## Working Party on Regulatory Cooperation and Standardization Policies (WP.6)

**Group of Experts on Risk Management in Regulatory Systems (GRM)**

**14 September 2023, 11:00 CET**

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<th>Item</th>
<th>Subject</th>
<th>Discussion / Action</th>
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| 1a   | Roll call | **GRM leadership:** Alexia Davison (Chair), Valentin Nikonov (Vice-Chair)  
**Secretariat:** Lance Thompson  
**Members:** Jan Stappers, Lucy Salt, Markus Krebsz, Paul Taylor, Peter Morfee, Philip Kelly, Roland Cormier, Simon Webb, Victoria Vlasova  
**Observers:** Aida Nanui, Andrei Batayeu, Jamila Mendoza, Jean-Pierre Benoit, Kevin Atkinson, Lee Howell  
18 participants (5 were women)  
**Apologies:** Donald Macrae (Vice-Chair) |
| 1b   | Approval of Agenda | Agenda approved without objections |
| 2a   | 33rd Annual Session update | A brief update was provided on the 33rd WP.6 annual session. The new WP.6 Bureau was elected and features three new vice-chairs. The presentation of the work of GRM went well and there were no objections. The mission of the UK provided positive feedback on the work.  
During the 33rd session, the Programme of Work for 2024 was approved and the working practices documents were noted.  
The conference on “How to target continuous compliance” was very interesting; all of the presentations are available on the event webpage. The presentation on risk management in this context was repeated below.  
This event also marked the launch of the new publication *The Basics of Quality Infrastructure for Trade.* |
| 2b   | Skills Matrix | 23 responses from participants in the GRM to the skills matrix questionnaire. There are some active members who have not yet completed the survey. The initial results demonstrate that there is broad and deep knowledge available within the group. This shows the abilities available in view of the planned projects.  
Next steps: it would be good to have the remaining GRM members respond.  
☞ Secretariat to send out a targeted email to the remaining GRM members to request that they respond to the survey  
The graphs of the responses show that there are good expertise, a good distribution of types of organizations and a good spread of potential expertise for most of the work we might want to advance.  
A question was raised on the available resources for the project on life under water as there was not much expertise available there.  
A question was raised on gender considerations. It was suggested that this is perhaps not the objective of this survey; here we are only looking at expertise of the members. We will know the gender balance based on the responses (which are not anonymous).  
A question was raised on how long this questionnaire should stay open.  
☞ For this exercise, we will aim to close it before the next meeting (if there is a critical mass of responses).  
☞ It could be good to request all new members to respond to this questionnaire when joining the GRM.  
☞ Secretariat to send questionnaire link to all new requests to join the GRM.  
☞ Paul will do a more in depth analysis of the responses once we have a critical mass of responses. |
| 3a | Project: IRM+SW | Valentin (project leader) provided a brief update on the project on “Integrated risk management in single window systems”. The aim of the project is to develop a white paper guidance on IRM + SW based on WP.6 Rec. V and UN/CEFACT Rec 33. The questionnaire has been developed and circulated. This questionnaire covers the majority of elements under Rec V. One of the key questions is about the legal framework which allows information to be shared. It might be a difficult survey for experts to respond; Valentin remains available to help implementors to respond. We are first approaching SW operators and then will look at other regulatory agencies. Hoping for a good number of responses within the next three months in order to move it forward during the Forum. Experts on the call were asked to identify pertinent respondents and communicate these to the secretariat. Ideally we want SW operators. But if there is no SW, then we could look at elements of risk mgmt. that exist elsewhere. A question was raised if this was in scope of the current project.  
⇒ Valentin to speak with Aida off-line about the infrastructures that exist in the Balkans to enable cooperation between agencies in relation to risk management. |
| 3b | Rec. P survey | There are no respondents to this questionnaire yet. There was a suggestion to look at the UN Disaster Risk Reduction work.  
⇒ Simon will contact Lance with some ideas on who / where to circulate.  
⇒ Lance to send some targeted emails (perhaps with the IRM+SW questionnaire) |
| 3c | Risk of products with embedded digital technologies | Valentin shared the presentation he made at the 33rd session conference which highlighted that the base principles of Recommendation R on Managing Risk in Regulatory Frameworks, namely that (i) all functions of risk management process should be consistently described in legislation and that (ii) regulatory authorities should establish an acceptable level of risk within a regulatory framework, are applied in emerging regulatory frameworks for AI systems and products with embedded software. He stressed that some regulations today place the responsibility on providers to mitigate risks and ensure that the residual risk of an AI system as acceptable, and thus determine what is a compliant product. He also reminded the base principles of Recommendation S on Applying Predictive Risk Management Tools for Targeted Market Surveillance which describes a non-compliance risk of any product as a combination of the probability that a certain product will be non-compliant with regulations and the consequences of non-compliance. As he pointed out, an AI system is a black box in which the functionality is partly or totally unknown, and it is impossible to look inside to check how it works; therefore, assessment of the residual risk will be key in conformity assessment of these products and in ensuring their compliance. He concluded that WP.6 can serve as a platform for regulatory cooperation in building conformity assessment frameworks for such products and develop methodologies for evaluating the residual risk.  
A question was raised on the foreseeable misuse of the technology in the products. This was mentioned within the presentation but may usefully be brought more to the surface. |
| 5a | Update from ISO TC 262 | The ISO TC 262 Plenary was held 3 to 5 October as a virtual meeting. Valentin and Lance were present. The new chair of ISO TC 262 seems keen to collaborate with us more. Results from this meeting included:  
• TC will revise ISO 31000. There is some debate on what this standard should look like.  
• Standard on emerging risk going through final editing at CS (31050),  
• Vocabulary 31073 continues to advance its work |
| 9a | The Forum of WP.6 subgroups is planned for 2 to 5 April 2024. The meetings of GRM would be  
• Tuesday 2 April 09:00-12:00 = working meeting (probably hybrid)  
• Tuesday 2 April 14:00-18:00 = conference (in person only – for sure)  
• Wednesday 3 April 09:00-12:00 = working meeting (probably in person only)  
A social dinner with all subgroups would be planned on Wednesday evening. The other groups would meet with a similar timing and experts are encouraged to join: |
- Team of Specialists on Gender-Responsive Standards: 3 to 4 April
- Advisory Group on Market Surveillance: 4 to 5 April
- START group (one day only, no morning session the next day): 5 April
- Education on Standardization initiative (one day, no conference): 2 April

(Each day: morning two parallel working meetings, afternoon one conference)
More information will be made available soon.

Experts were asked if they had any ideas on possible conference themes for 3 April PM.
- Perhaps sharing best practices
- Perhaps on circular economy and AI
Experts are welcome to provide ideas up until 8 December. (will try to have the conference themes finalized by 15 December)

It was underlined that given many would be present physically, we should perhaps have an in-depth conversation on specific topics within our PoW (perhaps on the Wednesday morning).

Secretariat will plan for Tuesday a 50 persons room (with hybrid) and for Wed. to try to have a similarly sized room or a smaller room for 16 persons with hybrid.

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<td>The secretariat suggested that it might be good to prepare a publication similar to <em>The Basics of Quality Infrastructure for Trade</em>, but on the theme of “basics of risk management in regulatory systems.” The idea was generally well received.</td>
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<td>⇨ Lance will be in contact with the members for further input.</td>
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<th>Next meetings:</th>
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<td>2-3 April = Annual meeting of GRM</td>
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<td>15 Feb., 13 June, 12 Sept. and 14 Nov. 2024 = regular meetings of GRM (11:00-12:30 Geneva-time)</td>
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