

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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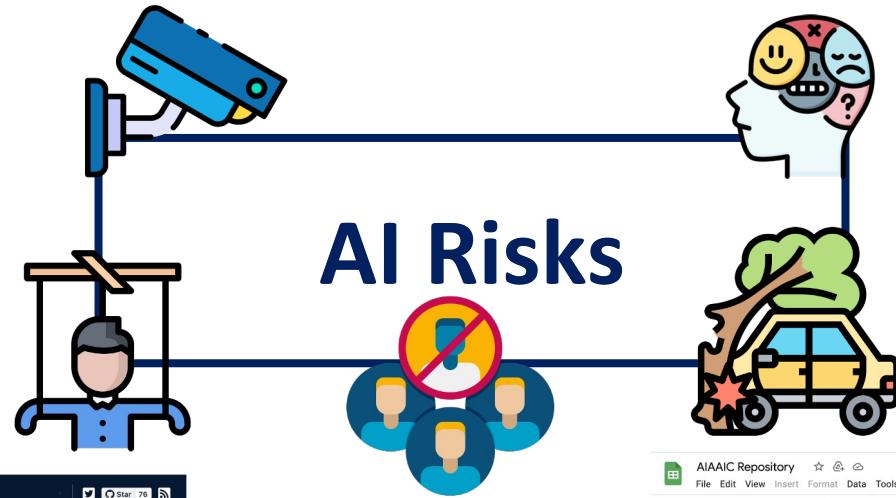


AI Risks

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

The screenshot shows the AIID homepage with a search bar and filters for Classifications, Source, Authors, and Submitters. Below the search bar, it displays '1368 reports found'. The main content area features four news snippets:

- Is Starbucks shortchanging its baristas?** (cbsnews.com - 2015) - Starbucks coffee shop.
- Zillow's home-buying debacle shows how hard it is to use AI to value real estate** (www.cnn.com - 2021) - Zillow real estate platform.
- Zillow to exit its home buying business, cut 25% of staff** (www.cnn.com - 2021) - Zillow real estate platform.
- YouTube to crack down on inappropriate content masked as kids' cartoons** (arstechnica.com - 2017) - YouTube children's content.



AI Risks

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

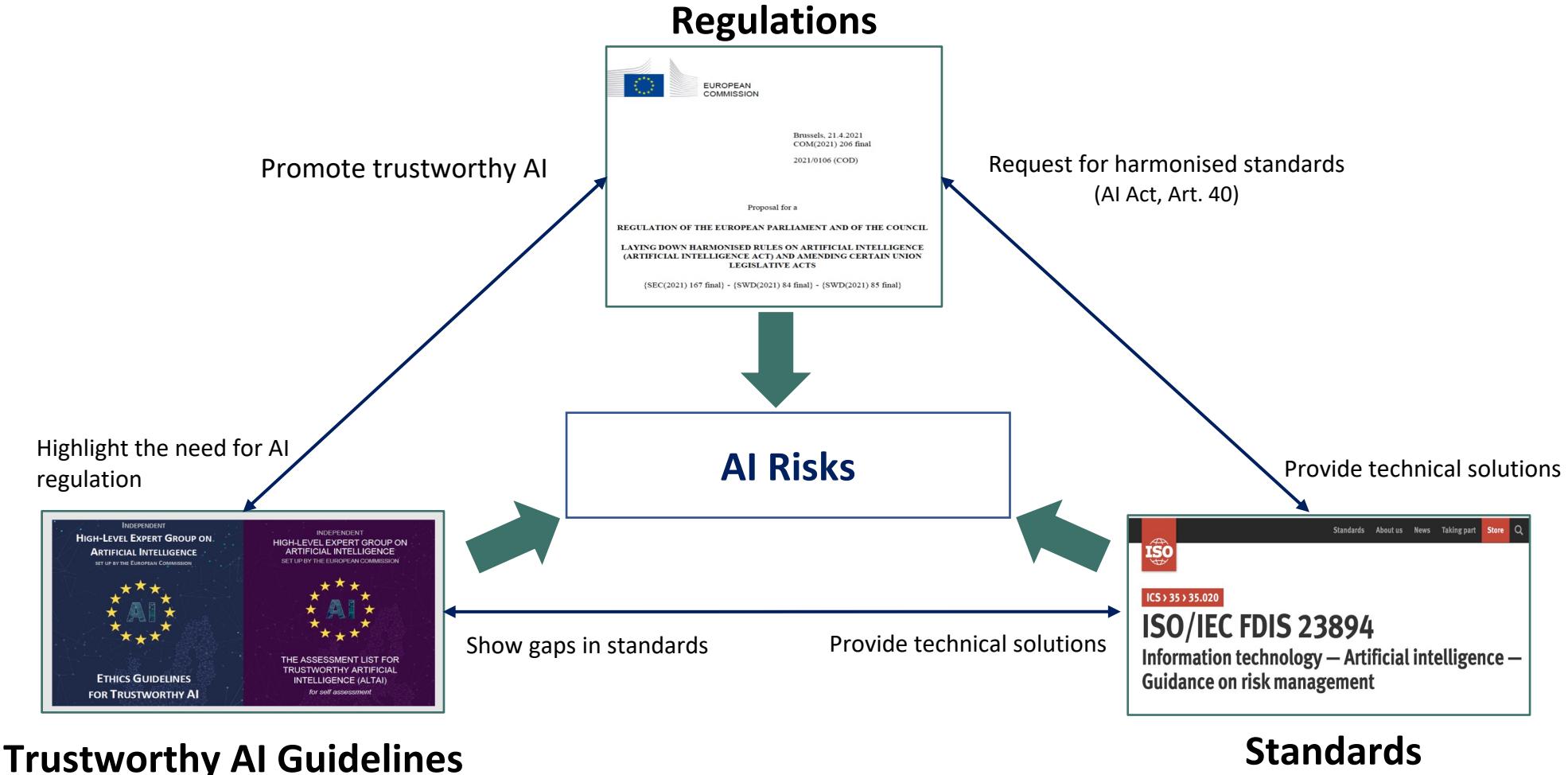
The screenshot shows a spreadsheet titled 'AIAAIC Repository' with a table of AI incidents. The columns include:

AIAAIC ID	Description	Year	Country(s)	Sector(s)	Operator(s)	Developer(s)	Purpose(s)	Technology(s)	Media trigger(s)	General	Opacity
AIAAIC001	Telstra Ukraine CDRs intercept suspension	2022	Ukraine	Govt - defense	Telstra	Telstra	Monitor content; Control moderation; User communication/complaints	Cloud; Machine learning; Privacy; Facial recognition; E-commerce	Mobile; N_Phone	Manipulation; Transparency; Privacy	Black box; Governance
AIAAIC002	Microsofts Predictive eye tracking	2022	UK	Media/entertainment; Media/Bass	Media/Bass	Media/Bass	Expose misclassification	N_Phone analysis	Product/service launch	Manipulation; Misclassification; Existence; Purpose	Black box; Transparency
AIAAIC003	The Book of Value disinformation manipulation	2021	Netherlands	Media/entertainment; Megaphone Photos	Jones Bendiken	Jones Bendiken	Improve safety	Speed-to-test	NOD campaign	Surveillance; Privacy; Bias/decisions	Black box; Transparency
AIAAIC004	US prises inmate cell monitoring	2021	USA	Govt - justice	Hockney County Sheriff's LED Technologies	Xander	Predict child harm	Predictive analysis	Cloud; Machine learning	Accuracy; Effectiveness; Efficiency; Privacy; Governance	Black box; Transparency; Privacy
AIAAIC005	Hackney Early Help Profiling System (EHS) - Hackney Council	2019	UK	Govt - welfare	Hackney Council	Hackney Council	Design for work or punishment for work and/or behaviour	Cloud; Machine learning	Machine learning algorithm; Data collection	Fairness; Bias/discriminatory; Existence; Governance; Compliance	Black box; Transparency; Privacy
AIAAIC006	Amazon chemical food preservative suicides	2022	USA	Govt - welfare	Amazon	Amazon	Recommend products	Recommendation alg; Media investigation	NO research study/report	Fairness; Bias/discriminatory - Black box; Governance	Black box; Transparency
AIAAIC007	Tinder age, sexual orientation discrimination	2022	New Zealand	Media/entertainment; Match Group/Tinder	Match Group/Tinder	Match Group/Tinder	Determine pricing	Pricing algorithm	NO research study/report	Fairness; Bias/discrimination - Black box; Governance	Black box; Transparency
AIAAIC008	Hyundai Motor robot temperature tests	2022	USA	Govt - police	Hyundai Motor Group/Hyundai Motor America	Hyundai Motor Group/Hyundai Motor America	Strengthens law enforcement; D Robot	Media investigation	FOI res	Appropriateness/transparency; Effectiveness; Privacy	Black box; Transparency
AIAAIC009	Honolulu homeless robot temperature tests	2022	USA	Govt - police	Honolulu Police Depar...	Honolulu Police Depar...	Strengthens law enforcement; D Robot	Media investigation	FOI res	Appropriateness/transparency; Effectiveness; Privacy	Black box; Transparency
AIAAIC010	NGO/non-profit/citizen Crisis Text Line (CLT)	2022	USA	NGO/non-profit/citizen	Crisis Text Line (CLT)	Crisis Text Line (CLT)	Provide mental health support	Chatbot; N_Phone are Employee communication/Complaints	Privacy; Confidentiality; Secur...	Black box; Governance	Black box; Transparency
AIAAIC011	Deepfake - image	2022	USA	Politics	Jenner Kampen	Jenner Kampen	Extortion	Deepfake - image	Protagonist arrest	Privacy; Ethics	Identity; Consent
AIAAIC012	Kittiwake damaged/destroy	2022	UAE - Abu Dhabi	Govt - defense	Anas Alah	Anas Alah	Attack	Drone	Military attack	Black box; Transparency; Military	
AIAAIC013	Lulu's AI facial recognition	2022	UK	Media/entertainment; Media/Bass	Lulu's	Lulu's	Profile compatibility	Cloud; N_Phone	Machine learning; Marketability	Black box; Transparency	
AIAAIC014	Voiceverse NFT voice theft	2022	USA	Automotive	Voiceverse	Voiceverse	Sell voice rights	Voice synthesis; Block Creator comment/complaint	Copyright; Hypocrisy	Consent	
AIAAIC015	Tesla AI 'Assessive' mode rolling stops	2022	USA	Automotive	Tesla	Tesla	Control car behaviour	Self-driving system	Software update	Safety; Legal - compliance; Ell Black box	
AIAAIC016	Media police COVID-19 Luca app shows	2022	Germany	Govt - police	Cultura/Offiziel...; Politikarzt/Politiker	Cultura/Offiziel...; Politikarzt/Politiker	Test COVID-19	Application	User communication/complaints	Privacy; Security	Consent
AIAAIC017	Bhutanese Janata Party, Bhutanese Janata Party, Bhutanese Janata Party, Bhutanese Janata Party	2022	India	Govt - political	Bhutanese Janata Party	Bhutanese Janata Party	Massive political opinion; Heightened N_Phone	Cloud; Machine learning	Machine learning; FOI res	Transparency; Accountability; Governance	Black box; Transparency
AIAAIC018	Unclear/Unknown; Micro-Anonymity/DeusEx; Molotov content	2022	India	Govt - police	Unclear/Unknown	Unclear/Unknown	Contact moderation; User communication/complaints	Cloud; Machine learning	Machine learning; FOI res	Accuracy; Effectiveness; Privacy	Black box; Transparency
AIAAIC019	Hyderabad City Police facial recognition	2022	India	Govt - police	Hyderabad City Police	NEC Technologies	India Reduce crime	Facial recognition	Litigation	Privacy; Surveillance; Dualism; Existence; Purpose; Consent	Black box; Transparency
AIAAIC020	Tesla Paris traffic crash	2021	France	Automotive	Tesla	Tesla	Autonomous steering; Accelerated Auto	Cloud; Machine learning; Safety	Autonomous assistance sys; Police investigation	Safety; Accuracy; Reliability	Black box
AIAAIC021	Unicorns Putong Peep gull	2021	UK	Technology	Unicorns	Unicorns	Interact with users	Cloud; Machine learning	Cloud; Machine learning	Black box; Transparency; Bias/decisions	
AIAAIC022	Pony ai; Luminar	2021	UK	Technology	Amazon	Amazon	Interact with users	Voice recognition	User communication/complaints	Safety; Transparency	
AIAAIC023	Autonomous steering/steering; License suspension	2021	USA	Automotive	Pony ai; Luminar	Pony ai; Luminar	Interact with users	Voice recognition	User communication/complaints	Safety; Transparency	
AIAAIC024	Truck COV-19 related individual	2021	USA	Automotive	Uber	Uber	Manage system safety	Virtual reality; Safety	User communication/complaints	Safety; Scope; Transparency	
AIAAIC025	Understand customers; Improv; Facial recognition	2021	China	Automotive	Xpeng Motors	Xpeng Motors	Understand customers; Improv; Facial recognition	Regulatory fine	Privacy	Existence; Consent	
AIAAIC026	Facebook political ads misidentification	2021	Brunei, USA, Politics	Facebook	Facebook	Facebook	Political advertising	Cloud; Machine learning	Machine learning; FOI res	Accuracy; Effectiveness; Privacy	
AIAAIC027	Twitter political ads misidentification	2021	USA	Govt - politics	Twitter	Twitter	Political advertising	Cloud; Machine learning	Machine learning; FOI res	Accuracy; Effectiveness; Privacy	
AIAAIC028	Tracks children movements	2021	Global	Travel/hospitality; Fintech; X-Mobility; Cuadra Life360	Tracks children movements	Tracks children movements	Tracks children movements	Location tracking	Non-profit research; Privacy; Security	User communication; Consent	
AIAAIC029	Demby's robot server	2021	USA	Travel/hospitality	Demby's	Robotics; Software Serve	Robotics	Robotics	Robotics	Appropriateness; Employ; Purpose	
AIAAIC030	Identify & track 'suspicious' pedo	2021	China	Govt - police	Human Public Security	Neustadt; Huawei	Identify & track 'suspicious' pedo	Media investigation	Surveillance; Privacy	Consent	
AIAAIC031	Amazon DSP Ans Rana crash liability	2021	USA	Transport logistics	Amazon; Harper Logist	Amazon	Manage package delivery	Application	Litigation	Safety; Liability	

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

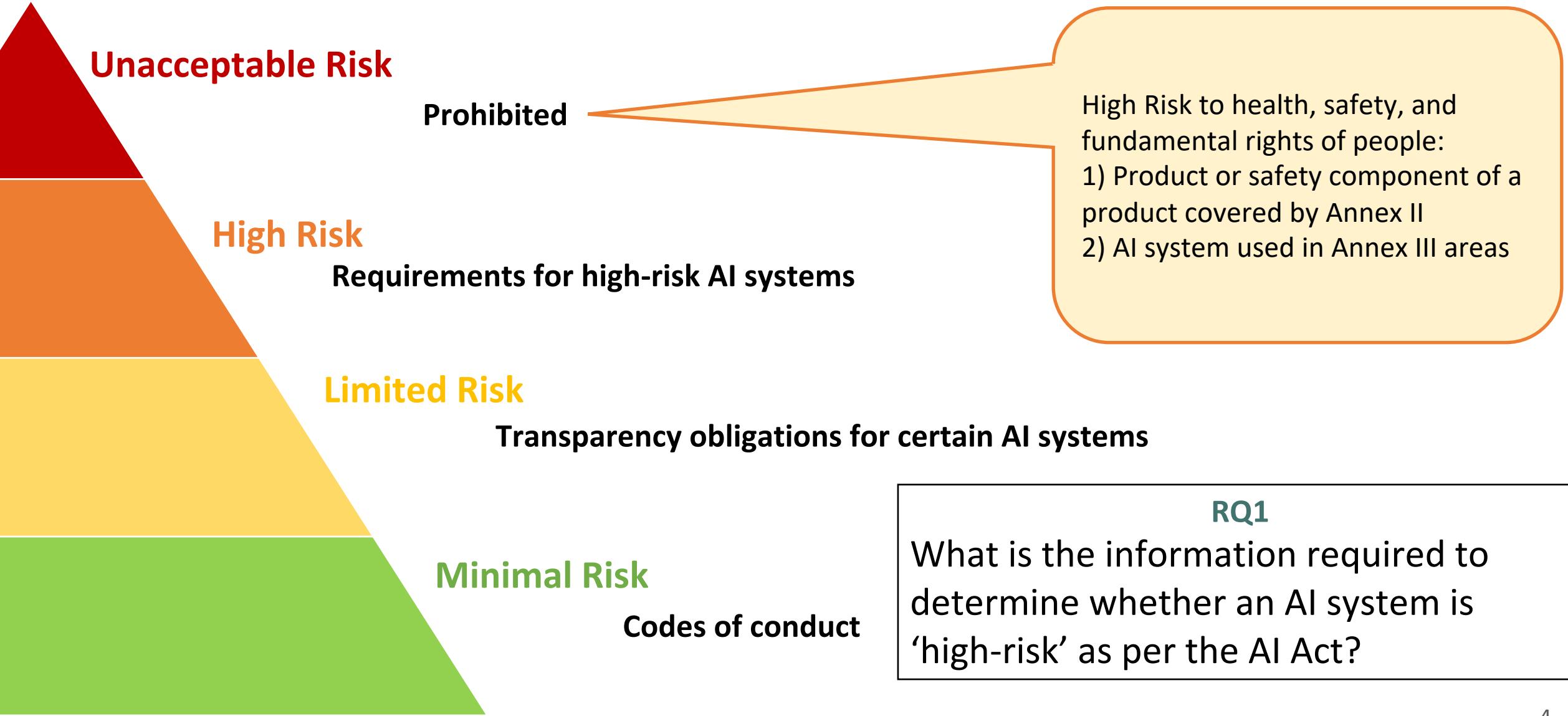


Efforts Addressing AI Risks





AI Act Risk Pyramid





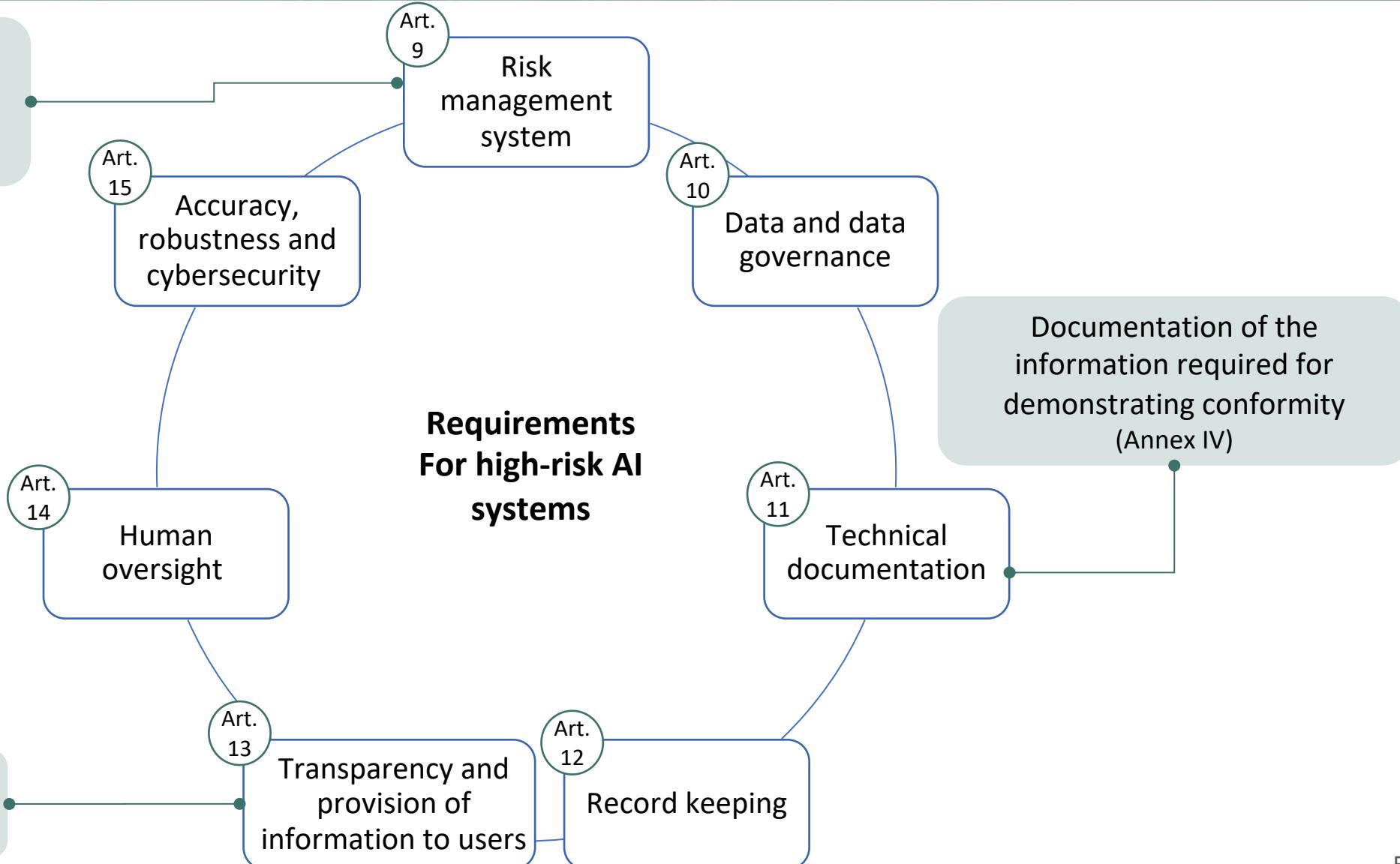
Requirements for High-Risk AI Systems

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?

Requirements For high-risk AI systems

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

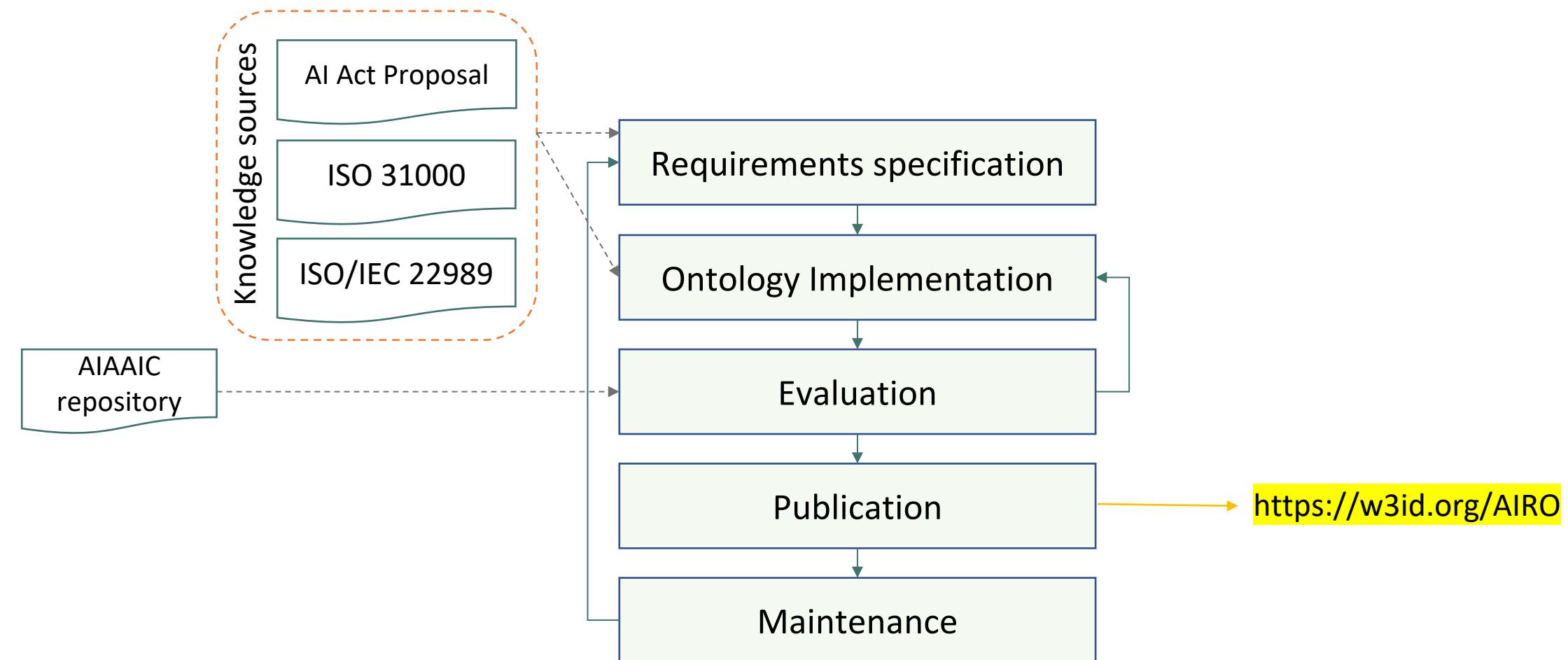


State of the Art

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 AI System
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

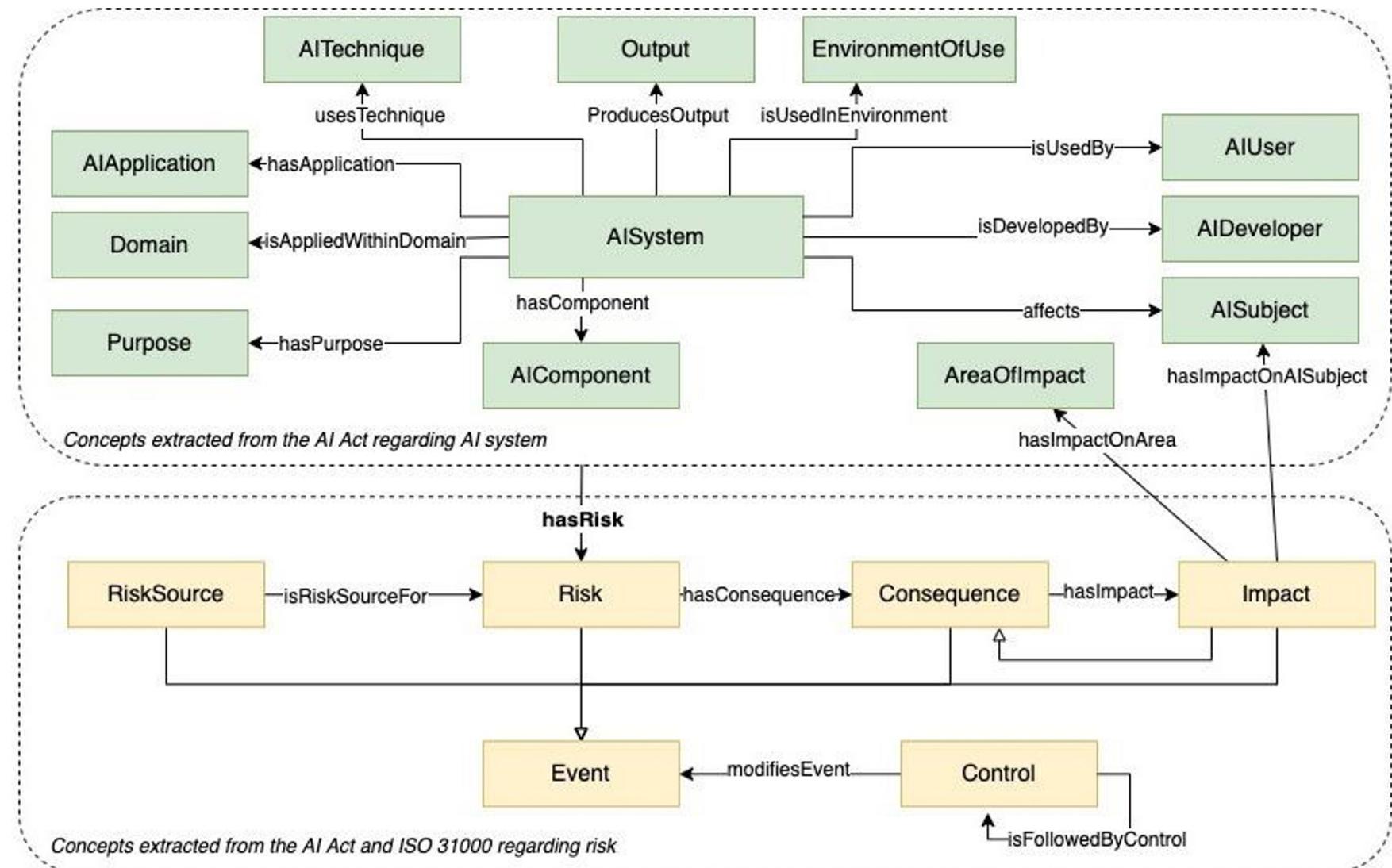


Annex IV	Required Info	Domain	Relation	Range
1(a)	System's intended purpose System's developers System's date System's version	AI System AI System AI System AI System	hasPurpose isDevelopedBy dcterms:date hasVersion	Purpose AI Developer Version
...				
4	Risks of AI system Sources of the risk Consequences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





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



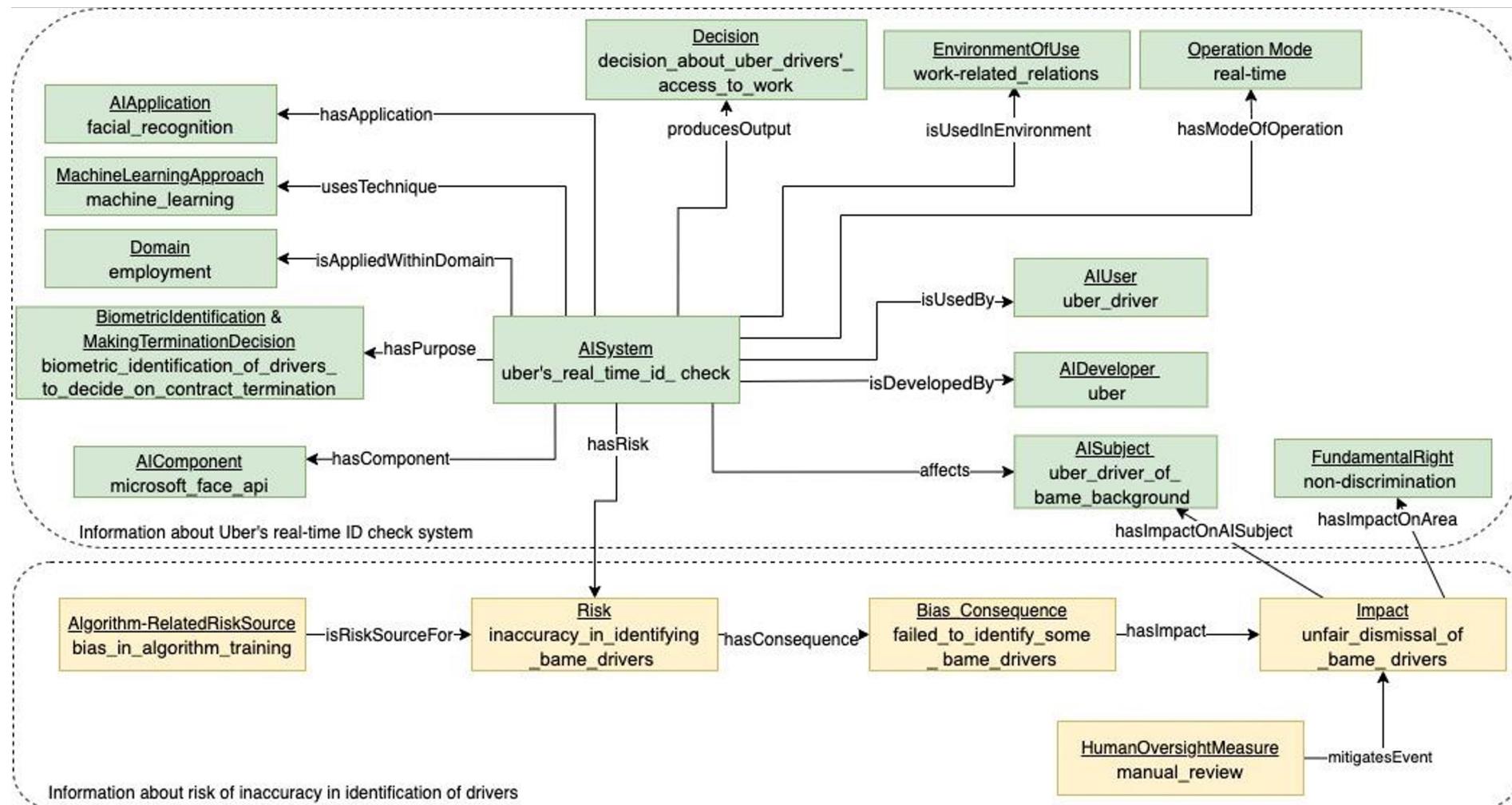
Use-case #2: VioGen Domestic Violence System

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

```

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

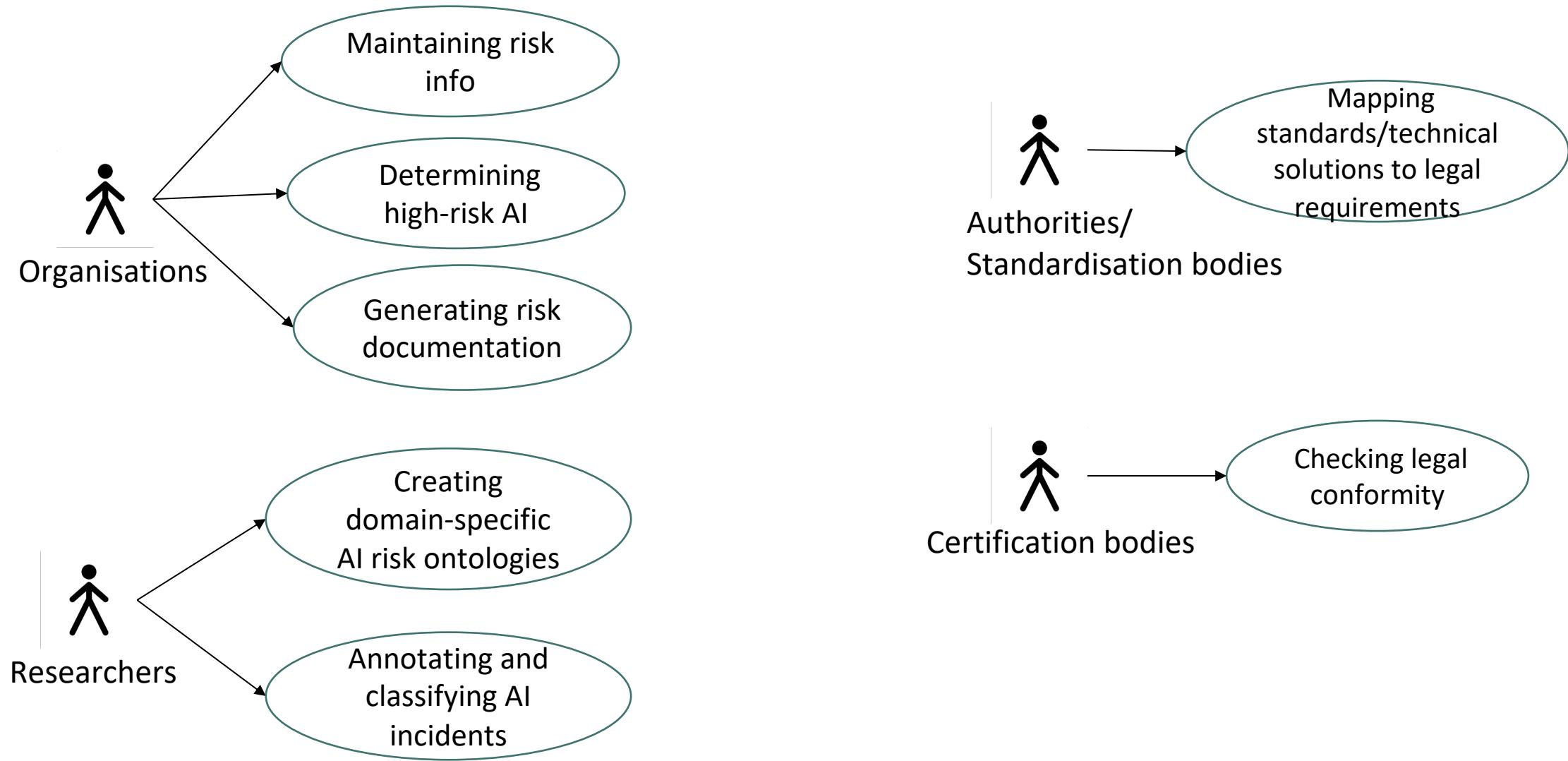
Domain Challenge

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



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

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

