
**Information technology —
Artificial intelligence — Overview
of trustworthiness in artificial
intelligence**

*Technologies de l'information — Intelligence artificielle — Examen
d'ensemble de la fiabilité en matière d'intelligence artificielle*



This document is a preview generated by ERS



COPYRIGHT PROTECTED DOCUMENT

© ISO/IEC 2020

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Fax: +41 22 749 09 47
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

Contents

Page

Foreword	v
Introduction	vi
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Overview	7
5 Existing frameworks applicable to trustworthiness	7
5.1 Background	7
5.2 Recognition of layers of trust	8
5.3 Application of software and data quality standards	8
5.4 Application of risk management	10
5.5 Hardware-assisted approaches	10
6 Stakeholders	11
6.1 General concepts	11
6.2 Types	12
6.3 Assets	12
6.4 Values	13
7 Recognition of high-level concerns	13
7.1 Responsibility, accountability and governance	13
7.2 Safety	14
8 Vulnerabilities, threats and challenges	14
8.1 General	14
8.2 AI specific security threats	15
8.2.1 General	15
8.2.2 Data poisoning	15
8.2.3 Adversarial attacks	15
8.2.4 Model stealing	16
8.2.5 Hardware-focused threats to confidentiality and integrity	16
8.3 AI specific privacy threats	16
8.3.1 General	16
8.3.2 Data acquisition	16
8.3.3 Data pre-processing and modelling	17
8.3.4 Model query	17
8.4 Bias	17
8.5 Unpredictability	17
8.6 Opaqueness	18
8.7 Challenges related to the specification of AI systems	18
8.8 Challenges related to the implementation of AI systems	19
8.8.1 Data acquisition and preparation	19
8.8.2 Modelling	19
8.8.3 Model updates	21
8.8.4 Software defects	21
8.9 Challenges related to the use of AI systems	21
8.9.1 Human-computer interaction (HCI) factors	21
8.9.2 Misapplication of AI systems that demonstrate realistic human behaviour	22
8.10 System hardware faults	22
9 Mitigation measures	23
9.1 General	23
9.2 Transparency	23
9.3 Explainability	24
9.3.1 General	24

9.3.2	Aims of explanation.....	24
9.3.3	Ex-ante vs ex-post explanation.....	24
9.3.4	Approaches to explainability.....	25
9.3.5	Modes of ex-post explanation.....	25
9.3.6	Levels of explainability.....	26
9.3.7	Evaluation of the explanations.....	27
9.4	Controllability.....	27
9.4.1	General.....	27
9.4.2	Human-in-the-loop control points.....	28
9.5	Strategies for reducing bias.....	28
9.6	Privacy.....	28
9.7	Reliability, resilience and robustness.....	28
9.8	Mitigating system hardware faults.....	29
9.9	Functional safety.....	29
9.10	Testing and evaluation.....	30
9.10.1	General.....	30
9.10.2	Software validation and verification methods.....	30
9.10.3	Robustness considerations.....	32
9.10.4	Privacy-related considerations.....	33
9.10.5	System predictability considerations.....	33
9.11	Use and applicability.....	34
9.11.1	Compliance.....	34
9.11.2	Managing expectations.....	34
9.11.3	Product labelling.....	34
9.11.4	Cognitive science research.....	34
10	Conclusions.....	34
	Annex A (informative) Related work on societal issues.....	36
	Bibliography.....	37

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).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents) or the IEC list of patent declarations received (see <http://patents.iec.ch>).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

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.

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.

Introduction

The goal of this document is to analyse the factors that can impact the trustworthiness of systems providing or using AI, called hereafter artificial intelligence (AI) systems. The document briefly surveys the existing approaches that can support or improve trustworthiness in technical systems and discusses their potential application to AI systems. The document discusses possible approaches to mitigating AI system vulnerabilities that relate to trustworthiness. The document also discusses approaches to improving the trustworthiness of AI systems.

Information technology — Artificial intelligence — Overview of trustworthiness in artificial intelligence

1 Scope

This document surveys topics related to trustworthiness in AI systems, including the following:

- approaches to establish trust in AI systems through transparency, explainability, controllability, etc.;
- engineering pitfalls and typical associated threats and risks to AI systems, along with possible mitigation techniques and methods; and
- approaches to assess and achieve availability, resiliency, reliability, accuracy, safety, security and privacy of AI systems.

The specification of levels of trustworthiness for AI systems is out of the scope of this document.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

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

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

3.1

accountability

property that ensures that the actions of an *entity* (3.16) may be traced uniquely to that entity

[SOURCE: ISO/IEC 2382:2015, 2126250, modified — The Notes to entry have been removed.]

3.2

actor

entity (3.16) that communicates and interacts

[SOURCE: ISO/IEC TR 22417:2017, 3.1]

3.3

algorithm

set of rules for transforming the logical representation of *data* (3.11)

[SOURCE: ISO/IEC 11557:1992, 4.3]

3.4

artificial intelligence

AI

capability of an engineered *system* (3.38) to acquire, process and apply knowledge and skills

Note 1 to entry: Knowledge are facts, *information* (3.20) and skills acquired through experience or education.