

AI Compliance Essentials: Standards and Emerging Regulations

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Speaker



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Main Topics:

- Security Strategy & Architecture
- Information Security Management Systems (ISMS)
- Cybersecurity & Security Operations

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Standards

ISO/IEC

Joint Technical Committee 1: Information Technology Subcommittee 42: Artificial Intelligence

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General Topics	
ISO/IEC 22989:2022 Information technology — Artificial intelligence — Artificial intelligence concepts and terminology	
Risk Management and Governance	
ISO/IEC 42001:2023 Information technology — Artificial intelligence — Management system	ISO/IEC DIS 42005 (Draft) Information technology — Artificial intelligence — AI system impact assessment
ISO/IEC 38507:2022 Information technology — Governance of IT — Governance implications of the use of artificial intelligence by organizations	ISO/IEC 23894:2023 Information technology — Artificial intelligence — Guidance on risk management

NIST AI Risk Management Framework

Advance the safe, secure, and trustworthy development and use of AI.



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NIST AI 100-1: AI RMF 1.0
4 Functions, 19 Categories, 69 Subcategories



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Generative Artificial Intelligence Profile



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NIST AI RMF Playbook

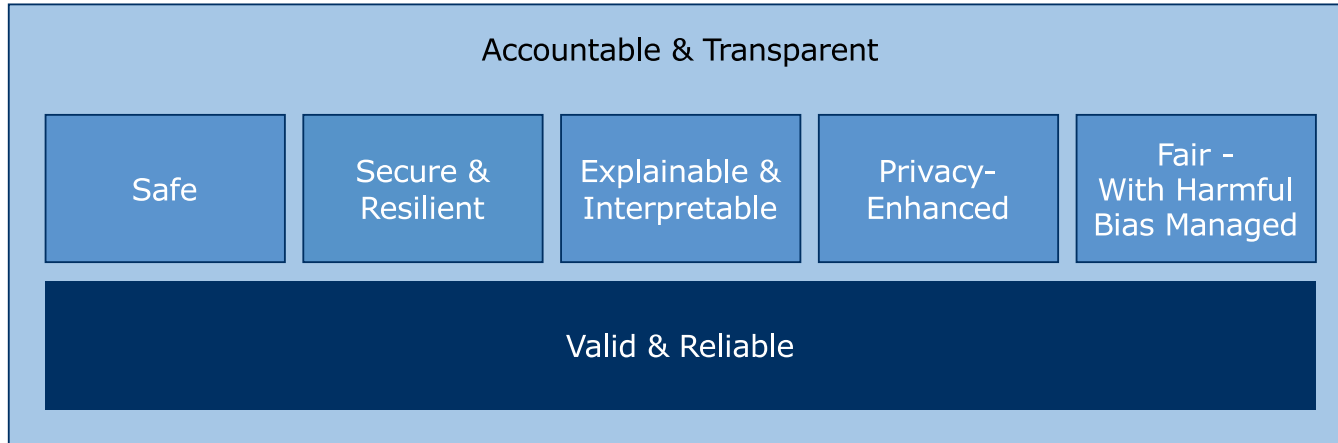
Implementation guidance



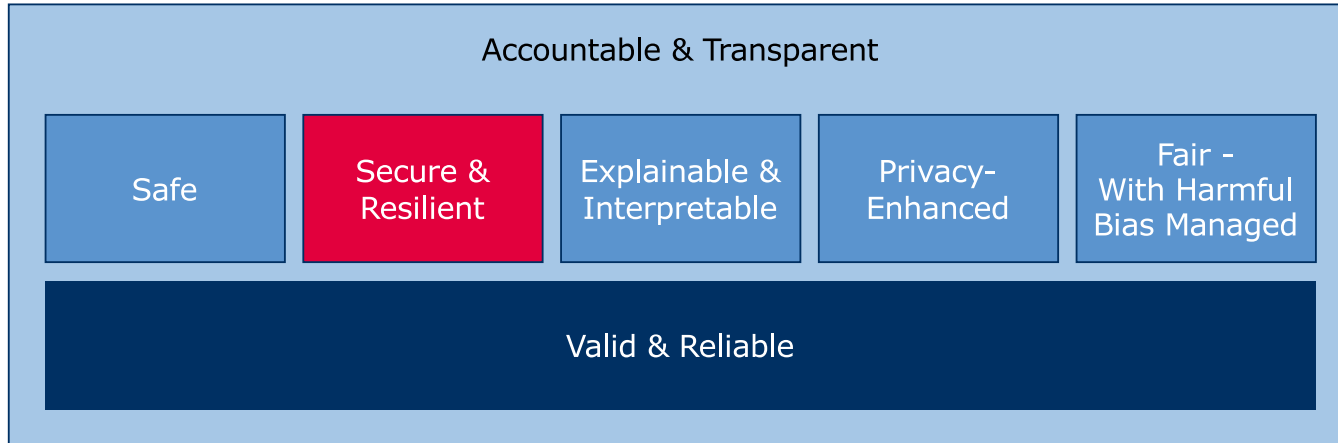


Trustworthy AI

Properties of Trustworthy AI



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Regulations

Focus of the regulators

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Automated Decision Making

Systems that make decisions on behalf of humans.

- Screening resumes
- Determining eligibility for credit
- Making parole decisions
- Predictive policing
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- User behavior analysis

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Manipulative or Deceptive Use

Systems to manipulate or deceive humans or systems.

- Deep fakes
- Voice cloning
- Fake social media accounts
- Systems that impersonate humans

EU AI Act

Chapter II: Prohibited AI Practices

- Exploiting, discriminating, manipulating, or deceiving people
- Non-targeted use of biometric recognition technology
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Chapter III: High-Risk AI System

- A list of high-risk applications is provided
 - Biometrics, safety, gatekeepers, law enforcement, justice, and democracy
- Third-party conformity assessment must be performed
- A risk management system must be in place
- Article 15: Accuracy, Robustness and Cybersecurity

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- Focus on:
 - Human dignity and individual autonomy
 - Equality and non-discrimination
 - Respect for privacy and personal data protection
 - Transparency and oversight
 - Accountability and responsibility
 - Reliability
 - Safe innovation

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- Currently preparing an overview of possible regulatory approaches to AI

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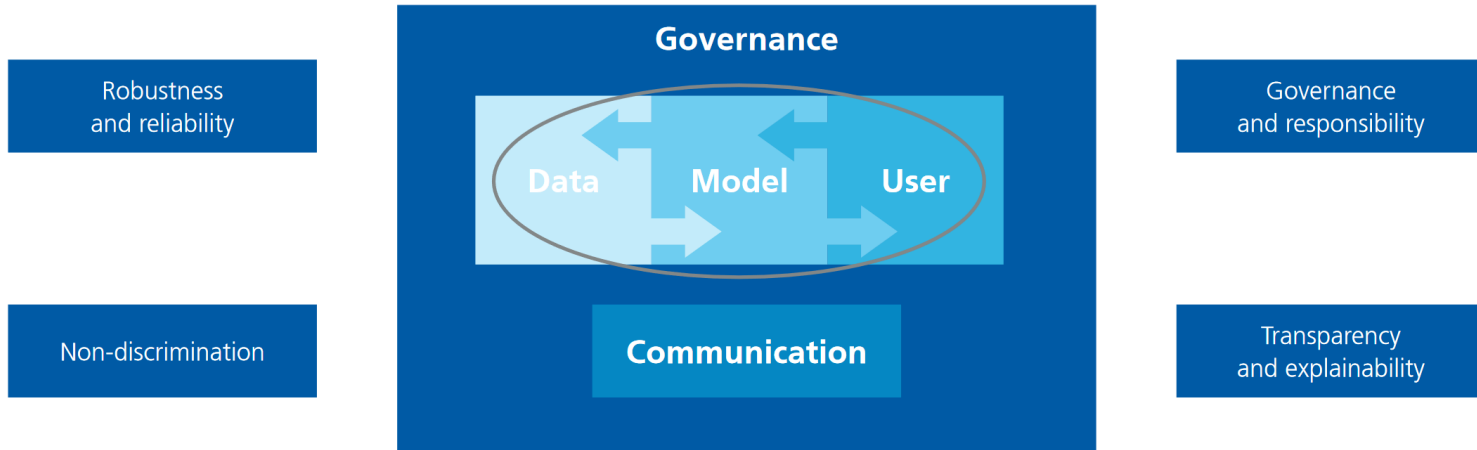
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 - Leave regulation to sector-specific regulators

FINMA

FINMA's supervisory expectations in connection with AI





Conclusion

