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Information technology — Artificial intelligence — Guidance on risk management

*Technologies de l'information — Intelligence artificielle —
Recommandations relatives au management du risque*

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives or www.iec.ch/members_experts/refdocs).

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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html. In the IEC, see www.iec.ch/understanding-standards.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 42, *Artificial intelligence*.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html and www.iec.ch/national-committees.

Introduction

The purpose of risk management is the creation and protection of value. It improves performance, encourages innovation and supports the achievement of objectives.

This document is intended to be used in connection with ISO 31000:2018. Whenever this document extends the guidance given in ISO 31000:2018, an appropriate reference to the clauses of ISO 31000:2018 is made followed by AI-specific guidance, if applicable. To make the relationship between this document and ISO 31000:2018 more explicit, the clause structure of ISO 31000:2018 is mirrored in this document and amended by sub-clauses if needed.

This document is divided into three main parts:

[Clause 4](#): Principles – This clause describes the underlying principles of risk management. The use of AI requires specific considerations with regard to some of these principles as described in ISO 31000:2018, Clause 4.

[Clause 5](#): Framework – The purpose of the risk management framework is to assist the organization in integrating risk management into significant activities and functions. Aspects specific to the development, provisioning or offering, or use of AI systems are described in ISO 31000:2018, Clause 5.

[Clause 6](#): Processes – Risk management processes involve the systematic application of policies, procedures and practices to the activities of communicating and consulting, establishing the context, and assessing, treating, monitoring, reviewing, recording and reporting risk. A specialization of such processes to AI is described in ISO 31000:2018, Clause 6.

Common AI-related objectives and risk sources are provided in [Annex A](#) and [Annex B](#). [Annex C](#) provides an example mapping between the risk management processes and an AI system life cycle.

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Information technology — Artificial intelligence — Guidance on risk management

1 Scope

This document provides guidance on how organizations that develop, produce, deploy or use products, systems and services that utilize artificial intelligence (AI) can manage risk specifically related to AI. The guidance also aims to assist organizations to integrate risk management into their AI-related activities and functions. It moreover describes processes for the effective implementation and integration of AI risk management.

The application of this guidance can be customized to any organization and its context.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 31000:2018, *Risk management — Guidelines*

ISO Guide 73:2009, *Risk management — Vocabulary*

ISO/IEC 22989:2022, *Information technology — Artificial intelligence — Artificial intelligence concepts and terminology*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 31000:2018, ISO/IEC 22989:2022 and ISO Guide 73:2009 apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <https://www.electropedia.org/>

4 Principles of AI risk management

Risk management should address the needs of the organization using an integrated, structured and comprehensive approach. Guiding principles allow an organization to identify priorities and make decisions on how to manage the effects of uncertainty on its objectives. These principles apply to all organizational levels and objectives, whether strategic or operational.

Systems and processes usually deploy a combination of various technologies and functionalities in various environments, for specific use cases. Risk management should take into account the whole system, with all its technologies and functionalities, and its impact on the environment and stakeholders.

AI systems can introduce new or emergent risks for an organization, with positive or negative consequences on objectives, or changes in the likelihood of existing risks. They also can necessitate

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specific consideration by the organization. Additional guidance for the risk management principles, framework and processes an organization can implement is provided by this document.

NOTE Different International Standards have significantly different definitions of the word “risk.” In ISO 31000:2018 and related International Standards, “risk” involves a negative or positive deviation from the objectives. In some other International Standards, “risk” involves potential negative outcomes only, for example, safety-related concerns. This difference in focus can often cause confusion when trying to understand and properly implement a conformant risk management process.

ISO 31000:2018, Clause 4 defines several generic principles for risk management. In addition to guidance in ISO 31000:2018, Clause 4, [Table 1](#) provides further guidance on how to apply such principles where necessary.

Table 1 — Risk management principles applied to artificial intelligence

	Principle	Description (as given in ISO 31000:2018, Clause 4)	Implications for the development and use of AI
a)	Integrated	Risk management is an integral part of all organizational activities.	No specific guidance beyond ISO 31000:2018.
b)	Structured and comprehensive	A structured and comprehensive approach to risk management contributes to consistent and comparable results.	No specific guidance beyond ISO 31000:2018.
c)	Customized	The risk management framework and process are customized and proportionate to the organization’s external and internal context related to its objectives.	No specific guidance beyond ISO 31000:2018.

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Table 1 (continued)

	Principle	Description (as given in ISO 31000:2018, Clause 4)	Implications for the development and use of AI
d)	Inclusive	Appropriate and timely involvement of stakeholders enables their knowledge, views and perceptions to be considered. This results in improved awareness and informed risk management.	<p>Because of the potentially far-reaching impacts of AI to stakeholders, it is important that organizations seek dialog with diverse internal and external groups, both to communicate harms and benefits, and to incorporate feedback and awareness into the risk management process.</p> <p>Organizations should also be aware that the use of AI systems can introduce additional stakeholders.</p> <p>The areas in which the knowledge, views and perceptions of stakeholders are of benefit include but are not restricted to:</p> <ul style="list-style-type: none"> — Machine learning (ML) in particular often relies on the set of data appropriate to fulfil its objectives. Stakeholders can help in the identification of risks regarding the data collection, the processing operations, the source and type of data, and the use of the data for particular situations or where the data subjects can be outliers. — The complexity of AI technologies creates challenges related to transparency and explainability of AI systems. The diversity of AI technologies further drives these challenges due to characteristics such as multiple types of data modalities, AI model topologies, and transparency and reporting mechanisms that should be selected per stakeholders' needs. Stakeholders can help to identify the goals and describe the means for enhancing transparency and explainability of AI systems. In certain cases, these goals and means can be generalized across the use case and different stakeholders involved. In other cases, stakeholder segmentation of transparency frameworks and reporting mechanisms can be tailored to relevant personas (e.g. "regulators", "business owners", "model risk evaluators") per the use case. — Using AI systems for automated decision-making can directly affect internal and external stakeholders. Such stakeholders can provide their views and perceptions concerning, for example, where human oversight can be needed. Stakeholders can help in defining fairness criteria and also help to identify what constitutes bias in the working of the AI system.