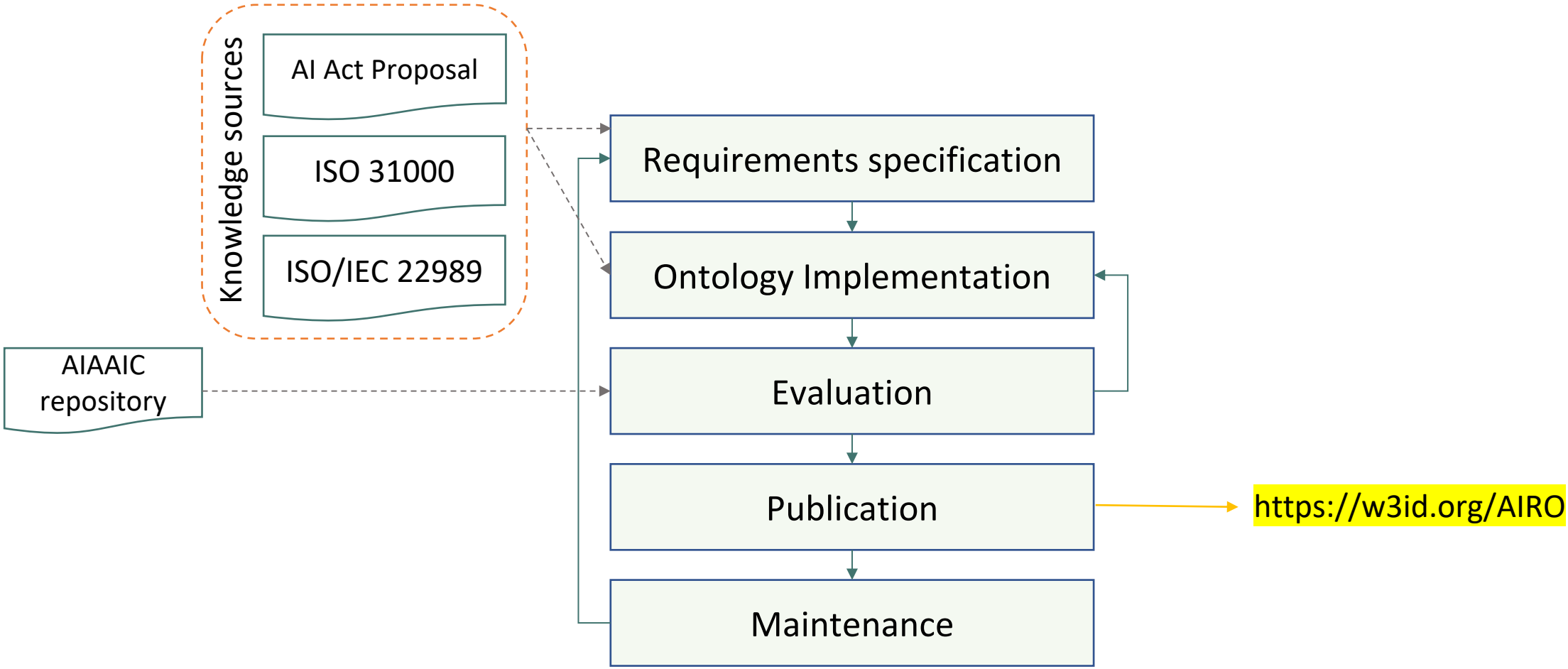
→ Identify information requirements from:
- the AI Act
- ISO 31000 family

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

State of the Art

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



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

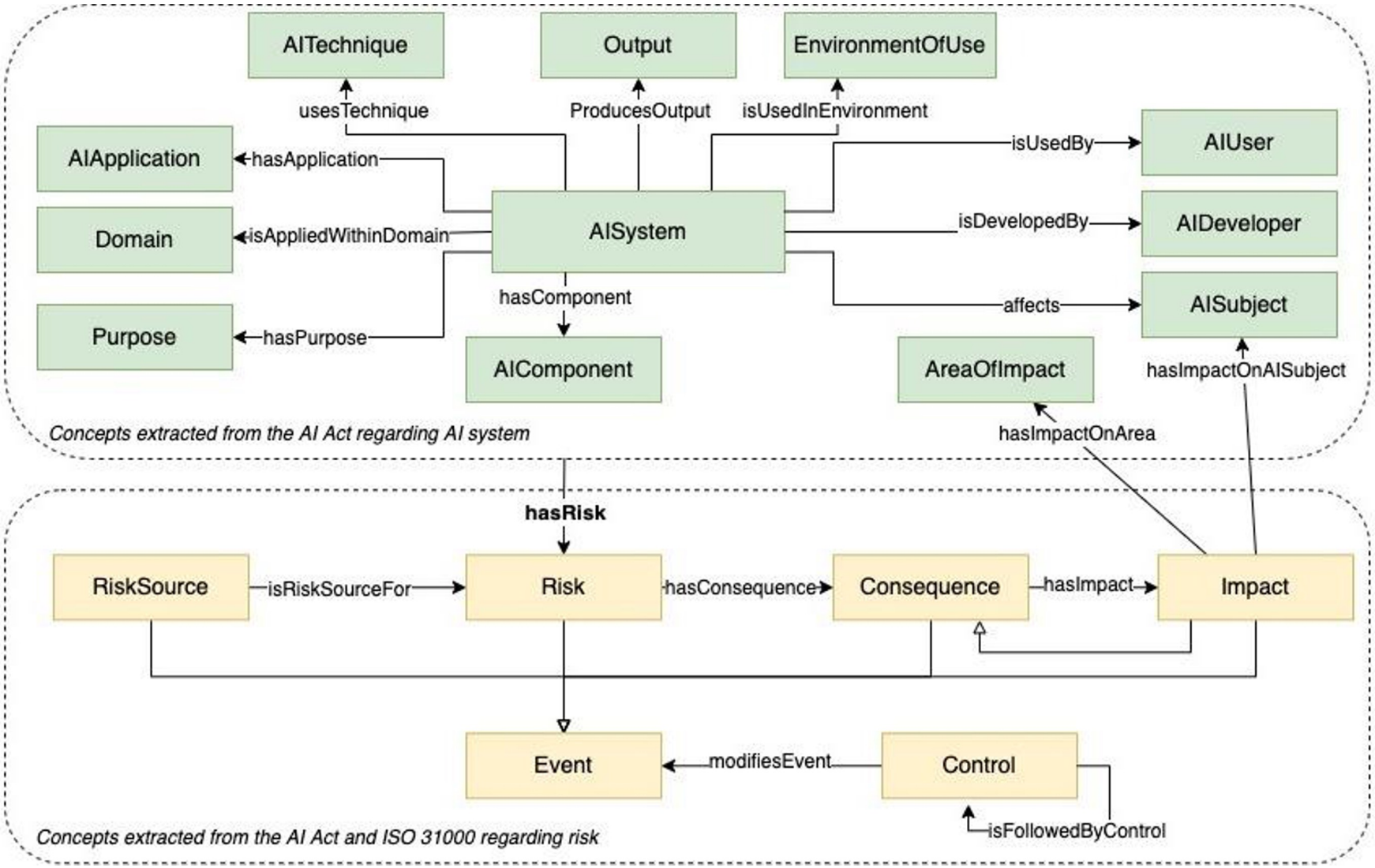
Annex IV	Required Info	Domain	Relation	Range
1(a)	System's intended purpose	AISystem	hasPurpose	Purpose
	System's developers	AISystem	isDevelopedBy	AIDeveloper
	System's date	AISystem	dcterms:date	
	System's version	AISystem	hasVersion	Version
…				
4	Risks of AI system	AISystem	hasRisk	Risk
	Sources 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	Impact	hasSeverity	Severity
	…			

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:

1. A general description of the AI system including:
   - (a) its intended purpose, the person/s developing the system the date and the version of the system;
   - (b) 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;
   - (c) the versions of relevant software or firmware and any requirement related to version update;
   - (d) the description of all forms in which the AI system is placed on the market or put into service;
   - (e) the description of hardware on which the AI system is intended to run;
   - (f) where the AI system is a component of products, photographs or illustrations showing external features, marking and internal layout of those products;
   - (g) instructions of use for the user and, where applicable installation instructions;
2. A detailed description of the elements of the AI system and of the process for its development, including:
   - (a) 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;
   - (b) 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;

AIRO https://w3id.org/AIRO

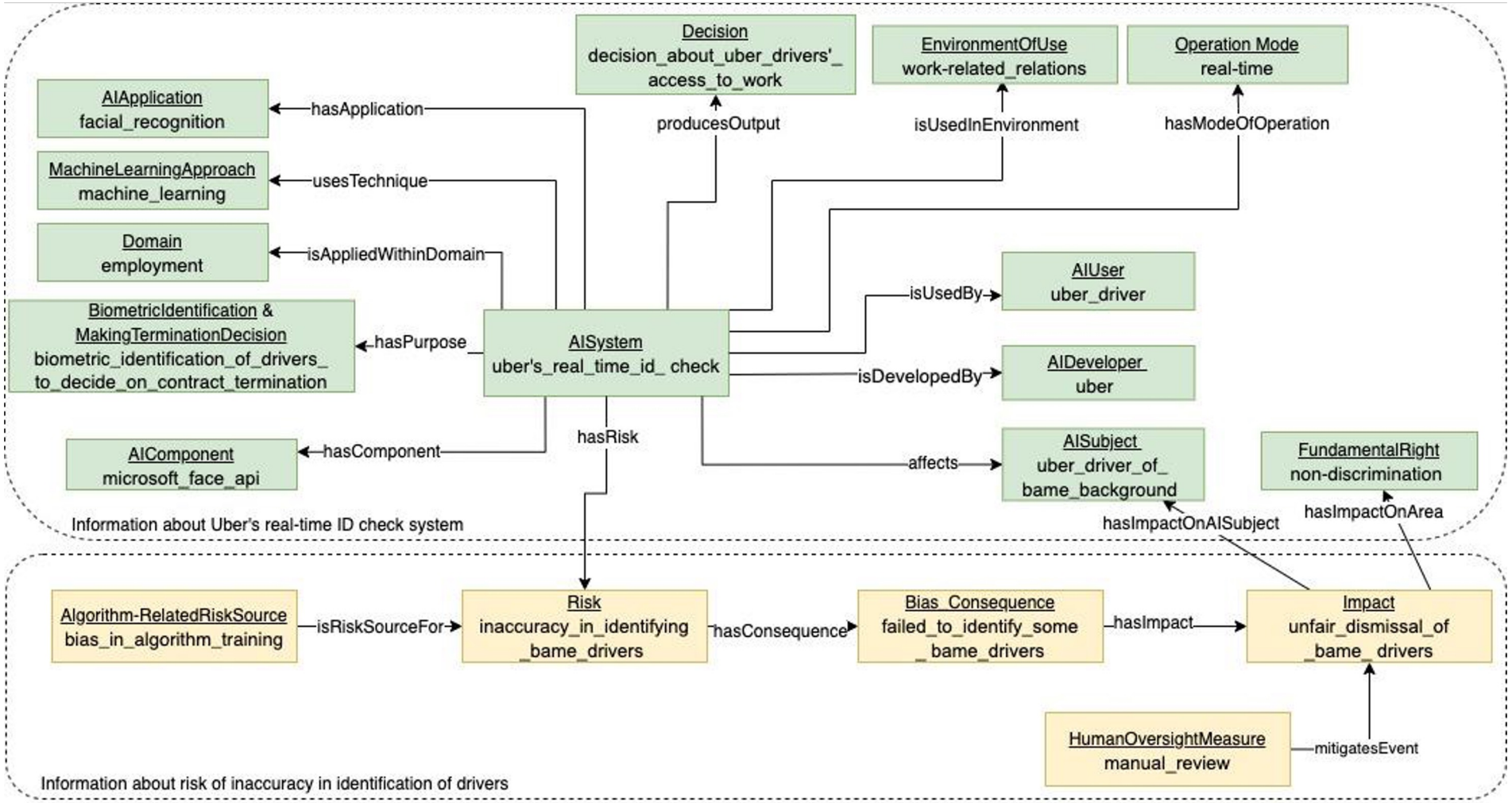


Use-cases

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

```
PREFIX airo: <https://w3id.org/AIRO#>
SELECT  ?system ?technique ?domain ?purpose
        ?application ?user ?subject ?environment
WHERE {
        ?system a airo:AISystem ;
                airo:usesTechnique ?technique ;
                airo:isUsedWithinDomain ?domain ;
                airo:hasPurpose ?purpose ;
                airo:hasApplication ?application ;
                airo:isUsedBy ?user ;
                airo:affects ?subject ;
                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' re 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; ] .
```

Generating Technical Documentation

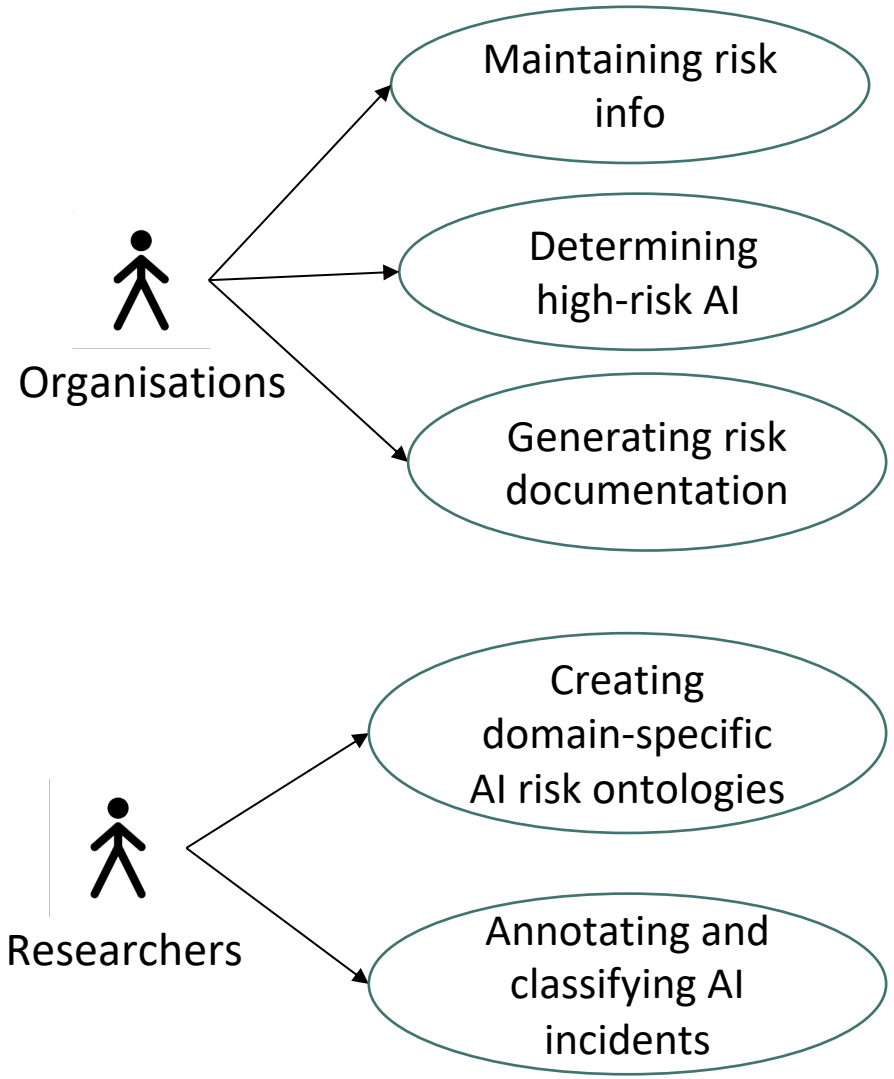
Anx.IV. Required Information	Concept	Uber's Real-time ID Check
1(a). System's intended purpose	`Purpose`	biometric_identification_of_drivers _to_decide_on_contract_termination
1(a). System's developers	`AIDeveloper`	uber
1(d). Forms in which AI system is placed on the market or put into service	`AISystemForm`	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

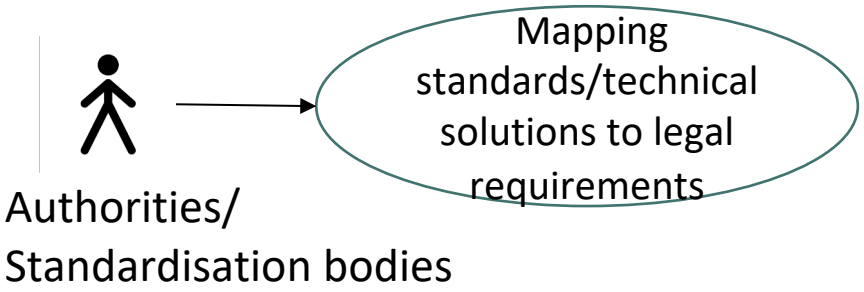
Domain Challenge

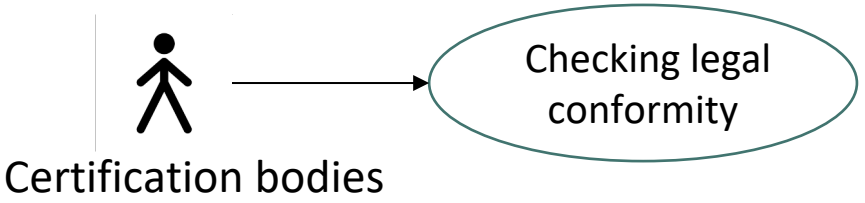
the incident reports do not provide *detailed information*

Why: Implementation Details

Benefit to Stakeholders



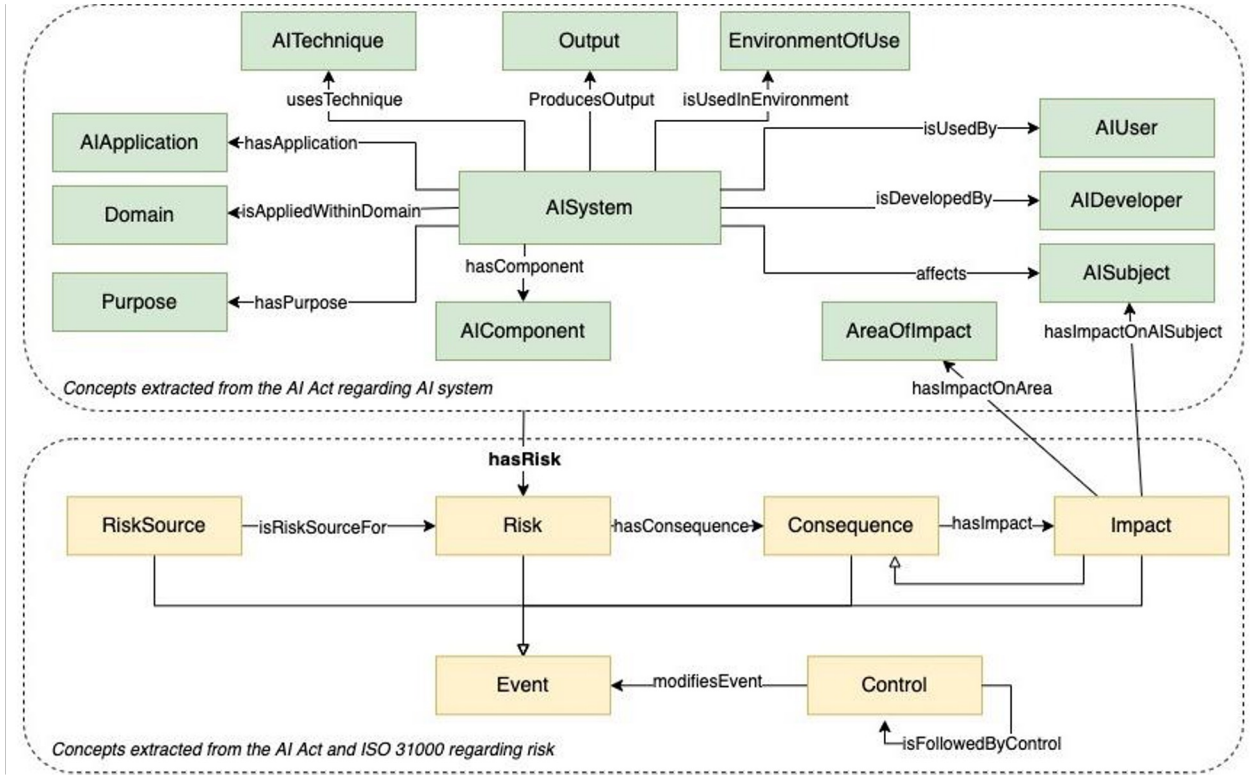




Future Work

- 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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