Research Security & Risk Management

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NIST NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY
U.S. DEPARTMENT OF COMMERCE

Artificial Intelligence Risk Management Framework (AI RMF 1.0)

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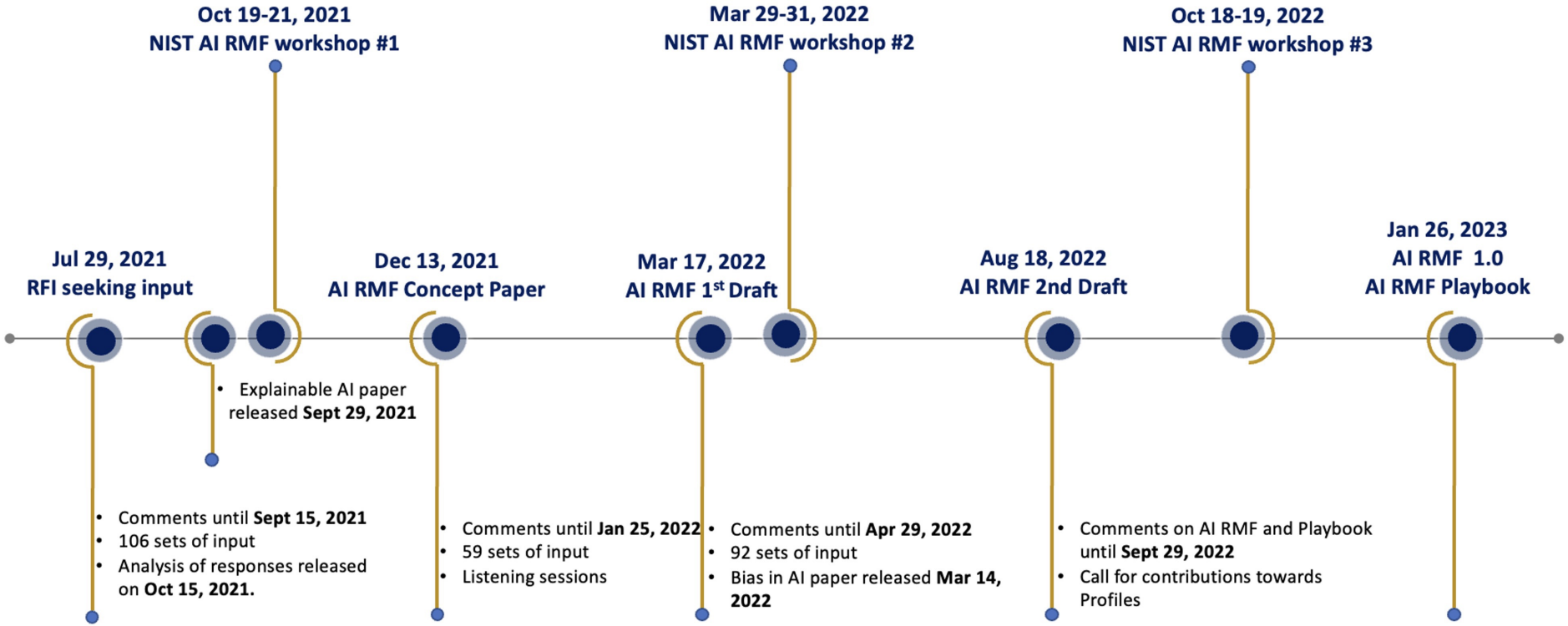
WHAT IS THE AI RMF?

Voluntary resource for organizations designing, developing, deploying, or using AI systems to manage AI risks and promote trustworthy and responsible AI

- **Rights-preserving**
- **Flexibly Applied**
- **Measurable**

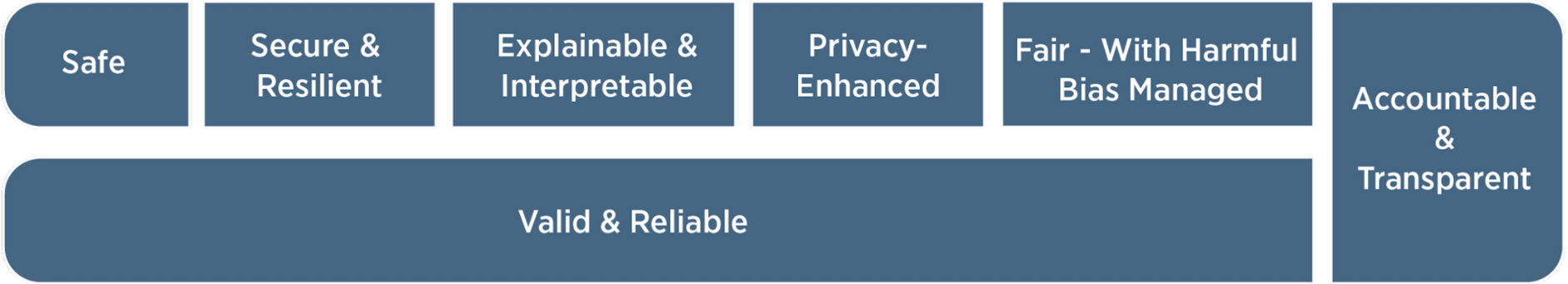
THE PATH TO AI RMF 1.0



KEY TERMINOLOGY

- **AI systems:** engineered or machine-based system that **generates outputs such as predictions, recommendations, or decisions** influencing real or virtual environments and operating with varying levels of autonomy.
- **Risk:** composite measure of an event's probability of occurring and the magnitude or degree of the consequences of the corresponding event. The impacts, or consequences, of AI systems can be **positive, negative, or both and can result in opportunities or threats**.

AI RISKS AND TRUSTWORTHINESS



AI RISK MANAGEMENT

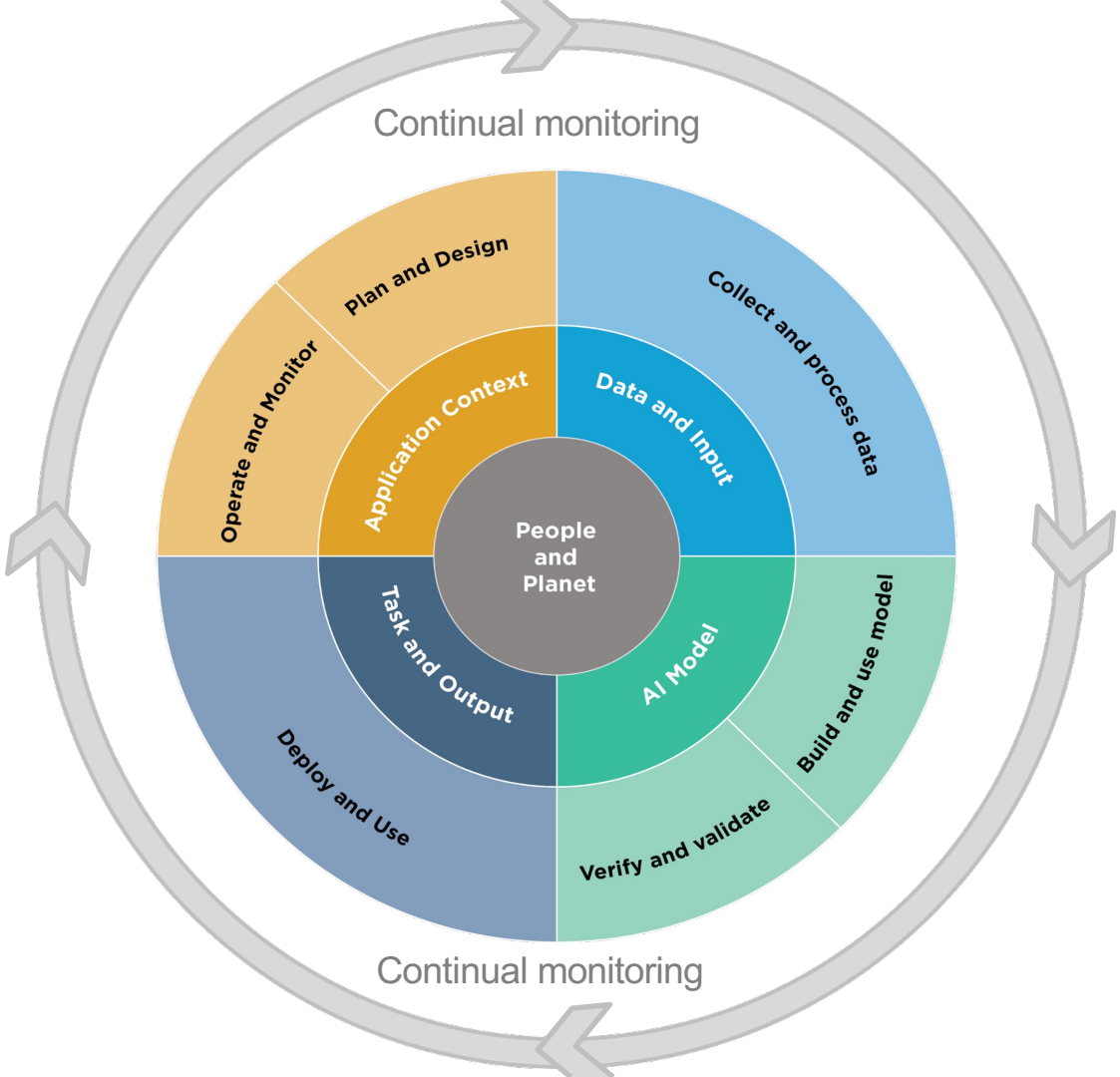
Risk measurement

Risk tolerance

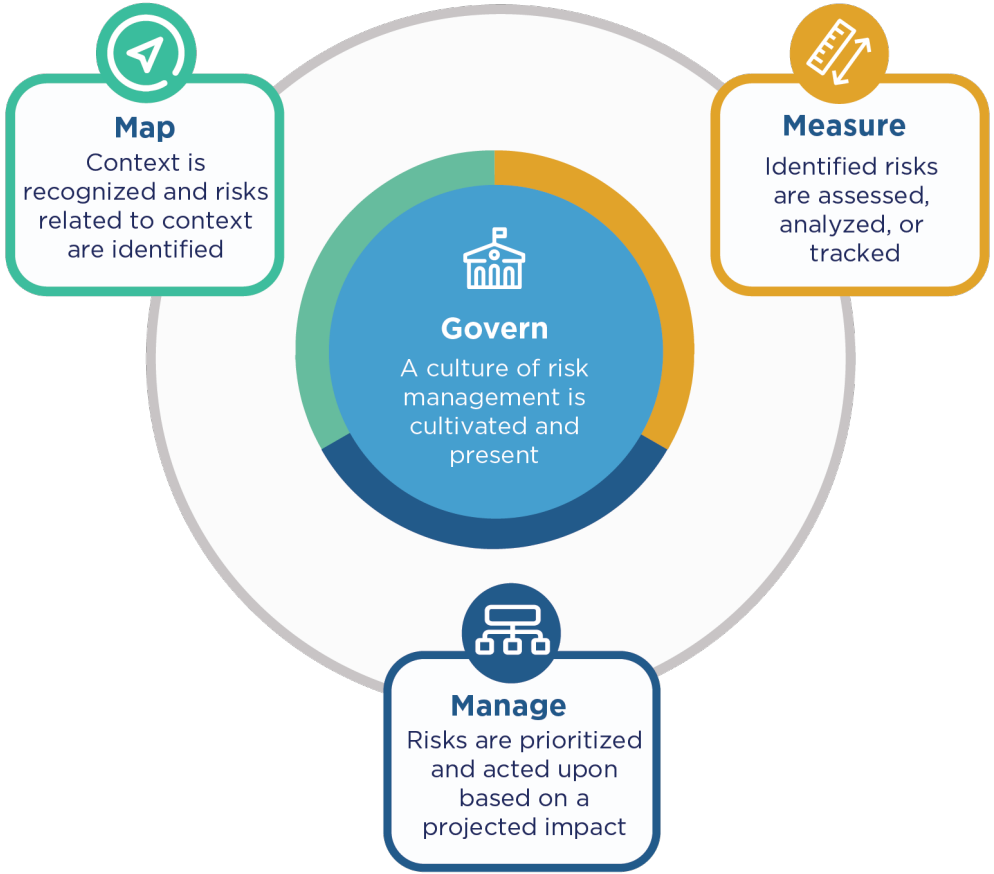
Risk prioritization

Risk integration & management

AUDIENCE: AI LIFECYCLE AND AI ACTORS



AI RMF CORE


Map
Context is recognized and risks related to context are identified
Measure
Identified risks are assessed, analyzed, or tracked
Govern
A culture of risk management is cultivated and present
Manage
Risks are prioritized and acted upon based on a projected impact

NIST AI RMF Playbook

The Playbook provides suggested actions for achieving the outcomes laid out in the AI Risk Management Framework (AI RMF) Core (Tables 1 – 4 in AI RMF 1.0). Suggestions are aligned to each sub-category within the four AI RMF functions (Govern, Map, Measure, Manage).

The Playbook is neither a checklist nor set of steps to be followed in its entirety.

Playbook suggestions are voluntary. Organizations may utilize this information by borrowing as many – or as few – suggestions as apply to their industry use case or interests.

Govern | Map | Measure | Manage

Download the NIST AI RMF Playbook

Playbook PDF | Playbook CSV | Playbook Excel | Playbook JSON

AI RMF PROFILES

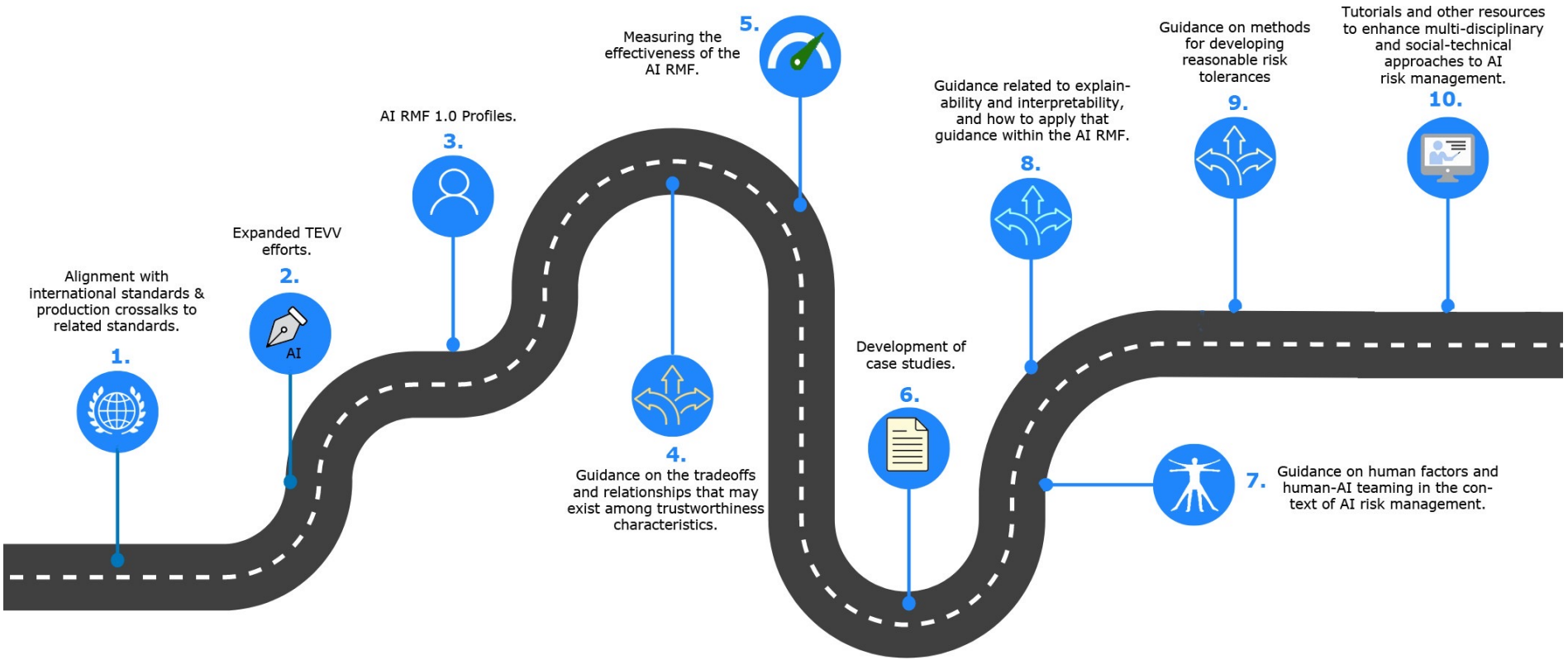
Implementations of the AI RMF functions, categories, and subcategories for a specific setting or application based on the requirements, risk tolerance, and resources of the Framework user.

Use-case profiles; e.g., hiring or fair housing

Temporal profiles; e.g., current state vs. the target state

Cross-sectoral profiles; e.g., large language models, cloud-based services or acquisition

What's next?


1.
Alignment with international standards & production crossalks to related standards.
2.
Expanded TEVV efforts.
AI
3.
AI RMF 1.0 Profiles.
4.
Guidance on the tradeoffs and relationships that may exist among trustworthiness characteristics.
5.
Measuring the effectiveness of the AI RMF.
6.
Development of case studies.
7.
Guidance on human factors and human-AI teaming in the context of AI risk management.
8.
Guidance related to explainability and interpretability, and how to apply that guidance within the AI RMF.
9.
Guidance on methods for developing reasonable risk tolerances
10.
Tutorials and other resources to enhance multi-disciplinary and social-technical approaches to AI risk management.

NIST TRUSTWORTHY AND RESPONSIBLE AI RESOURCE CENTER

https://airc.nist.gov/

AI RMF PLAYBOOK

AI RMF PROFILES

AI RISK GLOSSARY

AI STANDARDS TRACKER

AI METRICS HUB

…AND MORE

FOR MORE INFORMATION…

www.nist.gov/itl/ai-risk-management-framework

https://airc.nist.gov/

AIframework@nist.gov

Federal AI Landscape

Moderator: Mojdeh Bahar
Associate Director for Innovation & Industry Services, NIST

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Edwina Manyeh
Tech Hubs Deputy Director
U.S. Economic Development Administration

Dr. Bruce Kramer
Program Director
National Science Foundation

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U.S. DEPARTMENT OF COMMERCE

AI Innovation Lab

Elham Tabassi, Chief AI Advisor

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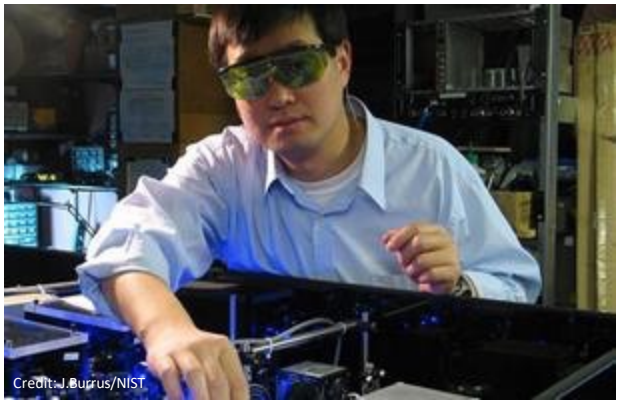
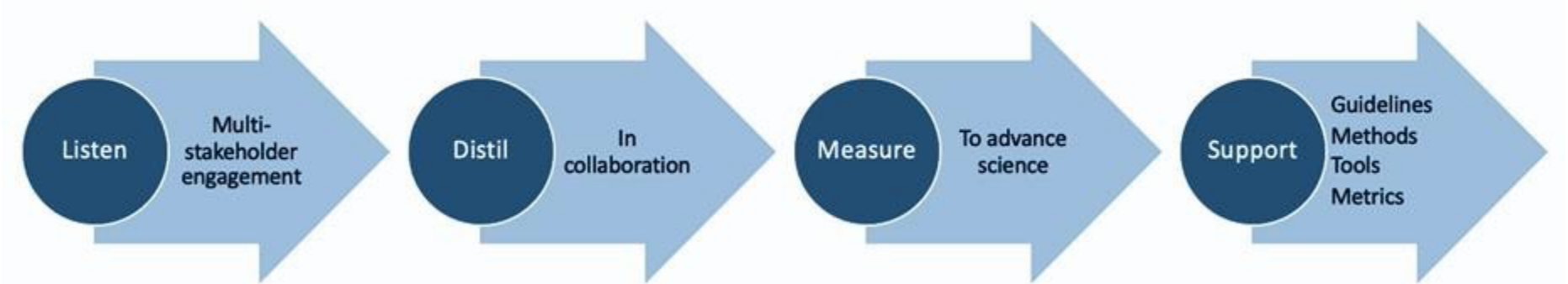
NIST's Mission

To promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life

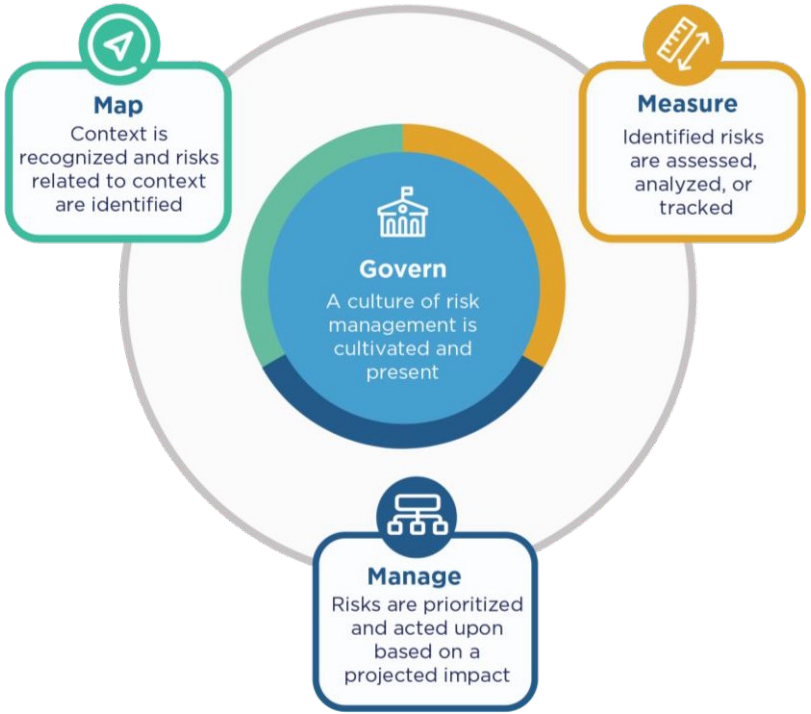


NIST helps industry develop valid, scientifically rigorous methods, metrics and standards.

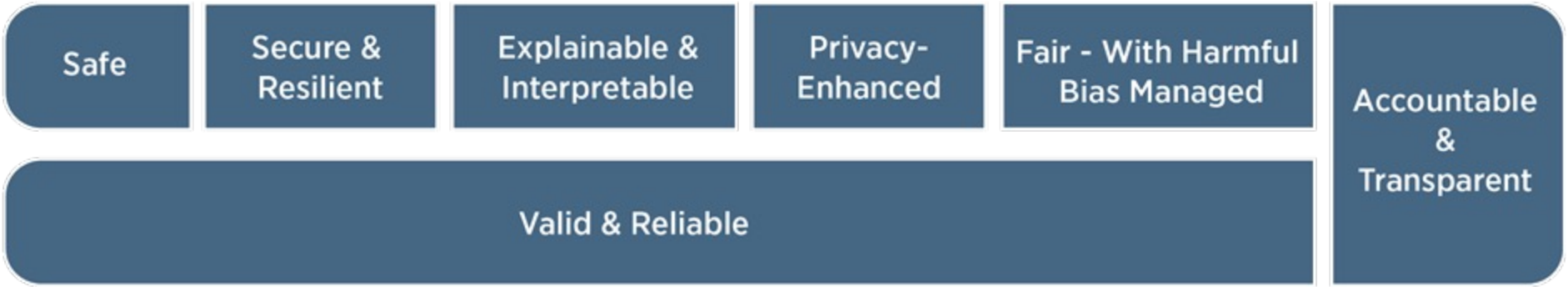


NIST AI Risk Management Framework and Resources

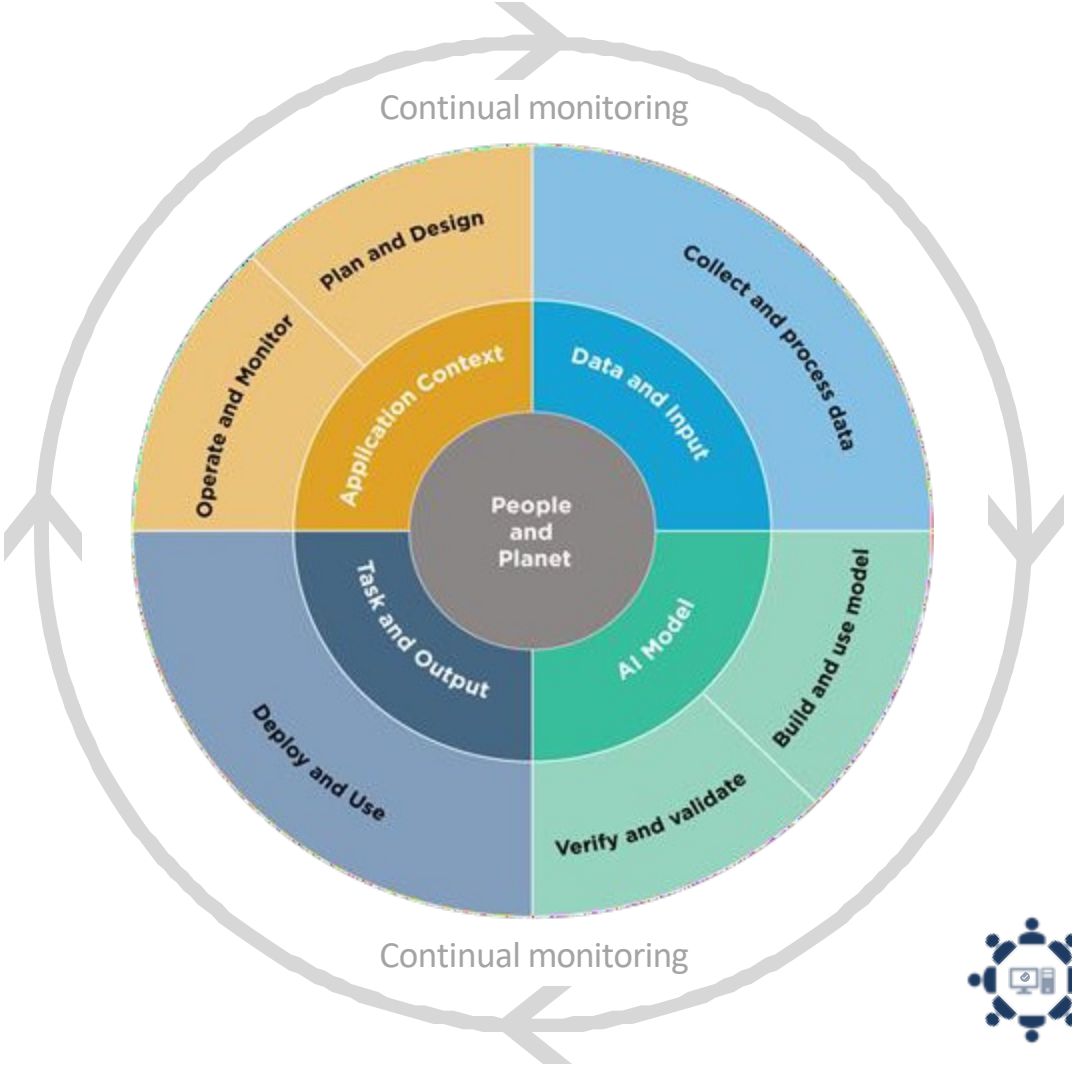
NIST AI RMF: A voluntary resource for organizations designing, developing, deploying, or using AI systems to manage AI risks and promote trustworthy and responsible AI



AI system trustworthiness can be defined in terms of well-understood characteristics.



Beyond the system, a culture of responsible practice and use must pervade activities across the entire AI lifecycle.



Major Achievements and Announcements Since 2023

Jan 2023
AI RMF 1.0

March 2023
Trustworthy AI
Resource Center

June 2023
Generative AI
Public Working
Group

October
2023
EO 14110

November 2023
VPOTUS announced
US AI Safety Institute
+ NIST workshop
+ Crosswalk AI RMF
<> Singapore AI Verify

December
2023
RFI published

February 2024
RFI closed.

February 2024
US AISI
Consortium
members
announced

April 2024
Drafts for public
comment: GAI
profile, SSDF
companion,
Synthetic content,
Global engagement
plan for AI
standards + GenAI
Challenge

April 2024
Crosswalk AI
RMF <> Japan's
AI Governance

May 2024
ARIA
announced

June 2024
Comment
period
closed

July 2024
Dioptra +
AI RMF
profile:
Inclusive
Hiring

NIST Due Dates Under Executive Order 14110

June 26, 2024

- Submit report on synthetic content authentication to OMB and NSC

July 26, 2024

- Publish AI RMF for GAI
- Publish Secure Software Framework for GAI and dual-use models

- Launch initiative to create guidance/benchmarks for evaluating and auditing AI capabilities
- Provide test environments
- Publish red-teaming guidelines
- Initiate engagement with industry and relevant synthetic nucleic acid sequence providers
- Publish synthetic content authentication report
- Publish a plan for global engagement on promoting and developing AI standards

October 29, 2024

- Publish guidelines on the efficacy of differential-privacy-guarantee protections

December 24, 2024

- Publish guidance for synthetic content authentication

January 26, 2025

- Submit a report to the President on priority actions taken pursuant to the Global engagement on standards plan

Artificial Intelligence Safety Institute Consortium (AISIC)

AISIC brings more than 280 leading AI stakeholders together to develop science-based and empirically backed guidelines and standards for AI measurement and policy, laying the foundation for AI safety across the world.

AISIC working groups sustain, scale, and implement E.O. elements

- Risk Management for Generative AI
- Synthetic Content
- Capability Evaluations
- Red-Teaming
- Safety & Security

ARIA

Assessing Risks and Impacts of AI

A compelling set of scenarios will aim to explore risks and related impacts across three levels of testing: model testing, red-teaming, and field testing.

Team: **Reva Schwartz (Lead)**

Jonathan Fiscus, Kristen K. Greene, Craig Greenberg, Afzal Godil, Kyra Yee, Razvan Amironesei, Theodore Jensen (Feds)

Rumman Chowdhury (associate), Gabriella Waters (PREP), Patrick Hall (associate), Shomik Jain (pathway),

GenAI

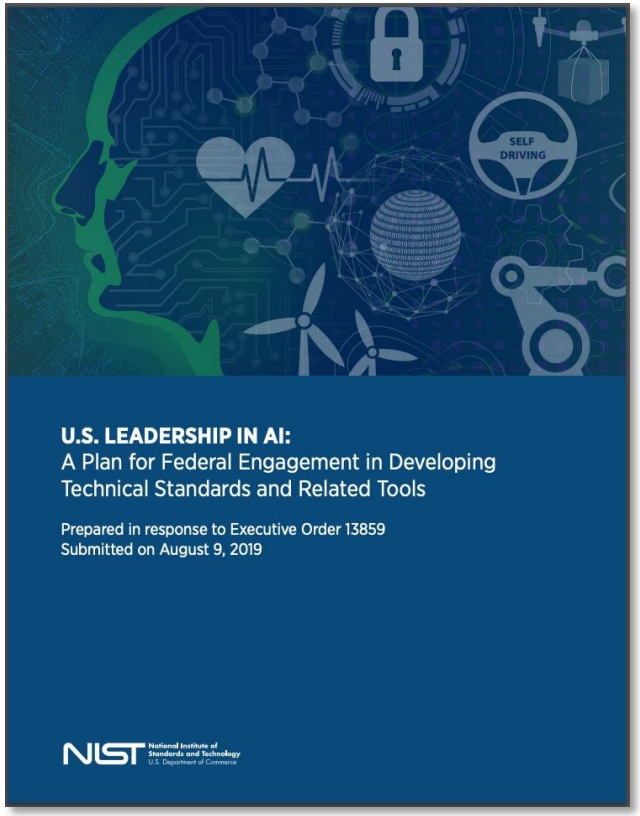
Home Co

Evaluating Generative AI Technologies

A NIST evaluation program to support research in Generative AI technologies.

Team: **Yooyoung Lee (Lead)**
George Awad, Kay Peterson, Peter Fontana (Feds)
Lowen DiPaula (pathway student),
Seungmin Seo (associate)

USG AI Standards Coordinator

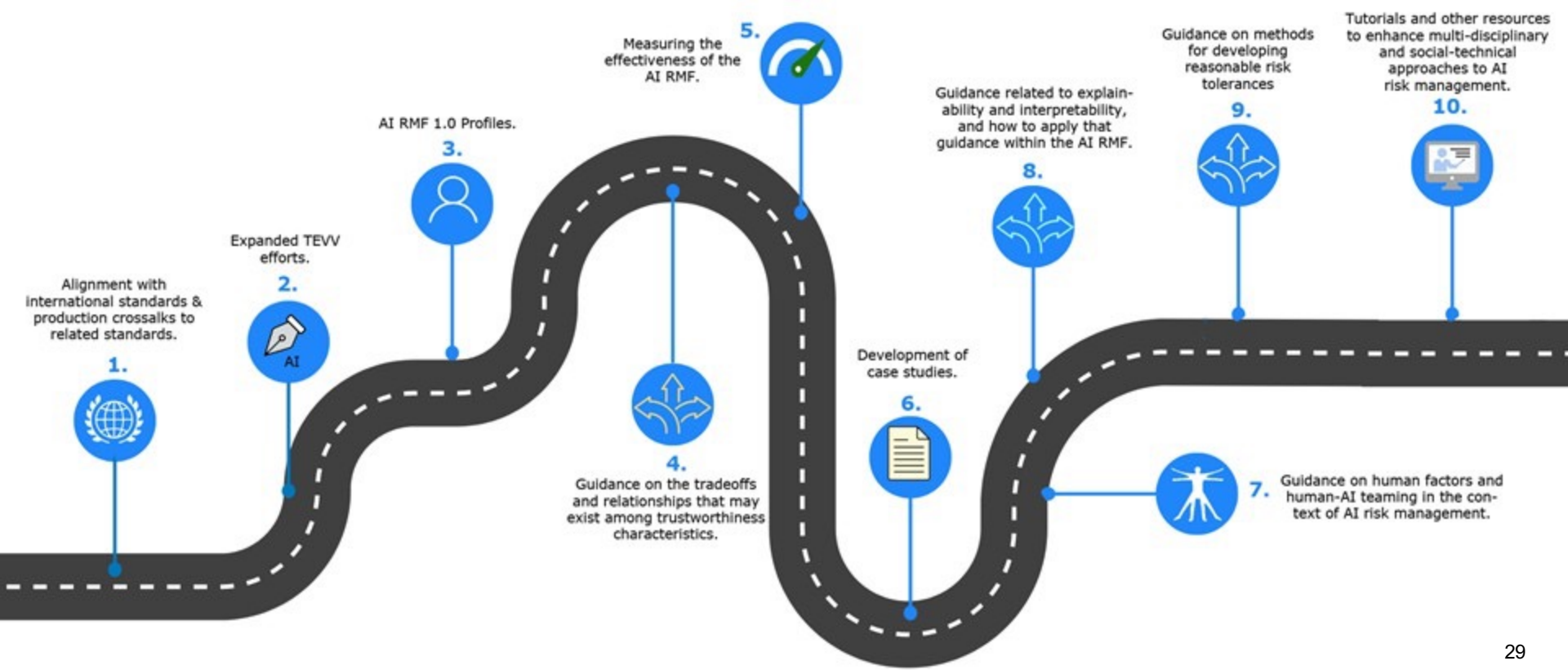


NIST works across government and with industry to identify critical standards development activities, strategies, and gaps

NIST is coordinating in part through the Interagency Committee on Standards Policy (ICSP) AI Standards Coordination Working Group

Global Engagements

A roadmap of future work was released along with the AI RMF in January.



NATIONAL ARTIFICIAL INTELLIGENCE ADVISORY COMMITTEE (NAIAC)

The National Artificial Intelligence Advisory Committee (NAIAC) advises the President and the White House on the intersection of AI and innovation, competition, societal issues, the economy, law, international relations, and other critical areas.

Since first convening in May 2022

- 70+ experts interviewed across 26 public sessions
- 18 Recommendation reports/memos
- 6 Findings, including explainer documents and FAQs
- 2 Committee Statements
- 2 Annual Reports

The Executive Order on the Safe, Secure, and Trustworthy Development and Use of Artificial Intelligence operationalized many of NAIAC's recommendations.

WHAT'S AHEAD

NAIAC will continue to offer recommendations and insights as a committee, in public stakeholder panels and in the activity across five working groups:

AI Education & Awareness
International Collaboration
AI Futures – Preparedness, Opportunities, and Competitiveness
Safety, Trust, and Rights
AI in Work and the Workforce

Additionally, the NAIAC Subcommittee on AI and Law Enforcement has introduced three distinct working groups:

Performance, Evaluation and Bias; Processes; Identification and Surveillance Set

Click, Connect, Collaborate!

www.nist.gov/itl/ai-risk-management-framework

airc.nist.gov

ai-challenges.nist.gov

ai.gov/naiac

AIFramework@nist.gov
ai-inquiries@nist.gov

National Science Foundation AI Initiatives

NIST AI for Resilient Manufacturing USA Institute Proposers Day

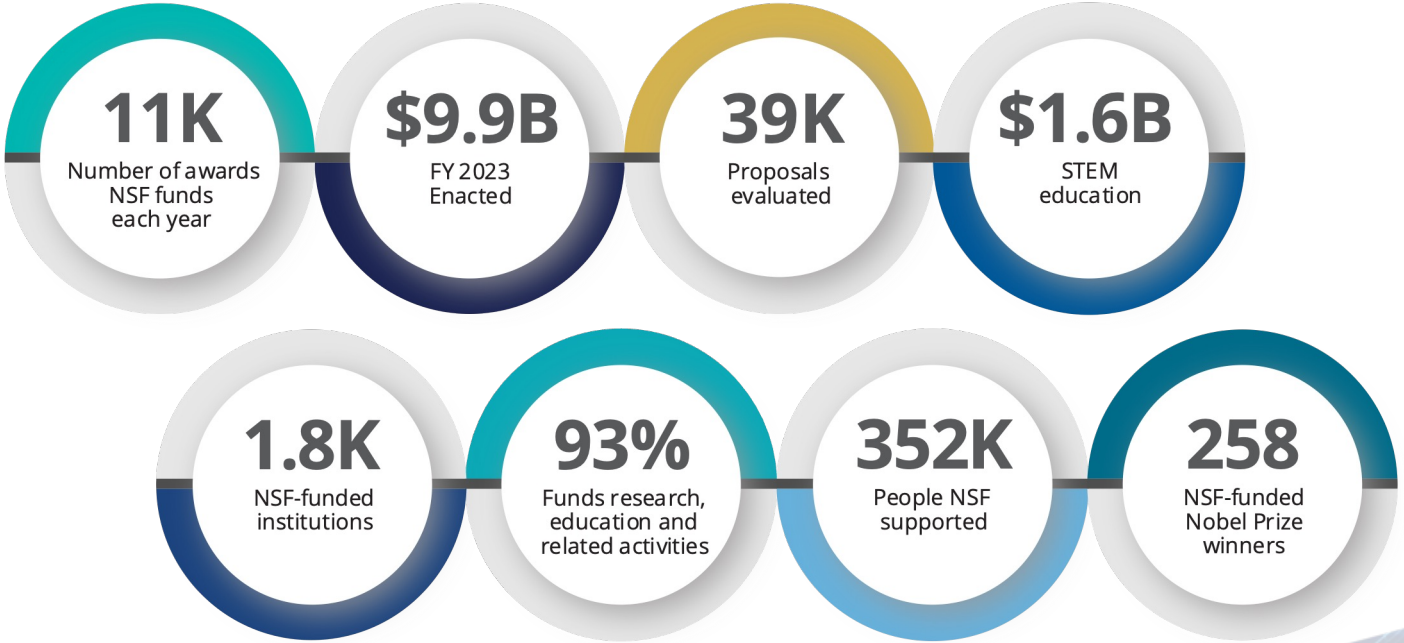
Gaithersburg, Maryland

August 20, 2024

Bruce Kramer

Senior Advisor, ENG/CMMI

NSF Vision: A nation that leads the world in science and engineering innovation, to the benefit of all, without barriers to participation



Leveraging NSF Programs

- **NSF 24-014** – DCL: Advancing Fundamental Research and Education in Advanced Manufacturing with the Objectives of the Manufacturing USA Institutes. $35M since 2017.
- **NSF 24-525**: Future Manufacturing, $100M+ since 2020.
- **NSF 21-598**: Advanced Technological Education (ATE) Program – world class technician education. National Applied Artificial Intelligence Consortium (NAAIC), Miami Dade College, $2.8M, August 2024.
- **NSF 21-013**: INTERN Program – Graduate-level internships in your Institute or member companies.

The National Artificial Intelligence Research Resource (NAIRR)

- Aims to implement a shared national research infrastructure for responsible discovery and innovation in AI, https://nairrpilot.org/ .
  - Presidential Executive Order 14110 on Safe, Secure and Trustworthy Development and Use of AI, October 2023.
  - Spur Innovation, Increase Diversity of Talent, Improve Capacity, and Advance Trustworthy AI.
  - 13 Agencies + 25 companies including Amazon, AMD, Google, HP, IBM, Intel, Meta, Microsoft, NVIDIA, OpenAI, and Palantir.

National AI Research Institutes, NSF 23-610.

- $20M (~4M/year) over 5 years
- Foundational and use-inspired AI research
- Innovation in AI education and workforce development
- New partnership development

AI Institutes and Funding Partners

NSF, USDA, DHS, NIST, DOE, IES, Simons Foundation, Google, amazon, intel, accenture, IBM, Capital One

A network of networks

AIVO
AI Institutes Virtual Organization

Facilitator and Resource Center

- Directory of Institute contacts
- Advice on partnership inquiries

Learn more about AI Institutes at https://aiinstitutes.org

25 Active Institutes

- 2020: First cohort of Institutes (5 NSF, 2 USDA/NIFA)
- 2021: Second cohort of Institutes (9 NSF, 2 USDA/NIFA)
- 2023: Third cohort of Institutes (6 NSF, 1 USAD/NIFA)

AIVO: https://aiinstitutes.org
Link to all awards: NSF Award Search

NSF-led National AI Research Institutes Program

$140M
2020

7 Institutes

3 Funding Partners

DHS, USDA/NIFA

Tracks

- Trustworthy AI
- Foundations of Machine Learning
- AI-Driven Innovation in Agriculture and the Food System
- AI-Augmented Learning
- AI for Accelerating Molecular Synthesis and Manufacturing
- AI for Discovery in Physics

$220M
2021

11 Institutes

5 Funding Partners

DHS, USDA/NIFA, Accenture, Amazon, Google, Intel

Tracks

- Human-AI Interaction and Collaboration
- AI for Advances in Optimization
- AI and Advanced Cyberinfrastructure
- AI in Computer and Network Systems
- AI in Dynamic Systems
- AI-Augmented Learning
- AI-Driven Innovation in Agriculture and the Food System

$140M
2023

7 Institutes

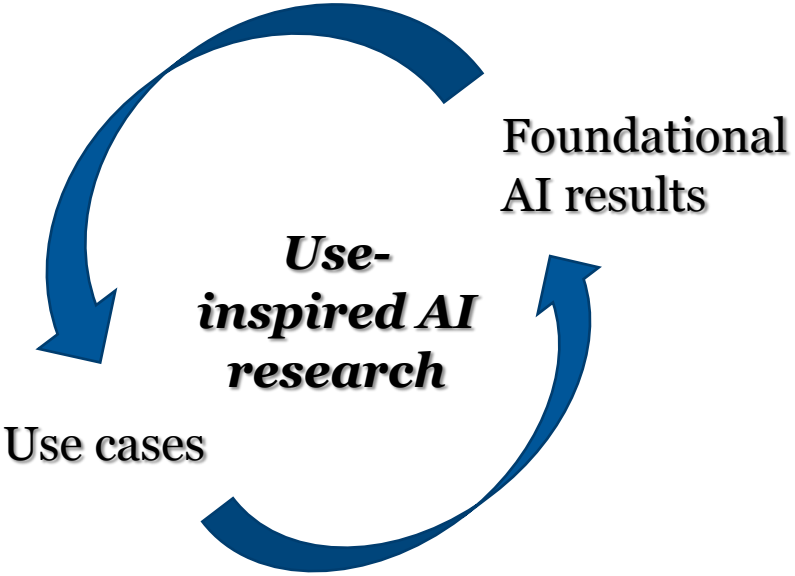
5 Funding Partners

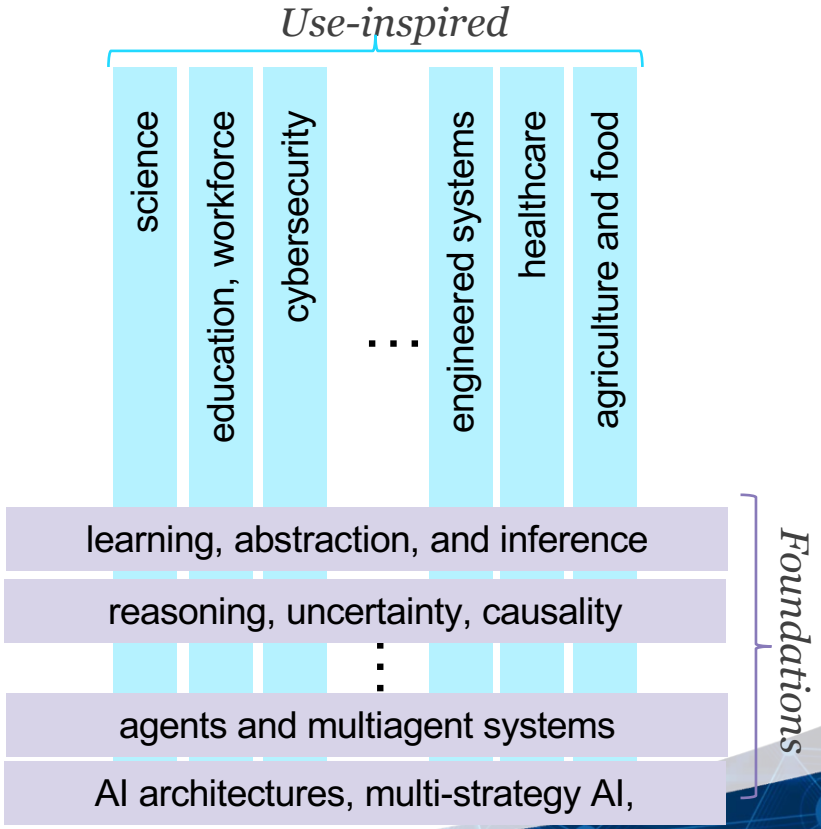
DHS, DOD, Education, NIST, USDA/NIFA, IBM

Tracks

- Intelligent Agents for Next-Generation Cybersecurity
- Neural and Cognitive Foundations of Artificial Intelligence.
- Climate Smart Agriculture and Forestry
- AI for Decision Making
- Trustworthy AI
- AI-Augmented Learning to Expand Education Opportunities and Improve Outcomes

Foundational and Use-Inspired AI Research





Trustworthy AI for Supply Chains

AI Institute for Advances in Optimization

challenges

- lack of downward/upward visibility
- volatility of just-in-time systems
- environmental impact of e-commerce
- lack of synchronization with manufacturing
- disparate service levels

new realities and expectations demand a new vision

Resilience

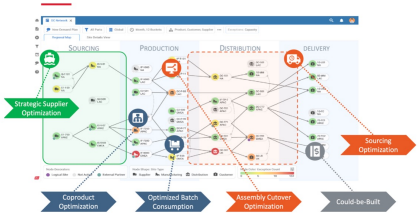
Sustainability

Equity

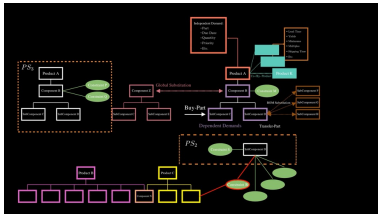
a new vision

- end-to-end modeling and optimization
- managing risk and volatility
- integrating supply chains and manufacturing
- eliminating waste through reverse supply chains
- designing fair supply chains

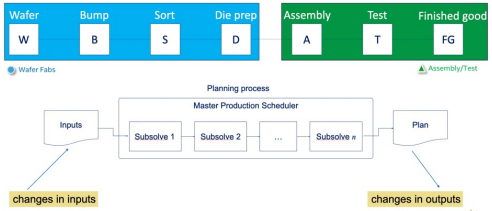
modeling methodology



end-to-end optimization

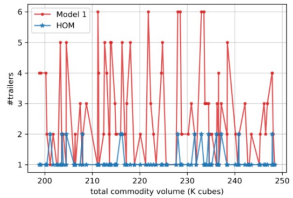


at scale

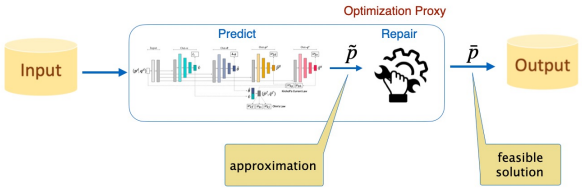


with real-time risk assessment

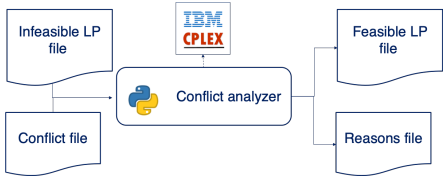
enabling technologies



downstream/upstream forecasting



real-time optimization by fusing AI and OR



explanations for planners/operators

intel KINAXIS BEST BUY UNION PACIFIC ups Ryder Ever better.

NSF

What to do

- NSF Award Search: find university-based partners, https://www.nsf.gov/awardsearch/ .
- Create a formal protocol for working with colleges and universities.
  - NSF 23-054 - DCL: Research on Integrated Photonics Utilizing AIM Photonics Capabilities is a good model.
- Propose a National Artificial Intelligence Research Institute, NSF 23-610.

Your University Members Know NSF's Programs!


NSF

TECH HUBS
U.S. Economic Development Administration

Tech Hubs Program Overview

Edwina Manyeh
Tech Hubs Deputy Director

August 20, 2024

Tech Hubs Vision

The Tech Hubs Program aims to **strengthen U.S. economic and national security** by investing in geographically diverse regions across the country with the potential to become globally competitive in the next decade to ensure the **technologies, industries, and jobs of the future start, grow, and remain in the United States.**

Tech Hubs Funding

	LEGISLATION	FUNDING	
Authorization	CHIPS and Science Act	$10 billion	
Appropriations	FY 2023 Omnibus	$500 million	**$541 million** appropriated
	FY 2024 Consolidated Appropriations Act	$41 million	

What is a Tech Hub?

- ***Tech Hubs Designation is an endorsement of a Tech Hub's plans to supercharge its technology industry, create jobs, and strengthen U.S. economic and national security.***

Regional Ecosystem

Core Technology Area

Commercial Leadership Potential

Investing in Tomorrow

The U.S. government has vetted Tech Hubs' project portfolios and endorses Designees as strong candidates for investment. We believe each Hub will:

1. Strengthen U.S. **economic security**
2. Strengthen U.S. **national security**
3. Have the potential to become **globally competitive** in the next decade
4. Ensure the **technologies, industries, and jobs of the future** start, grow, and remain in the U.S.

Regional Investment, Global Opportunity

Through regional, place-based investments, Tech Hubs are equipped to deliver scaled global production in these critical technological areas:

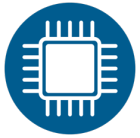
Enabling Safe and Effective **Autonomous Systems** (3)

Maintaining Our **Quantum Edge** (2)

Advancing **Biotechnology**: Drugs and Devices (6)

Advancing **Biotechnology**: Precision and Prediction (5)

Accelerating Our **Energy Transition** (5)

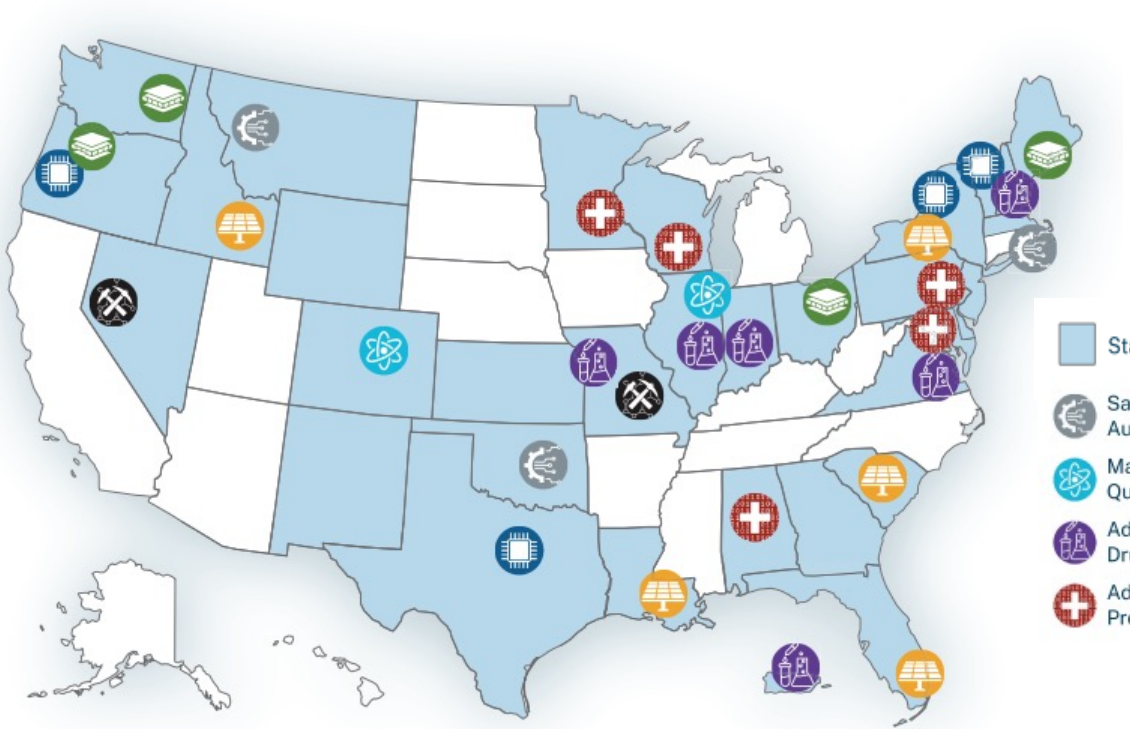


Regaining Leadership in **Semiconductor** Manufacturing (4)

Strengthening Our ***Critical Minerals*** *Supply Chain* (2)

Growing the Future of **Materials Manufacturing** (4)

Our Program



Geographic Reach

- 45 States + Puerto Rico
- 640 Counties

Tech Hub Highlights: Safe Autonomous Systems

Headwaters Hub (*Montana*): led by Accelerate Montana, aims to become a global leader in **smart, autonomous, photonic remote sensing technologies** with **$41 million** in Tech Hubs awards serving Montana.

Headwaters hub integrates remote sensing systems with advances in embedded processors that **have built-in AI and machine learning (ML) capabilities** to develop and deploy smart photonic sensing systems coupled with autonomous systems to address critical defense, resource management, and disaster prevention needs.

Tech Hub Highlights: Safe Autonomous Systems

Ocean Tech Hub (*Massachusetts, Rhode Island*): led by the Rhode Island Commerce Corporation, seeks to develop, test, and commercialize **emerging maritime artificial intelligence / machine learning-enabled robotics and sensors.**

This Tech Hub is building emerging maritime AI-/ML-enabled robotics and sensors while leveraging its unique coastal assets—including seven commercial ports and shallow and deep ocean access—to establish **manufacturing environments for rapid prototype testing and technology delivery** to meet growing commercial demand.

Tech Hub Highlights: Safe Autonomous Systems

Tulsa Hub for Equitable and Trustworthy Autonomy (THETA) (*Oklahoma*): Led by Tulsa Innovation Labs, THETA aims to become a global leader in **developing and commercializing autonomous systems** for use cases ranging from agriculture and pipeline inspections to regional transportation with **$51 million in Tech Hubs awards.**

THETA emphasizes the development of **unmanned aircraft systems (UAS) and counter-UAS (CUAS), AI, and cybersecurity technologies** to allow society to realize the maximum benefit of complex autonomous systems without compromising safety, security, privacy, or public trust.

Tech Hub Highlights: Biomanufacturing

Advanced Pharmaceutical Manufacturing (APM) Tech Hub (*Virginia*): Led by the Commonwealth Center for Advanced Manufacturing, APM seeks to accelerate the growth, innovation, and sustainability of the **U.S.-based advanced pharmaceutical manufacturing industry** to re-shore safe and affordable medicines via innovative hybrid and continuous flow manufacturing technologies.

This includes **accelerating active pharmaceutical ingredient manufacturing processes by leveraging AI-/ML-based systems**.

Tech Hub Highlights: Biomanufacturing

PRBio Tech Hub (*Puerto Rico*): Led by the Puerto Rico Science, Technology and Research Trust, PRBio aims to advance the region as a global leader in biotechnology through **fast-tracking the discovery, development, manufacturing, and supply of next generation biotechnology and medical device products** to detect, treat, and cure diseases and ailments.

PRBio enabling digital capabilities—e.g., **AI/ML, robotics, 3D printing, and advanced 4.0 factory manufacturing**—to fast-track the discovery, development, manufacturing, and supply of next generation and disruptive products that detect, treat, and cure diseases and ailments.

Tech Hub Highlights: Biomanufacturing

Birmingham Biotechnology Hub (*Alabama*): The Birmingham Biotechnology Hub, led by Southern Research Institute, aims to become a global leader in **drug, vaccine, and diagnostics development** by applying artificial intelligence (AI)-driven biotechnology to increasing diverse representation in clinical genomic data and clinical trials.

AI and representative data is used to develop drugs, vaccines, and diagnostics that address the unique needs of underrepresented patient segments, improve diagnostic accuracy and drug efficacy, reduce timelines to develop new drugs and vaccines, enable rapid response to emerging health threats, and improve health outcomes of diverse patients at home and abroad.

Tech Hub Highlights: Biomanufacturing

Greater Philadelphia Region Precision Medicine Tech Hub (*Pennsylvania, Delaware, Maryland, New Jersey*): Led by the Ben Franklin Technology Partners of Southeastern Pennsylvania, aims to become a global leader in **end-to-end precision medicine** weaving together disparate technology applications—**biotechnology, medical technology, genomics, synthetic biology supported by AI/ML, robotics, and more**—to deliver new ways to **diagnose, prevent, and treat disease**, increasing evidence-based technology applications that improve morbidity and mortality and decrease health disparities.

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Tech Hub Highlights: Biomanufacturing

Minnesota MedTech Hub 3.0 *(Minnesota, Wisconsin)*: Led by the Minneapolis Saint Paul Economic Development Partnership, aims to position Minnesota as a global center for **"Smart MedTech" by integrating artificial intelligence (AI), machine learning, and data science into medical technology,** allowing for regional information-sharing and innovative collaboration.

Tech Hub Highlights: Biomanufacturing

Wisconsin Biohealth Tech Hubs *(Wisconsin):* Led by BioForward Wisconsin, aims to position Wisconsin as a global leader in **personalized medicine**, an emerging healthcare approach that **tailors tests, treatments, and therapies informed by a patient's unique genetic code**, medical record, and environment to guide decisions about tests, treatments, and therapies tailored for them with AI/ML techniques. Wisconsin Biohealth has recieved **$49 million** in Tech Hubs awards to serve Wisconsin.

Tech Hub Highlights: Energy Transition

Gulf Louisiana Offshore Wind Propeller (Louisiana): Led by Louisiana State University, aims to transition Louisiana's energy economy from its legacy of oil and gas to **offshore wind and renewable energy**.

This Tech Hub **connects AI into the Hub's energy infrastructure, port and shipbuilding network**, and local workforce to establish a domestic offshore wind supply chain and expand harvestable offshore wind sites.

Tech Hub Highlights: Materials Manufacturing

American Aerospace Materials Manufacturing Tech Hub *(Washington, Idaho)*: Led by American Aerospace Materials Manufacturing Center, aims to develop new domestic supply chains to meet the immediate demand **for high-rate production of advanced composite aerostructures** in defense and commercial markets. This work incorporates **automation, robotics, AI, and sophisticated tooling into aerospace workforce training**.

Additional Resources

EDA also supports resources and programs to help regions execute, build and more easily connect with each other to learn, test and pursue entrepreneurial and innovative approaches to sustainable economic growth and prosperity.

- **Tools and Resources for Economic Developers**
  - National Economic Research and Resilience Center (*Argonne National Labs*)
    - Data dashboards for economic resilience, economic development capacity, program eligibility
  - Inclusive Recovery Tool Kit (*New Growth Innovation Network*)
- **New Investments in America's Economic Development Infrastructure**
  - Economic Recovery Corps
  - Communities of Practice
    - TBED, EDDs, RLFs, Indigenous, Coal, Manufacturing Communities and more.

Questions & Contact Info

Tech Hubs Program Office

techhubs@eda.gov

Tech Hubs Online

techhubs.gov

Questions & Answers

Key Dates

Milestone	Date
NOFO Published	July 22, 2024
Informational Webinar	July 25, 2024
Proposers Day	August 20, 2024 (today)
Concept Papers due	September 30, 2024
Proposal Invitation	November 2024
Full Proposal Due	January 2025 (deadline will be specified in the invitation to submit Full Proposals)
Selection Announcement & Anticipated Award	Spring 2025

Questions

Answers to Frequently Asked Questions can be found on the OAM website: https://www.nist.gov/oam/ai-resilient-manufacturing-institute-competition

All questions regarding the Funding Opportunity should be submitted via email.

ManufacturingUSA@nist.gov
Subject line: “AI for Resilient Manufacturing”

Informal Teaming Discussions

NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY
U.S. DEPARTMENT OF COMMERCE

What to Expect

Purpose: To provide a networking opportunity to support the formation of effective proposal teams

- Participants can build off of the earlier “Teaming for a Great Proposal” session
- Suggested topics are based on earlier discussions
- Federal employees are excluded from teaming conversations

Suggested Process

- Each table will be given a suggested topic for discussion.
- Attendees are welcome to stay at their table or move around.
- Please be sure to introduce yourselves.
- Space is also available in the bistro area outside the main room and on the adjoining patio.
- Event will end promptly at 5:00 pm.

Suggested Table Topics

RED	AI Engineering Skills
PINK	Manufacturing Processing Engineering Skills
ORANGE	Supply Chain
YELLOW	AI Safety and Security/Risk Management/Regulatory Expertise
BLACK	Hardware & Equipment
GREEN	Education/Workforce Convening Skills
DARK BLUE	Relationship Development
LIGHT BLUE	Strategic Thinking and Data Infrastructure
PURPLE	Business Management Skills
WHITE	Teaming and Human Computer Interactions
* STAR *	Primary Applicants

Post-Event Ways to Connect

Participant List

Teaming List