U.S. LEADERSHIP IN AI: A PLAN FOR FEDERAL ENGAGEMENT IN DEVELOPING TECHNICAL STANDARDS AND RELATED TOOLS

DRAFT FOR PUBLIC COMMENT

PREPARED IN RESPONSE TO EXECUTIVE ORDER 13859
SUBMITTED ON AUGUST XX, 2019

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EXECUTIVE SUMMARY

[TO BE ADDED]

1 STANDARDS AND ARTIFICIAL INTELLIGENCE

(A) WHY IS A PLAN FOR FEDERAL ENGAGEMENT IN AI TECHNICAL STANDARDS IS NEEDED?

Emphasizing the importance of artificial intelligence (AI) to the future of the U.S. economy and national security, on February 11, 2019, the President issued an Executive Order (EO 13859)[1] directing Federal agencies to take a variety of steps designed to ensure that the nation maintains its leadership position in AI.

Among its objectives, the EO aims to "Ensure that technical standards…reflect Federal priorities for innovation, public trust, and public confidence in systems that use AI technologies…and develop international standards to promote and protect those priorities." The EO also states that the United States must drive development of appropriate technical standards in order to enable the creation of new AI-related industries and the adoption of AI by today's industries. Technical standards will provide agreed upon language and frameworks that underpin the development and deployment of technological innovations. With the goal of fulfilling their missions more effectively and efficiently, Federal agencies are major players in developing and using AI technologies[2] Likewise, these agencies should be directly engaged in prioritizing and developing AI technical standards.

The order directs the Secretary of Commerce, through the National Institute of Standards and Technology (NIST), to issue "a plan for Federal engagement in the development of technical standards and related tools in support of reliable, robust, and trustworthy systems that use AI technologies."

This plan provides guidance for bolstering Federal agencies' engagement in AI technical standards to promote continued U.S. leadership in AI. It focuses on the Federal government's role in advancing AI standards and priorities for research that support development of technically sound and fit for purpose standards.

Note: While definitions of AI vary[3], for purposes of this plan AI technologies and systems are considered to comprise of software and/or hardware that can learn to solve complex problems, make predictions or undertake tasks that require human-like sensing (such as vision, speech, and touch), perception, cognition, planning, learning, communication, or physical action. Examples are wide-ranging and expanding rapidly. They include, but are not limited to, AI assistants, computer vision systems, biomedical research, unmanned vehicle systems, advanced game-playing software, facial recognition systems as well as application of AI in both Information Technology (IT) and Operational Technology (OT).

AI and Trustworthiness

Increasing trust in AI technologies is a key element in accelerating their adoption for economic growth and future innovations that can benefit society. Today, the ability to

[1] Maintaining American Leadership in Artificial Intelligence https://www.govinfo.gov/content/pkg/FR-2019-02-14/pdf/2019-02544.pdf

[2] https://www.whitehouse.gov/ai/ai-american-values/

[3] For selected definitions, see Appendix I, Definitions.

understand and analyze the decisions of AI systems and measure their trustworthiness is limited. AI standards and related tools, along with AI risk management strategies, can help to address this limitation and spur innovation.

Among the characteristics that relate to trustworthy AI technologies are accuracy, reliability, robustness, security, explainability, safety, and privacy – but there still is much discussion about the range of characteristics that determine AI systems' trustworthiness. Ideally, these aspects of AI should be considered early on in the design process and tested during the development and use of AI technologies.

(B) WHAT ARE TECHNICAL STANDARDS AND WHY ARE THEY IMPORTANT?

For the purpose of this Plan "technical standards" refer to "documentary" standards. ISO/IEC Guide 2:2004 Standardization and related activities – General vocabulary[4] defines such a standard as "a document, established by consensus and approved by a recognized body, that provides for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context." This plan refers to these as "standards."

Widespread use of standards facilitates technology advancement by defining and establishing common foundations for product differentiation, technological innovation, and other value-added services. Standards also promote an expanded, more interoperable and efficient marketplace. AI standards that articulate requirements, specifications, guidelines, or characteristics can help to ensure that AI technologies and systems meet critical objectives for functionality, interoperability, and trustworthiness, and perform accurately, reliably and safely.

In contrast, standards that are not fit-for-purpose, are not available when needed, or that are designed around less than ideal technological solutions may hamper innovation and constrain the effective or timely development and deployment of trustworthy AI technologies.

(C) HOW ARE TECHNICAL STANDARDS DEVELOPED?

The standards development approaches followed in the United States rely largely on the private sector to develop voluntary consensus standards, with Federal agencies contributing to and using these standards. Typically, the Federal role includes providing agency requirements for standards projects, contributing technical expertise to standards development, incorporating voluntary standards into policies and regulations, and citing standards in agency procurements. This use of voluntary consensus standards that are open to contributions from multiple parties, especially the private sector, is consistent with our market-driven economy and has been endorsed in Federal statute and policy. (See "Maximizing Use of the Voluntary Consensus Standards Process" on Page 12).

Some governments play a more centrally managed role in standards development-related activities – and they use standards to support domestic industrial and innovation policy, sometimes at the

[4] https://www.iso.org/standard/39976.html

expense of a competitive, open marketplace. This merits special attention to ensure that U.S. standards-related priorities and interests, including those related to advancing trustworthy AI systems, are not impeded.

The timing of standards development can greatly influence the state of technologies. Standards development has to occur at the right time; premature efforts can result in standards that do not reflect the state of technology or may not be supported by a critical mass of technological understanding. This can yield standards that are not fit-for-purpose and it can have an adverse impact on innovation. Alternatively, development efforts timed too late may deliver standards that cannot gain market acceptance due to the built-up infrastructure and market-power exerted by incumbent technologies, which will also hinder innovation. Regular review and update is also a key element of the process to ensure that standards reflect technological innovations and take into account changing economic and societal systems.

The development of standards for IT is integral to AI technologies and systems. IT encompasses all technologies for the capture, storage, retrieval, processing, display, representation, security, privacy and interchange of data and information. Worldwide, there are multiple Standards Development Organizations (SDOs) developing IT standards using different models to address different standardization needs. The rapid innovation in IT has been accompanied by competition among SDOs in areas of market relevance (e.g., cloud computing, cybersecurity, Internet of Things). This has encouraged SDOs to streamline their consensus-building processes to develop and approve timely, technically sound standards that meet current market needs.

Broadly, IT standards can address cross-sector or sector-specific needs. *Horizontal* IT standards can be used across many applications and industries. Standards developed for specific applications areas such as healthcare or transportation are *vertical* standards. Developers of horizontal standards often seek to establish collaborative working relationships (e.g., liaisons) with sector-specific (vertical) standards developers. These liaisons foster cooperation, establish or reinforce boundaries, and help to ensure that horizontal standards are relevant to other IT standardization efforts and vice versa.

(D) WHAT AI TECHNICAL STANDARDS ARE NEEDED?

Systems using AI technologies are generally systems of systems, and AI standards should take this into account. AI standards encompass those specific to AI applications as well as standards for parts of an AI-driven system – and *both types of standards are needed*.

> **One Perspective on AI Technical Standards**
> The Center for Data Innovation describes AI standards this way:
> "Technical standards for AI can encompass a wide variety of issues, including safety, accuracy, usability, interoperability, security, reliability, data, and even ethics….Flexible, robust, common technical standards for AI will be critical to the successful development and deployment of the technology for two key reasons. First, technical standards can provide developers clear guidelines for the design of AI systems to ensure that they can be easily integrated with other technologies, utilize best

> practices for cybersecurity and safety, and adhere to a variety of different technical specifications that maximize their utility.
> Second, common standards can serve as a mechanism to evaluate and compare AI systems. For example, in some contexts, there may be a legal requirement for transparency for a decision-making process, such as judicial decision-making. However, without clear standards defining what algorithmic transparency actually is and how to measure it, it can be prohibitively difficult to objectively evaluate whether a particular AI system meets these requirements or expectations, or does so better than another similar system, which discourages the adoption of these technologies. For this reason, in many cases technical standards will be a key component of determining whether an AI system is appropriate for use in a particular context."[5]

A growing number of cross-sector (horizontal) and sector-specific (vertical) AI standards exist and many others are being developed by numerous SDOs.[6] These SDOs have liaison relationships in place to facilitate information exchange and collaboration on standards development. Some areas, such as communications, have well established and regularly maintained standards in widespread use. Other aspects, such as trustworthiness, are only now being considered, if at all.

Table 1 and Table 2 capture the present state of AI-relevant standardization based on stakeholder input from the NIST Request for Information, the NIST AI Standards Workshop, and other stakeholder interactions. It is important to recognize that these tables reflect high-level point-in-time snapshots of the AI related standards development efforts. Additionally, areas of standards listed are not mutually exclusive. Often, guidance and requirements in one standard are referenced in others. And lastly, even where standards are noted as available, each area could need additional standards to keep pace with and advance AI technologies, and their widespread use in a trustworthy manner.

While each category in Table 1 is important and some standards efforts are being undertaken in all areas, some are more primed for standards development than others. These include standards for concepts and terminology, data, human interaction, metrics, networking, performance testing and reporting methodology, as well as standards targeted to specific vertical domains. Standardization of AI safety, risk management, and some aspects of trustworthiness such as explainability or security, are at formative stages and especially would benefit from research to provide a strong technical basis for development. By defining common vocabularies, establishing the essential characteristics of trustworthy AI technologies, and identifying the best practice within the life cycle of an AI system, these standards can accelerate the pace of innovation. Similarly, human interaction and performance testing standards spur innovation by establishing the 'rules of the game'and forming a baseline from which new technologies emerge.

[5] https://www.nist.gov/sites/default/files/documents/2019/05/10/nist-ai-rfi-ctr-for-data-innovation-001.pdf
[6] See Appendix II for a list of SDOs that are developing AI standards.

Table 1. Technical Standards Related to AI Based on Stakeholder Input

AI Standards	Available	Being Developed
Concepts and Terminology		★
Data[7] and Knowledge[8]	★	★
Human Interaction	★	★
Metrics	★	★
Networking	★	★
Performance Testing and Reporting Methodology[9]	★	★
Safety	★	★
Risk Management	★	★
Trustworthiness[10]		★

Input to development of this Federal engagement plan suggests that it is important for those participating in AI standards development to be cognizant of, and to act consistently with, policies and principles set by public and private entities such as those mentioned in Section 1(F). Table 2 lists AI-related standards activities that may inform risk management and policy decisions.

Table 2. Additional AI-related Standards to Inform Policy Decisions, Based on Stakeholder Input

AI Standards	Available	Being Developed
Societal and Ethical[11] considerations		★
Governance[12]		★
Privacy[13]	★	★

(E) WHAT AI STANDARDS-RELATED TOOLS ARE NEEDED?

[7] Data standards include guidance and requirements for: big data analytics; data exchange; data quality; and data privacy.
[8] Knowledge standards include standards for knowledge representation and querying, such as the W3C Web Ontology Language (OWL) and the ISO Common Logic language (ISO/IEC 24707:2007), as well as standard ontologies formulated in such languages.
[9] Performance Testing and Reporting Methodology standards include testing guidance and requirements at the technology, prototype, and AI operational system levels.
[10] Trustworthiness standards include guidance and requirements for: accuracy; explainability; resiliency; safety; security; and reliability. Aspects of trustworthiness also intersect with, and are addressed in, additional areas displayed in this table.
[11] Societal and ethical considerations in IT consists of the analysis of the nature and social impact of IT and the corresponding formulation and justification of policies for the appropriate use of such technology. Examples include IEEE P7000 - Model Process for Addressing Ethical Concerns During System Design.
[12] Governance of IT, for instance, can be defined as consisting of the principles to assist organizations to understand and effectively fulfill their legal, regulatory, and ethical obligations to their use of IT. Governance of IT is a component of organizational governance. An example of a standard is ISO/IEC 38500:2015 Information technology — Governance of IT for the organization.
[13] Privacy standards may or may not be specific to AI. They can encompass IT-related issues and operations and also may be much broader with a focus on an organization's overall approach to consider potential problems individuals could experience arising from system, product, or service operations with data. For example, see the IEEE P7000™ series of standards under development, including P7002 - Data Privacy Process.

Standards must be complemented by an array of related tools to advance the development and adoption of effective, trustworthy AI technologies. These tools – which often have overlapping applications – include, but are not limited to[14]:

- ***Data standards and data sets in standardized formats, including metadata*** for training, validation and testing of AI systems. Data standards are vital in measuring and sharing information about the quality, utility and access of data sets, preserving privacy, assisting potential users in making informed decisions about the data's applicability to their purpose and helping prevent misuse.
- ***Tools for capturing and reasoning with knowledge in AI systems*** to promote consistent formulation of, reasoning with, and sharing of knowledge, thereby promoting interoperability of AI systems and minimizing their misunderstandings and inferential errors.
- ***Fully documented use cases*** that provide a range of data and information about specific applications of AI technologies and any standards or best practice guides utilized in making decisions about deployment of these applications. For these use cases to be of real value, they must be accompanied by explicit information about the parameters of use.
- ***Testing methodologies*** to validate and evaluate AI technologies' performance, especially to prescribe protocols and procedures. These tools are needed for specifying, assessing, comparing, and managing the performance and trustworthiness of AI technologies. Among other things, applications include testing for conformance, interoperability, and comparing AI systems to human performance.
- ***Metrics*** to define quantifiable measures to characterize AI technologies, including but not limited to aspects of hardware and its performance (at device, circuit, and system levels) and trustworthiness (e.g., accuracy, reliability, robustness, security, explainability, safety, and privacy), complexity, risk, uncertainty, and economic impact.
- ***Benchmarks and evaluations*** such as challenge problems to drive innovation by promoting advancements aimed at addressing strategically selected scenarios; they also provide objective data to validate and track the evolution of AI technologies.
- ***AI testbeds*** "so that researchers can use actual operational data to model and run experiments on real-world system[s] … and scenarios in good test environments."[15]
- ***Tools for accountability and auditing*** to enable examination of an AI system's output (e.g., decision-making or prediction), including traceability, to provide a record of events such as their implementation, testing, and completion.

HELP WANTED: Data Standards and Data Sets

[14] Text for several of the needed tools described in this section stems from discussions among member agencies of the National Science and Technology Council (NSTC) Machine Learning/Artificial Intelligence (ML/AI) Subcommittee.
[15] SRI International and USC Information Sciences Institute, "Cybersecurity Experimentation of the Future (CEF): Catalyzing a New Generation of Experimental Cybersecurity Research", Final Report, July 31, 2015

Data standards make the training data needed for machine learning applications more visible and more usable to all authorized users. Descriptions of data that define authorized use are important elements of data standards. These attributes include but are not limited to: Federal government security classification, the presence of law enforcement sensitive data, proprietary data, acquisition-sensitive data, personally identifiable information (to include biographic, biometric and contextual data for individuals), Freedom of Information Act (FOIA) exemptions, and even fees that might be required for data access. This information can help potential users to rapidly evaluate the value and utility of the data before investing time seeking access.

Examples of AI Benchmark Programs

One successful example of a high-impact, community-based, AI-relevant benchmark program is the Text Retrieval Conference (TREC),[16] started by NIST in 1992 to provide the infrastructure necessary for large-scale evaluation of information retrieval methodologies. More than 250 groups have participated in TREC, including academic and commercial organizations both large and small. The standardized, widely available, and carefully constructed set of data put forth by TREC has been credited with revitalizing research on information retrieval.[17]

NIST also developed a comprehensive set of standard test methods and associated performance metrics to assess key capabilities of emergency response robots, including ground and aerial vehicles. The objective is to facilitate quantitative comparisons of different robot models by capturing data on robot capabilities using standard test methods. These comparisons guide purchasing decisions and help developers to understand the robots' capabilities. Resulting test methods are being standardized though the ASTM International Standards Committee on Homeland Security Applications for robotic operational equipment. Versions of the test methods are used to challenge the research community through the RoboCup Rescue Robot League competitions,[18] which emphasize autonomous capabilities such as mapping and navigation in unknown environments with difficult terrains.

Another example is the Agile Robotics for Industrial Automation Competition (ARIAC),[19] which is a joint competition sponsored by NIST and the Open Source Robotics Foundation. This competition promotes robot agility using the latest advances in AI. A core focus is to test the agility of industrial robot systems, with the goal of enabling them to be more productive and autonomous.

While these efforts provide a strong foundation for driving AI evaluations forward, they are limited by being domain-specific. Additional metrics, testing requirements, testbeds,

[16] http://trec.nist.gov.

[17] E. M. Voorhees and D. K. Harman, TREC Experiment and Evaluation in Information Retrieval (Cambridge: MIT Press, 2005), Economic Impact Assessment of NIST's Text REtrieval Conference (TREC) Program, July 2010, Brent R. Rowe, Dallas W. Wood, Albert N. Link, Diglio A. Simoni, RTI International, https://trec.nist.gov/pubs/2010.economic.impact.pdf

[18] https://www.robocup.org

[19] http://www.nist.gov/ariac.

and benchmarks are needed across a broader range of domains to ensure that AI solutions are broadly applicable and widely adopted.

(F) WHAT ARE OTHER IMPORTANT CONSIDERATIONS?

Like several other pioneering areas of science and technology, the development of AI raises a host of legal, ethical, and societal issues which create real and perceived challenges for developers, policy makers, and users, including the general public. These are matters appropriate for consideration in the policy realm, often captured as overarching or narrow principles to be applied in the development and deployment of AI technologies and systems. Standards are one tool for implementing or informing policies and principles related to such issues.

Public input on this Federal engagement plan has highlighted the importance of establishing aspirational principles and goals in developing AI standards – along with the associated need to be mindful of the current state of the practice and its limitations. Principles to guide AI are being forged by multiple organizations, including the Organisation for Economic Cooperation and Development (OECD), whose member countries recently adopted those principles.[20]

While stakeholders in the development of this plan expressed broad agreement that societal and ethical considerations must factor into AI standards, it is not clear how that should be done and whether there is yet sufficient scientific and technical basis to develop those standards. Two areas where there appears to be some consensus are:

- The degree to which ethical considerations might be incorporated into standards should be tied tightly to the degree of risk to humans, and
- Privacy considerations should be included in any standards governing the collection, processing, sharing, storage, and disposal of personal information.

Legal, ethical, and societal considerations also can come into play as developers and policy makers consider whether and how to factor in the management of risk. Some standards and standards-related tools aim to provide guidance for evaluating risk that can be used by developers and policy makers in considering how to manage risk. Ultimately, it is up to system owners to determine what risks they are willing to accept, mitigate, or avoid.

2 U.S. GOVERNMENT AI STANDARDS PRIORITIES

(A) PRIORITIES FOR FEDERAL GOVERNMENT INVOLVEMENT

WHICH STANDARDS DEVELOPMENT EFFORTS MERIT FEDERAL ENGAGEMENT?

In deciding which standards efforts merit strong Federal government involvement, U.S. government agencies should prioritize AI standards efforts that are:

- ***Inclusive and accessible,*** to encourage input reflecting diverse communities of users and developers, vendors, and experts representing technical disciplines as well as non-traditional

[20] https://www.oecd.org/going-digital/ai/principles/

disciplines of special importance to AI such as ethicists, economists, legal professionals, and policy makers: essentially, accommodating all desiring a "seat at the table," regardless of resources.

- ***Open and transparent,*** operating in a manner that: provides opportunity for participation by all directly and materially affected persons, has well-established and readily accessible operating rules, procedures and policies that provide certainty about decision making processes, allows timely feedback for further consideration of the standard, and ensures prompt availability of the standard upon adoption.
- ***Multi-channel***, developed through traditional and novel standards-setting approaches and organizations that best meet the needs of developers and users in the marketplace as well as society at large. (See text box.)
- ***Consensus-based,*** where decision-making is based upon clearly established terms or agreements that are understood by all involved parties and are used consistently in the standards development process.
- ***Globally relevant and non-discriminatory*** to all stakeholders, regardless of their degree of involvement in the standards-development process (e.g., avoid standards becoming non-tariff trade barriers or locking in particular technologies or products).

Maximizing Use of the Voluntary Consensus Standards Process

Current and potential future Federal agency engagement in the development and use of AI technical standards and related tools should meet agency requirements and support the Nation's broader needs. OMB Circular A-119: Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities[21], highlights several Federal government goals for participation and use of voluntary standards:

"Many voluntary consensus standards are appropriate or adaptable for the Federal government's purposes. The use of such standards, whenever practicable and appropriate, is intended to achieve the following goals:

(i) eliminating the cost to the Federal government of developing its own standards and decreasing the cost of goods procured and the burden of complying with agency regulation;

(ii) providing incentives and opportunities to establish standards that serve national needs, encouraging long-term growth for U.S. enterprises and promoting efficiency, economic competition, and trade; and

(iii) furthering the reliance upon private sector expertise to supply the Federal government with cost-efficient goods and services."

Other relevant statutes and policies include The National Technology Transfer and Advancement Act of 1995 (Public Law 104-113, 1996) (NTTAA) and the World Trade Organization Technical Barriers to Trade Agreement (WTO TBT).

[21] (A-119, *Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities,* is available at https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/circulars/A119/revised_circular_a-119_as_of_1_22.pdf)

Wanted: Nimble, Multi-Channel Standards Development
"There is a need for stability (provided by the arena of formal standards bodies), coping with rapid change (provided by consortia and alliances), specific intellectual property and marketing environments, and the need for robust community involvement (provided by Open Source). To tackle the vast emerging standardization needs for AI and AI systems, the groups within each arena need to more effectively work together to create standards of the highest quality, through open systems and open standardization processes that effectively contribute to the public good"(IEEE response to RFI: www.nist.gov/sites/default/files/documents/2019/05/28/nist-ai-rfi-ieee_001.pdf)
"Standardization processes must be sufficiently nimble to effectively address the development and commercial application of rapidly evolving technologies such as AI, and they must be open to addressing ethically aligned design concepts from the onset." (IEEE RFI response www.nist.gov/sites/default/files/documents/2019/05/28/nist-ai-rfi-ieee_001.pdf)

WHICH STANDARDS CHARACTERISTICS ARE IMPORTANT?

There are a variety of characteristics related to AI standards that deserve priority Federal government consideration, including:

- ***Innovation-oriented*** to keep pace with rapid technology changes, including maximum flexibility, technology and platform neutral, and a preference for performance-based – versus prescriptive – requirements to accommodate varied approaches in meeting the standard's provisions.
- ***Applicable across sectors*** *(horizontal)* to allow for wide-scale deployments in multiple areas of industry, government, and society.
- ***Focused on particular sectors and applications*** *(vertical),* especially where there are specific risks and impacts.
- ***Clearly stated provenance and intended use or design ("intent of design")*** to allow users to decide whether an AI system appropriate for an intended application is appropriate for other applications due to the data or algorithms used, or the level of risk deemed acceptable.
- ***Address the need to monitor and manage AI systems*** throughout the entire product lifecycle.
- ***Reflective of the early state of development and understanding of AI technologies, risk, and societal implications*** so that standards initiatives appropriately represent the state of AI technological feasibility and understanding.
- ***Regularly updated*** to reflect the rapid pace of change in AI technology and to avoid locking out new developments and knowledge, both of technological and social impacts.
- ***Effective in measuring and evaluating AI system performance*** to assist in determining degree of risk, deciding on fit-for-purpose and readiness, considering conformance, and monitoring effectiveness.

- ***Human-centered*** to ensure that human interactions and values are considered during AI data collection, model development, testing, and deployment.
- ***Harmonized and using clear language*** to define AI-related terms and concepts and to promote interoperability.
- ***Sensitive to ethical considerations,*** identifying and minimizing bias, and incorporating provisions that protect privacy and reflect the broader community's notions of acceptability.

(B) PRIORITIZING LEVELS OF U.S. GOVERNMENT ENGAGEMENT IN AI STANDARDS

AI standards needs are expansive and challenging, and it is widely acknowledged that serious work on AI-specific standards has only recently begun in earnest. U.S. engagement in establishing AI standards is critical; AI standards developed without the appropriate level and type of involvement of U.S. interests may exclude or disadvantage U.S.-based companies in the marketplace as well as government agencies. Moreover, due to the foundational nature of standards, the lack of U.S. stakeholder engagement in the development of AI standards can negatively impact the innovativeness and competitiveness of U.S. interests in the long term. Possible levels and types of Federal involvement in the standards development process can be grouped into four categories ranked from least-to-most engaged:

- **Monitoring:** Following either a specific standards effort or broader programs and evolving standards being produced by SDOs to address unique needs or interests.
- **Participating:** Commenting on and providing meaningful contributions to strategically important standards, including potentially serving as an observer on a committee.
- **Influencing:** Developing a deeper understanding of, and relationships with, the key players – working directly with industry and international players and exerting influence through formal and informal discussions and by providing expertise.
- **Leading:** Leading standards efforts by convening or administering consensus groups, serving as standards project editor or in similar technical leadership roles, or acting as the liaison representative between standards groups. This level of leadership also can be exercised by serving on the Board of Directors or in other executive positions of an SDO.[22]

Each of these categories of engagement requires having qualified U.S. government participants (Federal employees or contractors) function in these capacities based on their expertise, relationships, and knowledge of specific standards development processes and best practices.

(C) PRACTICAL STEPS FOR AGENCY ENGAGEMENT IN AI STANDARDS

1. Identify how AI technologies can be used to further the agency's mission – for example, research, technology development, procurement, or regulation.

[22] See OMB Circular A-119: Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities, pp 27-28, for the policy regarding participation on boards of standards development organizations.

2. Know existing statutes, policies and resources relating to participation in the development of, and use of standards (e.g., OMB Circular A-119, Trade Agreements Act of 1979 as amended, Interagency Committee on Standards Policy).
3. Conduct a landscape scan and gap analysis to identify standards and related tools that exist or need to be developed.
4. If appropriate standards exist, use them.
5. If appropriate standards do not exist, engage in their development:
    i. Coordinate with other Federal agencies that may have similar needs.
    ii. Follow guidance on where and how to engage: see section 2(A).
    iii. Identify, train, and enable staff to participate in standards development.

Agencies Determining Their AI Standards Needs

Federal agencies contributing to the development of standards leading to trustworthy AI must first understand and articulate the anticipated role that AI has on agency operations and its regulations and regulated entities, and provide a vision of how AI will beneficially impact the stakeholders and communities nationwide served by the agency mission.

A Federal agency cannot smartly resource standards activities if it has not yet determined its needs for standards and specific requirements, let alone participate in an effective leadership capacity to meet these needs. Several Federal departments and agencies are ahead of the curve in considering the use and impact of AI and strategies for considering the role of AI standards.

The Department of Transportation report, Preparing for the Future of Transportation: Automated Vehicles 3.0 (AV 3.0) provides a vision for using AI and its potential impact. Voluntary consensus standards are mentioned throughout the report as a strategy for supporting Automated Driving Systems and Automated Vehicle development.

The Food and Drug Administration report Proposed Regulatory Framework for Modification to Artificial Intelligence/Machine Learning (AI/ML)-based Software as a Medical Device (SaMD) leans forward in "considering a…product lifecycle-based regulatory framework for technologies that would allow for modifications to be made from real-world learning and adaptation, while still ensuring that the safety and effectiveness…is maintained."[23]

Both of these agencies articulate an understanding of the impact of AI and propose a path forward upon which focus and resource for standards activities can be made. The white paper study "ai: using standards to mitigate risk,"[24] published jointly through the Department of Homeland Security and the Office of the Director of National Intelligence, serves to "start a dialogue on creating standards that will reduce the risk

[23] Abstracted from webpage: https://www.fda.gov/medical-devices/software-medical-device-samd/artificial-intelligence-and-machine-learning-software-medical-device

[24] ai Usining utandards to mitigate risks, produced by the Public-Private Analytic Exchange Program, 2018. https://www.dhs.gov/sites/default/files/publications/2018_AEP_Artificial_Intelligence.pdf,

from use, misuse, and exploitation of AI".[pg. 3] These examples highlight the urgent need of every agency to comprehend and appreciate the impact of AI on their missions.

3 RECOMMENDED FEDERAL GOVERNMENT STANDARDS ACTIONS TO ADVANCE U.S. AI LEADERSHIP

America's success and prospects as the global AI leader demands that the Federal government play an active role in developing AI standards. That includes AI standards-related efforts needed by agencies to fulfill their missions by:

- supporting and conducting AI research and development,
- engaging at the appropriate involvement level in AI standards development,
- procuring and deploying standard-based products and services, and
- developing and implementing policies, including regulatory policies where needed.

The government's meaningful engagement in fulfilling that role is necessary – but not sufficient – for the nation to maintain its leadership in this competitive realm. Active involvement and leadership by the private sector, as well as academia, is required.

In addition to the guidance provided regarding priorities and levels of engagement called for in the previous section of this plan, ***the Federal government should commit to deeper, consistent, long-term engagement in AI standards development activities to help the United States to speed the pace of trustworthy AI technologies.*** Specifically, the Federal government[25] should:

1. **Bolster AI standards-related *knowledge, leadership, and coordination* among Federal agencies to maximize effectiveness and efficiency.**
   - The National Science and Technology Council (NSTC) Machine Learning/Artificial Intelligence (ML/AI) Subcommittee should designate a Standards Coordinator with responsibility to gather and share AI standards-related needs, strategies, roadmaps, terminology, and best practices around the use of trustworthy AI in government operations, including:
     - planned and ongoing standards approaches and engagement activities,
     - requirements for input into proposed standards activities, and
     - analyses of whether ongoing standards activities meet Federal government needs.
   - Make maximum use of existing standards that are broadly adopted by industry sectors that can be used or evolved within the new context of AI solutions.
   - Reinforce the importance of agencies' adherence to Federal policies for standards and related tools, for example data access and quality. *Suggested lead: OMB-OIRA.*
   - Maintain a flexible posture in specifying AI standards that are referenced in regulatory or procurement actions. Flexibility is required to adapt to the rapid pace of AI technology

[25] Except where specific agencies are noted, all agencies with AI-related needs and activities should consider their possible contribution to implementing each recommendation.

developments and standards and our understanding about trustworthiness and human-centered implications of AI. *Suggested lead: GSA, DoD, NIST*

- Grow a cadre of Federal staff with the relevant skills and training, available to effectively engage in AI standards development in support of U.S. government interests. *Suggested lead: NIST, OPM.*

2. **Promote focused research to advance and accelerate broader exploration and understanding of how aspects of trustworthiness can be practically incorporated within standards and standards-related tools.**
   - Plan, support, and conduct research and evaluation that underlies technically sound, fit-for-purpose standards and related tools for trustworthy AI. *Suggested lead:NSF and research funding agencies.*
   - Develop metrics to assess trustworthy attributes of AI systems, focusing on approaches that are readily understandable, available, and can be put on a path to standardization. *Suggested lead: NIST and research funding agencies..*
   - Prioritize multidisciplinary research related to trustworthiness and associated aspects that may help to identify technical approaches to implement responsible behaviors. *Suggested lead: research funding agencies.*
   - Conduct research to inform risk management strategies including monitoring and mitigating risks. *Suggested lead: research funding agencies.*
   - Identify research needs, requirements and approaches that help advance scientific breakthroughs for trustworthy AI, give us confidence in AI technologies and cultivate trust in design, development, and use of AI. *Suggested lead: NIST and research funding agencies.*

3. **Support and expand public-private partnerships to develop and use AI standards and related tools to advance trustworthy AI.**
   - Strategically increase participation in the development of technical AI standards in targeted venues and exercise a variety of engagement options ranging from monitoring to leading – especially at the early stage of standards development where major decisions can be made about the scoping and leadership. In making decisions about involvement in standards development, consider the priorities and guidelines cited in Section 2(A) and (B) and SDO activities cited in Appendix II.
   - Lead non-traditional collaborative models for standards development, such as open source efforts and Federal open data initiatives.
   - Increase data discoverability and access to Federal government data that enable more widespread training and use of AI technologies.
   - Lead in benchmarking efforts to assess the trustworthiness of AI systems. Ensure that these benchmarks are widely available, result in best practices, improve AI evaluations and methods for verification and validation.

- Foster collaborative environments to promote creative problem solving through AI challenge problems and testbeds.

4. Strategically engage with international parties to advance AI standards for U.S. economic and national security needs.

- Champion U.S. AI standards priorities in international AI standards development activities.
- Partner and accelerate the exchange of information between Federal officials and counterparts in like-minded countries on AI standards and related tools. *Suggested lead: NIST, Department of State, International Trade Administration, National Institute of Justice.*
- Track and understand AI standards development strategies and initiatives of foreign governments and entities. *Suggested lead: NIST, Department of State, International Trade Administration, National Institute of Justice.*

APPENDIX I DEFINITIONS

ANSI INCITS 172-2002 (R2007) Information Technology - American National Standard Dictionary of Information Technology (ANSDIT) (Revision and Redesignation Of ANSI X3.172-1996)

artificial intelligence (AI):
(1) A branch of computer science devoted to developing data processing systems that performs functions normally associated with human intelligence, such as reasoning, learning, and self-improvement. (2) The capability of a device to perform functions that are normally associated with human intelligence such as reasoning, learning, and self-improvement.

ISO/IEC 3WD 22989 Information Technology — Artificial Intelligence — Artificial Intelligence Concepts and Terminology

artificial intelligence
capability of a system to acquire, process and apply knowledge
Note 1 to entry: knowledge are facts, information, and skills acquired through experience or education

AI system
technical system that uses artificial intelligence to solve problems

APPENDIX II AI STANDARDS

Noting that standards development is an ongoing effort with new projects and new technical focus areas being added regularly, any listing of standards bodies and associated AI standards development activities is only current as of the time the list was developed. The following are examples of activities provided by respondents to the NIST Request For Information and by Federal agencies.

International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC)

ISO/IEC JTC 1/SC 42 Artificial Intelligence was established in October 2017 to develop AI standards that can be applied across applications and industries. SC 42 is chartered to work on Information Technology standards, with current work items focused on topics such as updated AI terminology, interoperable framework for AI systems, AI lifecycle, big data, AI trustworthiness (e.g., robustness, unbiased, and risk managed), use cases, and computational approaches.

Published Standards under ISO/IEC JTC 1/SC 42 Artificial Intelligence

ISO/IEC 20546:2019 Information technology — Big data — Overview and vocabulary

ISO/IEC TR 20547-2:2018 Information technology — Big data reference architecture – Part 2: Use cases and derived requirements

ISO/IEC TR 20547-5:2018 Information technology — Big data reference architecture – Part 5: Standards roadmap

Standards under development by ISO/IEC JTC 1/SC 42 Artificial Intelligence

ISO/IEC AWI TR 20547-1: Information technology — Big data reference architecture — Part 1: Framework and application process

ISO/IEC DIS 20547-3: Information technology — Big data reference architecture — Part 3: Reference architecture

ISO/IEC WD 22989: Artificial Intelligence Concepts and Terminology

ISO/IEC WD 23053: Framework for Artificial Intelligence (AI) Systems Using Machine Learning (ML)

ISO/IEC NP TR 24027: Information technology — Artificial Intelligence (AI) — Bias in AI systems and AI aided decision making

ISO/IEC NP TR 24028: Information technology — Artificial Intelligence (AI) — Overview of trustworthiness in Artificial Intelligence

ISO/IEC NP TR 24029-1: Artificial Intelligence (AI) — Assessment of the robustness of neural networks — Part 1: Overview

ISO/IEC NP TR 24030: Information technology — Artificial Intelligence (AI) — Use cases

ISO/IEC NP 38507: Information technology — Governance of IT — Governance implications of the use of artificial intelligence by organizations

ISO/IEC NP 23894: Information technology — Artificial Intelligence — Risk Management

Other ISO/IEC JTC 1 and ISO Standards Activities

AI-related cross sector and sector specific standards have been and are being developed in several committees and subcommittees.

JTC 1 SC 7: Software and systems engineering

JTC 1 SC 17: Cards and security devices for personal identification

JTC 1 SC 22: Programming languages, their environments and system software interfaces

JTC 1 SC 24: Computer graphics, image processing and environmental data representation

JTC 1 SC 27: Information Security, cybersecurity and privacy protection

JTC 1 SC 28: Office equipment

JTC 1 SC 29: Coding of audio, picture, multimedia and hypermedia information

JTC1 SC 32: Data management and interchange

Examples:

ISO/IEC 24707:2018 Information technology -- Common Logic (CL) -- A framework for a family of logic-based languages

ISO/IEC DIS 21838-2 Information technology -- Top-level ontologies (TLO) -- Part 2: Basic Formal Ontology (BFO)

JTC 1 SC 36: Information technology for learning, education and training

JTC 1 SC 37: Biometrics

JTC 1 SC 40: IT Service Management and IT Governance

JTC 1 SC 41: Internet of Things and related technologies

ISO TC 184: Automation systems and integration

ISO TC 199: Safety of machinery

ISO TC 299: Robotics

Institute of Electrical and Electronics Engineers (IEEE)

Standards under development by IEEE

Starting in 2016, the *IEEE P7000™* series of standards projects addresses specific issues at the intersection of technological and ethical considerations for AI.

P7000 - Model Process for Addressing Ethical Concerns During System Design

P7001 - Transparency of Autonomous Systems

P7002 - Data Privacy Process

P7003 - Algorithmic Bias Considerations

P7004 - Standard for Child and Student Data Governance

P7005 - Standard for Transparent Employer Data Governance

P7006 - Standard for Personal Data Artificial Intelligence (AI) Agent

P7007 - Ontological Standard for Ethically Driven Robotics and Automation Systems

P7008 - Standard for Ethically Driven Nudging for Robotic, Intelligent and Autonomous Systems

P7009 - Standard for Fail-Safe Design of Autonomous and Semi-Autonomous Systems

P7010 - Wellbeing Metrics Standard for Ethical Artificial Intelligence and Autonomous Systems

P7011 - Standard for the Process of Identifying and Rating the Trustworthiness of News Sources

P7012 - Standard for Machine Readable Personal Privacy Terms

P7013 - Inclusion and Application Standards for Automated Facial Analysis Technology

P2801 Recommended Practice for the Quality Management of Datasets for Medical Artificial Intelligence

P2802 Standard for the Performance and Safety Evaluation of Artificial Intelligence Based Medical Device: Terminology

P3652.1 Guide for Architectural Framework and Application of Federated Machine Learning

ASTM Technical Committees

Several ASTM technical committees are developing standards to support the reliable, robust, and trustworthy systems that use AI.

ASTM Committee F15 on Consumer Products was formed in 1973 and maintains over 100 standards. Subcommittee F15.75 on Connected Products is working on a standard to provide guidance for consumer Internet of Things (IoT) as it relates to connected product hazards. It will apply to consumer products connected to the internet that need testing and evaluation of software to prevent cybersecurity vulnerabilities and software weaknesses that could compromise safety related performance of the product and create a safety hazard. Consumer IoT product (CIP) means a physical object that transmits or receives data remotely through a network, other than a mobile phone or personal computer, primarily intended for consumer use remotely through a network. Examples of these types of products include baby monitors, wearable health trackers, and connected appliances. Consumer IoT standards will be intended to apply in conjunction with product specific standard requirements to address the overall system safety of a connected end product.

ASTM Committee F45 on Driverless Automatic Guided Industrial Vehicles was formed in 2014. This Committee addresses issues related to performance standards and guidance materials for 'automatic'- (e.g., automatic guided vehicles) through 'autonomous'- (e.g., mobile robots) unmanned ground vehicles (A-UGVs) with industrial applications. A-UGV applications include, but are not limited to: indoor warehouse, manufacturing, and medical facilities and outdoor security and shipyards. It also works closely with industrial vehicle safety standards organizations.

ASTM Committee F38 on Unmanned Aircraft Systems was formed in 2003 and maintains over 15 standards. This Committee addresses issues related to design, performance, quality acceptance tests, and safety monitoring for unmanned air vehicle systems. F38 is working on standards to assist unmanned aircraft in detection and avoidance and containing complex functions sometimes referred to as “autonomous.”

ASTM Committee F42 on Additive Manufacturing (AM) Technologies was formed in 2009 and maintains over 22 standards. This committee addresses standards related to the process of creating three-dimensional objects by the successive addition of material – whether plastic, metal, ceramic, or composite. Artificial intelligence, machine learning (ML), and deep learning (DL) are used in the selection of AM materials and the development of AM devices/systems to find the best combinations of processing routes to obtain required properties or functionalities. Such technologies help rapidly suggest candidate materials for AM or predict functionalities of devices/systems based on multiple AM design parameters. Such digital, smart AM frameworks operate by reducing the huge design space needed for materials, guiding processes, and facilitating integration of complex data from design, processing, characterization, and simulation. In addition, AI/ML/DL for AM are intimately connected with other data-intensive activities such as AM data management/databases with respect to the data FAIR (findable, accessible, interoperable, and reusable) principles, as well as data-driven areas such as integrated computational materials engineering (ICME) and the Materials Genome Initiative (MGI) to identify structure-property-processing-performance relationships.

The **Consumer Technology Association (CTA)** is currently developing three standards:

Definitions and Characteristics of Artificial Intelligence (under development)

Scope: This standard defines terms related to artificial intelligence and associated technologies.

Definitions and Characteristics of Artificial Intelligence in Health Care

Scope: This standard defines terms related to artificial intelligence and associated technologies in health care.

The Use of Artificial Intelligence in Health Care: Trustworthiness

Scope: Artificial Intelligence (Al) is quickly becoming a pervasive tool in the health care industry. This standard explores the impact of the trustworthiness of Al in health care through the lens of the end user (e.g., physician, consumer, professional and family caregiver). Additionally, the standard will identify the unique challenges and opportunities for Al in the health care sector.

The **International Telecommunication Union Telecommunication Standardization Sector (ITU-T)** is investigating possible standardization work for AI in the following focus groups:

Focus Group on Machine Learning for Future Networks including 5G

Focus Group on Artificial Intelligence for Health

Focus Group on Environmental Efficiency for Artificial Intelligence and other Emerging Technologies

The **Object Management Group (OMG)** cross-sector AI-related specifications under development include:

Application Programming Interfaces for Knowledge Platforms (API4KP)

Robotics Service Ontology (RoSO)

OMG's sector-specific AI-related specifications under development include:

A retail specification for digital receipts that embodies an ontology defining not only the receipts themselves, but also content related to jurisdiction-specific taxation.

A joint effort between OMG's Retail and Robotics Task Forces to create a standard for point-of-sale/point-of-service (POS) robotic interfaces for the 2020 Olympics specifically, but which will be broadly applicable to POS robotic services.

Society of Automotive Engineering International (SAE International)

SAE J 3016-2018, *Taxonomy and Definitions for Terms Related to Driving Automation Systems for On-Road Motor Vehicles.*

U.S. Department of Transportation

Examples of both horizontal cross sector and vertical sector-specific standards for AI systems are found in the Department of Transportation report, *Preparing for the Future of Transportation: Automated Vehicles 3.0* (AV 3.0). Voluntary consensus standards are mentioned throughout this report as a strategy for supporting Automated Driving Systems and Automated Vehicle development. Appendix C, "Voluntary Technical Standards for Automation," lists numerous AI-relevant horizontal and vertical standards in the functional areas of: Definitions and Architecture; Data; Design; Maintenance and Inspections; Functional/Performance; Protocols (Communications); Security; and Testing/Test Target.

World Wide Web (W3C)

The W3C Web Ontology Language (OWL) is a Semantic Web language designed to represent rich and complex knowledge about things, groups of things, and relations between things. OWL is a computational logic-based language such that knowledge expressed in OWL can be exploited by computer programs, e.g., to verify the consistency of that knowledge or to make implicit knowledge explicit. OWL documents, known as ontologies, can be published in the World Wide Web and may refer to or be referred from other OWL ontologies. OWL is part of the W3C's Semantic Web technology stack,

The W3C Semantic Web Standards

The term "Semantic Web" refers to W3C's vision of the Web of linked data. Semantic Web technologies enable people to create data stores on the Web, build vocabularies, and write rules for handlingdata.

Standards include: RDF, OWL, SPARQL, RDFa, JSONLD, SKOS, RDFS, GRDDL, POWDER, PROV, RIF, SAWSDL, RDB2RDF

APPENDIX III RELATED TOOLS FOR AI STANDARDIZATION

The following are examples of related tools provided by respondents to the NIST Request For Information and by Federal agencies.

Data Sets (e.g., for algorithm training)

Data sets are critical where data are essential for training and applying AI models. Some examples of AI data sets include:

CIFAR-10 dataset (Canadian Institute for Advanced Research) is a collection of images that are commonly used to train machine learning and computer vision algorithms.

COCO is a large-scale object detection, segmentation, and captioning dataset.

Data.gov is a U.S. government website launched in late May 2009. Its goal is to improve public access to high value, machine readable datasets generated by the Executive Branch of the Federal Government. The site is a repository for federal, state, local, and tribal government information made available to the public.

ImageNet project is a large visual database designed for use in visual object recognition software research. More than 14 million images have been hand-annotated by the project to indicate what objects are pictured and in at least one million of the images, bounding boxes are also provided.

MNIST dataset of handwritten digits has a training set of 60,000 examples, and a test set of 10,000 examples. It is a subset of a larger set available from NIST.

OpenML is a data set repository that links data to algorithms to teach machines to learn better.

Pascal VOC data sets provides standardized image data sets for object class recognition, a common set of tools for accessing the data sets and annotations, and enables evaluation and comparison of different methods.

UC Irvine Machine Learning Repository currently maintain 474 data sets as a service to the machine learning community.

Evaluations and Benchmarks

NIST TREC efforts today extend to more sophisticated AI tasks including complex question answering, incident management, and news summarization, as well as to industry specific challenges. NIST TREC has also expanded into modalities beyond text, such as with the NIST TRECVID evaluations for tasks related to digital video, NIST Multimedia Event Detection (MED), and NIST Multimedia Event Recounting (MER). These evaluations are important for driving fundamental advancements in the accuracy of AI technologies on a growing field of tasks using data modalities such as images, video, speech, and text.

The IIC Deep Learning Facilities Testbed is intended to optimize diagnosis, maintenance, and repair of monitored assets; increase energy efficiency by adjusting power-consuming services, and improve visitor experience relative to wait times and ambient climate control.

The MLPerf effort aims to build a common set of benchmarks that enables the machine learning (ML) field to measure system performance for both training and inference from mobile devices to cloud services.

AI-Matrix is an AI benchmark suite aiming at measuring the performance of AI hardware platforms and software frameworks. This deep learning benchmark suite currently consists of three types of workloads: layer-based benchmark, macro benchmark, and micro benchmark.

AIIA DNN is a benchmark is to objectively reflect the current state of AI accelerator capabilities and all metrics are designed to provide an objective comparison dimension.

AnTuTu is a benchmarking tool for Android smartphones and tablets for checking device performance.

DeepBench is intended to benchmark operations that are important to deep learning on different hardware platforms.

Fathom provide reference workloads for modern deep learning.

Metrics

In its TREC evaluations, NIST has helped to establish important metrics for the AI field - precision vs. recall, mean average precision, and false alarm vs. miss rate.

Industry has also played a prominent role in the development of metrics, such as in the case of the BLEU metric created by IBM Research, which has achieved wide use for evaluating natural language-related AI tasks.

Industry- and academia-driven evaluations are also using metrics such as top-1 and top-5 accuracy for evaluating classification results and intersection-over-union to measure localization in object detection.

Open Source Software

There are a number of open source AI frameworks available such as the following:

Caffe was developed by Berkeley AI Research (BAIR) and by community contributors.

Keras is a deep-learning library that sits atop TensorFlow and Theano.

Machine Learning in R (mlr) provides a generic, object- oriented, and extensible framework for classification, regression, survival analysis and clustering for the R language. It provides a unified interface to more than 160 basic learners and includes meta-algorithms and model selection techniques to improve and extend the functionality of basic learners with, e.g., hyperparameter tuning, feature selection, and ensemble construction.

MxNet is an open-source deep learning software framework, used to train, and deploy deep neural networks.

Scikit-learn is a software machine learning library for the Python programming language.

TensorFlow is an end-to-end open source platform for machine learning. It has a comprehensive, flexible ecosystem of tools, libraries and community resources that lets researchers push the state-of-the-art in ML and developers easily build and deploy ML powered applications.

Theano is a Python library and optimizing compiler for manipulating and evaluating mathematical expressions, especially matrix-valued ones.

Torch is an open-source machine learning library, a scientific computing framework, and a script language based on the Lua programming language

Other AI open source software projects include:

Acumos AI is a platform and open source framework that makes it easy to build, share, and deploy AI apps. Acumos standardizes the infrastructure stack and components required to run an out-of-the-box general AI environment.

Adversarial Robustness Toolbox (ART) IBM has released this open source toolbox. ART implements state-of-the-art attacks and defenses, including adversarial training and data poisoning detection, as well as multiple metrics for robustness.

AI Fairness 360 (AIF360) IBM has released this open source. AIF360 implements more than ten bias mitigation algorithms and seventy state-of-the-art metrics related to fairness in a common software framework. The AIF360 toolbox is industry sector neutral, and thus, can be applied to a wide range of problem domains.

Apache Jena is an open source Semantic Web framework for Java.

Deep Learning Benchmark Suite has been developed by HPE, in conjunction with Hewlett Packard Labs. It is an open source performance benchmark suite for comparing Deep Learning frameworks, models, and compute platforms.

Explainable Artificial Intelligence (XAI) program by DARPA has the goal of developing a toolkit library consisting of machine learning and human-computer interface software modules that could be used to develop future explainable AI systems.

Flora-2 is an advanced object-oriented knowledge representation and reasoning system.

Hierarchical Data Format 5 (HDF5) from the HDF Group, is a standard representation of scientific data sets, together with metadata, and is used in particular for the interchange of training data sets used in machine learning.

Plugin Machine Intelligence (PMI) project is a plugin for the Pentaho Kettle engine that provides access to supervised machine learning algorithms from various underlying "engines".

Neural Network Exchange Format (NNEF), developed by the Khronos Group, “reduces machine learning deployment fragmentation by enabling a rich mix of neural network training tools and inference engines to be used by applications across a diverse range of devices and platforms.”

Open Neural Network eXchange (onnx) is an open-source, community-driven effort to allow developers to more easily move between machine learning frameworks. The initiative was launched by Facebook and Microsoft and was subsequently supported by IBM, Huawei, Intel, AMD, ARM and Qualcomm.

OpenAI Gym is a reinforcement learning toolkit a wide range of environments and an online scoreboard for developing and comparing reinforcement learning algorithms.

Pellet is an open-source Java based OWL 2 reasoner. It can be used in conjunction with both Jena and OWL API libraries; it can also be included in other applications.

Protégé is an open-source platform that provides a suite of tools to construct domain models and knowledge-based applications with ontologies.

APPENDIX IV THE ASSIGNMENT AND APPROACH

EXECUTIVE ORDER ON MAINTAINING AMERICAN LEADERSHIP IN ARTIFICIAL INTELLIGENCE

Emphasizing the importance of artificial intelligence (AI) to the future of the U.S. economy and national security, on February 11, 2019, the President issued an Executive Order (EO 13859)[26] directing Federal agencies to take a variety of steps designed to ensure that the nation maintains its leadership position in AI.

Among its objectives, the EO aims to "Ensure that technical standards minimize vulnerability to attacks from malicious actors and reflect Federal priorities for innovation, public trust, and public confidence in systems that use AI technologies; and develop international standards to promote and protect those priorities."

The order directs the Secretary of Commerce, through the National Institute of Standards and Technology (NIST), to issue "a plan for Federal engagement in the development of technical standards and related tools in support of reliable, robust, and trustworthy systems that use AI technologies." That plan is to be completed within 180 days of the EO – by August 10, 2019.

The EO specifies:

(i) Consistent with OMB Circular A-119, this plan shall include:
(A) Federal priority needs for standardization of AI systems development and deployment;
(B) identification of standards development entities in which Federal agencies should seek membership with the goal of establishing or supporting United States technical leadership roles; and
(C) opportunities for and challenges to United States leadership in standardization related to AI technologies.

(ii) This plan shall be developed in consultation with the Select Committee, as needed, and in consultation with the private sector, academia, non-governmental entities, and other stakeholders, as appropriate."

THE PROCESS NIST USED TO DEVELOP THIS PLAN

NIST reached out widely to solicit input for the AI standards engagement plan that is the basis of this document. That outreach and consultation included:

- Publication of a Request for Information in the Federal Register that attracted 97 comments, including recommendations regarding AI standards priorities and the appropriate Federal role for engaging in the standards development process. See Appendix V for the text of the Request for Information.
- Contacts and discussions with members of the White House Select Committee on Artificial Intelligence and other Federal agencies involved with artificial intelligence and related topics, especially through the National Science and Technology Council (NSTC) Machine

[26] Maintaining American Leadership in Artificial Intelligence https://www.govinfo.gov/content/pkg/FR-2019-02-14/pdf/2019-02544.pdf

889 Learning/Artificial Intelligence (ML/AI) Subcommittee and the Networking and Information
890 Technology Research and Development (NITRD) Program.
891 • Contacts and discussions with members of the Interagency Committee on Standards Policy[27].
892 • A workshop on a Federal AI standards engagement strategy that attracted more than 400
893 representatives (about 215 in person and 210 webcast participants) from the private and public
894 sectors, including standards developing organizations and other non-profit organizations,
895 companies, academia, Federal agencies, and others. See Appendix VI for the workshop agenda.
896 • Public and federal agencies' review and comment on a draft version of this AI standards
897 Federal engagement plan.

898 This plan for Federal engagement in AI standards is *one component* of the overall Federal strategy for
899 AI called for by the AI executive order.
900

[27] https://www.nist.gov/standardsgov/what-we-do/federal-policy-standards/interagency-committee-standards-policy-icsp

APPENDIX V REQUEST FOR INFORMATION

Billing Code: 3510-13

DEPARTMENT OF COMMERCE
National Institute of Standards and Technology
Docket Number: [190312229-9229-01]
Artificial Intelligence Standards

AGENCY: National Institute of Standards and Technology, U.S. Department of Commerce.

ACTION: Notice; Request for Information (RFI)

SUMMARY: The February 11, 2019, Executive Order on Maintaining American Leadership in Artificial Intelligence (AI) directs the National Institute of Standards and Technology (NIST) to create a plan for Federal engagement in the development of technical standards and related tools in support of reliable, robust, and trustworthy systems that use AI technologies (Plan). This notice requests information to help NIST understand the current state, plans, challenges, and opportunities regarding the development and availability of AI technical standards and related tools, as well as priority areas for federal involvement in AI standards-related activities. To assist in developing the Plan, NIST will consult with Federal agencies, the private sector, academia, non-governmental entities, and other stakeholders with interest in and expertise relating to AI.

DATES: Comments in response to this notice must be received on or before May 31, 2019 at 5:00 pm Eastern Time.

ADDRESSES: Written comments in response to this RFI may be submitted by mail to AI-Standards, National Institute of Standards and Technology, 100 Bureau Drive, Stop 2000, Gaithersburg, MD 20899. Online submissions in electronic form may be sent to ai_standards@nist.gov. Submissions may be in any of the following formats: HTML, ASCII, Word, RTF, or PDF. Please cite "RFI: Developing a Federal AI Standards Engagement Plan" in all correspondence. All relevant comments received by the deadline will be posted at https://www.nist.gov/topics/artificial-intelligence/ai-standards and regulations.gov without change or redaction, so commenters should not include information they do not wish to be posted (e.g., personal or confidential business information). Comments that contain profanity, vulgarity, threats, or other inappropriate language or content will not be posted or considered.

FOR FURTHER INFORMATION CONTACT: For questions about this RFI contact: Elham Tabassi, NIST, MS 8900, 100 Bureau Drive, Gaithersburg, MD 20899, telephone (301) 975-5292, e-mail elham.tabassi@nist.gov. Please direct media inquiries to NIST's Public Affairs Office at (301) 975-NIST.

SUPPLEMENTARY INFORMATION:

Genesis of the Plan for Federal Engagement in Artificial Intelligence Standards

The Executive Order (EO) on AI[28] states that "[c]ontinued American leadership in AI is of paramount importance to maintaining the economic and national security of the United States and to shaping the global evolution of AI in a manner consistent with our Nation's values, policies, and

[28] https://www.whitehouse.gov/presidential-actions/executive-order-maintaining-american-leadership-artificial-intelligence/.

priorities." Accordingly, Section 1 of the EO calls for a coordinated Federal Government strategy, the American AI Initiative, and notes that the U.S. must drive development of appropriate AI technical standards in order to enable the creation of new AI-related industries and the adoption of AI by today's industries. This can be achieved through the work and partnership of industry, academia, and government.

Section 1(d) of the EO states that the U.S. must foster public trust and confidence in AI technologies and protect civil liberties, privacy, and American values in their application in order to fully realize the potential of AI technologies for the American people.

Section 2(d) of the EO directs Federal agencies to ensure that technical standards minimize vulnerability to attacks from malicious actors and reflect Federal priorities for innovation, public trust, and public confidence, and to develop international standards to promote and protect those priorities.

Section 6(d) of the EO directs the Secretary of Commerce, acting through the Director of NIST, to issue a Plan for Federal engagement in the development of technical standards and related tools in support of reliable, robust, and trustworthy systems that use AI technologies. It further directs NIST to lead the development of the Plan with participation from relevant agencies, as determined by the Secretary of Commerce.

Approach for Developing this Plan

NIST will develop the Plan in a manner that fulfills the objectives of the EO and is consistent with relevant provisions of the Office of Management and Budget (OMB) Circular A-119, "Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities," and NIST's mission to promote U.S. innovation and industrial competitiveness. NIST has a special interest in advancing the development and use of standards relied upon by all sectors of the economy and society, recognizing that the vast majority of standards are developed through a voluntary process led by the private sector.

NIST will be informed through an open process that will include this RFI and other opportunities, such as a public workshop, to provide input. NIST expects to develop a draft Plan on which it will seek comment from the public and Federal agencies. Information about this effort, including ways to provide input, and future steps, will be available at https://www.nist.gov/topics/artificial-intelligence/ai-standards.

Goals of this Request for Information

Timely and fit-for-purpose AI technical standards – whether developed by national or international organizations – will play a crucial role in the development and deployment of AI technologies, and will be essential in building trust and confidence about AI technologies and for achieving economies of scale.

NIST seeks to understand the:

- Current status and plans regarding the availability, use, and development of AI technical standards and tools in support of reliable, robust, and trustworthy systems that use AI technologies;
- Needs and challenges regarding the existence, availability, use, and development of AI standards and tools; and
- The current and potential future role of Federal agencies regarding the existence, availability, use, and development of AI technical standards and tools in order to meet the nation's needs.

For purposes of this Plan[29], AI technologies and systems are considered to be comprised of software and/or hardware that can learn to solve complex problems, make predictions or solve tasks that require human-like sensing (such as vision, speech, and touch), perception, cognition, planning, learning, communication, or physical action. Examples are wide-ranging and expanding rapidly. They include, but are not limited to, AI assistants, computer vision systems, automated vehicles, unmanned aerial systems, voicemail transcriptions, advanced game-playing software, facial recognition systems as well as application of AI in both Information Technology (IT) and Operational Technology (OT).

Responding to This Request for Information

The scope of this RFI includes AI technical standards and related tools regardless of origin or use.[30] Respondents may define "standards" as they desire, indicating clearly what they mean when using the term. AI technical standards and related tools should include those necessary or helpful to reduce barriers to the safe testing and deployment of AI and to support reliable, robust, and trustworthy systems that use AI technologies.

Respondents may define tools as broadly or as narrowly as they wish. They should indicate clearly what they mean when using specific terms (e.g., practices, datasets, guidelines). An illustrative, non-exclusive list of standards-related tools includes:

- Test tools (e.g., executable test code) for conformance testing, performance testing, stress testing, interoperability testing, and other purposes;
- Use cases;
- Reference data and datasets;
- Reference implementations; and
- Training programs.

Where this RFI uses the term "organizations," it refers to private, public, and non-profit bodies, and includes both national and international organizations. If desired, commenters may provide information about: the type, size, and location of their organization(s); and whether their organization develops AI technology and related tools; uses or potentially uses AI technology and related tools; and/or participates in the development of AI standards or related tools. Provision of such information is optional and will not affect NIST's full consideration of the comment.

Comments containing references – including specific standards and related tools – studies, research, and other empirical data that are not widely published (e.g., available on the Internet) should include paper or electronic copies of those materials, unless they are restricted due to copyright or are

[29] This RFI is intended to be broadly directed to any and all technologies that might be considered AI by the US Government and other interested parties. AI systems have been defined in different ways, and this RFI is directed to any information that might fall within any of these definitions. See, for example, section 238(g) of the John S. McCain National Defense Authorization Act, 2019 (P.L. 115-232), in which AI is defined to include the following:

> (1) Any artificial system that performs tasks under varying and unpredictable circumstances without significant human oversight, or that can learn from experience and improve performance when exposed to data sets;
> (2) An artificial system developed in computer software, physical hardware, or other context that solves tasks requiring human-like perception, cognition, planning, learning, communication, or physical action;
> (3) An artificial system designed to think or act like a human, including cognitive architectures and neural networks;
> (4) A set of techniques, including machine learning, that is designed to approximate a cognitive task; and
> (5) An artificial system designed to act rationally, including an intelligent software agent or embodied robot that achieves goals using perception, planning, reasoning, learning, communicating, decision making, and acting.

[30] OMB Circular A-119 defines standards broadly to include: (1) Common and repeated use of rules, conditions, guidelines or characteristics for products or related processes and production methods, and related management systems practices; and (2) The definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength.

otherwise proprietary. In those cases, NIST encourages respondents to provide clear descriptions and designations of those references. Do not include in comments or otherwise submit any information deemed to be proprietary, private, or in any way confidential, as all comments relevant to this RFI topic area that are received by the deadline will be made available publicly at https://www.nist.gov/topics/artificial-intelligence/ai-standards and regulations.gov.

The following list of topics covers the major areas about which NIST seeks information. This list is not intended to limit the topics that may be addressed by respondents, who may provide information about any topic which would inform the development of the Plan. Possible topics, subdivided by area, are:

AI Technical Standards and Related Tools Development: Status and Plans

1. AI technical standards and tools that have been developed, and the developing organization, including the aspects of AI these standards and tools address, and whether they address sector-specific needs or are cross-sector in nature;
2. Reliable sources of information about the availability and use of AI technical standards and tools;
3. The needs for AI technical standards and related tools. How those needs should be determined, and challenges in identifying and developing those standards and tools;
4. AI technical standards and related tools that are being developed, and the developing organization, including the aspects of AI these standards and tools address, and whether they address sector-specific needs or are cross sector in nature;
5. Any supporting roadmaps or similar documents about plans for developing AI technical standards and tools;
6. Whether the need for AI technical standards and related tools is being met in a timely way by organizations; and
7. Whether sector-specific AI technical standards needs are being addressed by sector-specific organizations, or whether those who need AI standards will rely on cross-sector standards which are intended to be useful across multiple sectors.
8. Technical standards and guidance that are needed to establish and advance trustworthy aspects (e.g., accuracy, transparency, security, privacy, and robustness) of AI technologies.

Defining and Achieving U.S. AI Technical Standards Leadership

9. The urgency of the U.S. need for AI technical standards and related tools, and what U.S. effectiveness and leadership in AI technical standards development should look like;
10. Where the U.S. currently is effective and/or leads in AI technical standards development, and where it is lagging;
11. Specific opportunities for, and challenges to, U.S. effectiveness and leadership in standardization related to AI technologies; and
12. How the U.S. can achieve and maintain effectiveness and leadership in AI technical standards development.

Prioritizing Federal Government Engagement in AI Standardization

13. The unique needs of the Federal government and individual agencies for AI technical standards and related tools, and whether they are important for broader portions of the U.S. economy and society, or strictly for Federal applications;
14. The type and degree of Federal agencies' current and needed involvement in AI technical standards to address the needs of the Federal government;

15. How the Federal government should prioritize its engagement in the development of AI technical standards and tools that have broad, cross-sectoral application versus sector- or application-specific standards and tools;
16. The adequacy of the Federal government's current approach for government engagement in standards development,[31] which emphasizes private sector leadership, and, more specifically, the appropriate role and activities for the Federal government to ensure the desired and timely development of AI standards for Federal and non-governmental uses;
17. Examples of Federal involvement in the standards arena (e.g., via its role in communications, participation, and use) that could serve as models for the Plan, and why they are appropriate approaches; and
18. What actions, if any, the Federal government should take to help ensure that desired AI technical standards are useful and incorporated into practice.

Kevin A. Kimball,

Chief of Staff

Notice of RFI Extension

Billing Code: 3510-13

DEPARTMENT OF COMMERCE
National Institute of Standards and Technology
Docket Number: [190312229-9229-01]
Artificial Intelligence Standards

AGENCY: National Institute of Standards and Technology, U.S. Department of Commerce.

ACTION: Notice; extension of comment period.

SUMMARY: The National Institute of Standards and Technology (NIST) extends the period for submitting written comments on the request for information (RFI) entitled ''Artificial Intelligence Standards," published on May 1, 2019. The public comment period was originally scheduled to close on May 31, 2019; the public comment period is extended to now close on June 10, 2019. NIST is taking this action to provide additional time to submit comments because multiple interested parties have expressed difficulty in submitting comments by the original deadline and have asked for an extension.

DATES: Comments must be received on or before June 10, 2019 at 5:00 pm Eastern Time.

ADDRESSES: Written comments in response to this RFI may be submitted by mail to AI-Standards, National Institute of Standards and Technology, 100 Bureau Drive, Stop 2000, Gaithersburg, MD 20899. Online submissions in electronic form may be sent to ai_standards@nist.gov. Submissions may be in any of the following formats: HTML, ASCII, Word, RTF, or PDF. Please cite "RFI: Developing a Federal AI Standards Engagement Plan" in all correspondence. All relevant comments received by the deadline will be posted at

[31] *See* the National Technology Transfer and Advancement Act, https://www.nist.gov/standardsgov/national-technology-transfer-and-advancement-act-1995, and OMB Circular A-119, https://www.whitehouse.gov/wp-content/uploads/2017/11/Circular-119-1.pdf.

https://www.nist.gov/topics/artificial-intelligence/ai-standards and regulations.gov without change or redaction, so commenters should not include information they do not wish to be posted (e.g., personal or confidential business information). Comments that contain profanity, vulgarity, threats, or other inappropriate language or content will not be posted or considered.

FOR FURTHER INFORMATION CONTACT: For questions about this RFI contact: Elham Tabassi, NIST, MS 8900, 100 Bureau Drive, Gaithersburg, MD 20899, telephone (301) 975-5292, e-mail elham.tabassi@nist.gov. Please direct media inquiries to NIST's Public Affairs Office at (301) 975-NIST.

SUPPLEMENTARY INFORMATION: On May 1, 2019, NIST published a notice and RFI in the Federal Register (84 FR 18490), about Artificial Intelligence Standards. The notice requested public comments on or before May 31, 2019. Multiple interested parties have expressed difficulty in submitting comments by the original deadline, and have asked for an extension. In light of these requests, NIST extends the period for submitting public comments to June 10, 2019. Previously submitted comments do not need to be resubmitted.

Kevin A. Kimball,
Chief of Staff.

APPENDIX VI WORKSHOP AGENDA

Federal Engagement in Artificial Intelligence Standards Workshop

National Institute of Standards and Technology | 100 Bureau Drive, Gaithersburg, MD 20899

May 30, 2019 – Final Agenda	
9:00 AM	**Welcome and Overview of Logistics** – Elham Tabassi, Acting Chief of Staff, NIST Information Technology Laboratory (Green Auditorium)
9:20 AM	**Opening Remarks** – Walter G. Copan, NIST Director and Under Secretary of Commerce for Standards and Technology
9:30 AM	**Panel Session – What's Next in Standards Setting for AI** Panel presented by the Center for Data Innovation, https://www.datainnovation.org/ This panel will explore the many facets of AI standards and federal engagement in standards development, specifically. Introduction of panelists by Chuck Romine, Director, NIST Information Technology Laboratory. Panel Discussion: ▪ Jason Matusow, General Manager, Corporate Standards Group, Microsoft ▪ Joshua New, Senior Policy Analyst, Center for Data Innovation (Moderator) ▪ Lynne Parker, Assistant Director for Artificial Intelligence, White House Office of Science and Technology Policy ▪ Anthony Robbins, Vice President, North America Public Sector, Nvidia
10:45 AM	*Transition to Working Session #1 (multiple breakouts, locations varied)*
11:00 AM	**Working Session #1 – What's Out there Already? What's in the Works?** This breakout session will review the current status and plans for, and identify needs and challenges regarding, the availability, use, and development of AI technical standards and tools to support reliable, robust, and trustworthy systems that use AI technologies. Among topics to be addressed: sector specific vs. cross-sector standards, available inventories of AI standards, and AI standards roadmaps.
11:55 AM	*Return to Green Auditorium for Plenary*
12:00 PM	**Plenary Session—Insights from Working Session #1** All-attendee readout/discussion
12:45 PM	*Lunch – NIST Cafeteria (on your own)*
2:00 PM	**Panel Session – What AI Standards are Needed by Federal Government Agencies?** This session will offer examples of the widely varying needs of federal agencies for AI standards to carry out their missions including, but not limited to, R&D, national security, economic development, and oversight. Panel Discussion: ▪ Dan Chenok, Executive Director, Center for The Business of Government, IBM Global Business Services (Moderator) ▪ Rob High, IBM Fellow, Vice President and Chief Technology Officer, IBM Cloud and Cognitive Software ▪ Timothy A. Klein, Director Technology Policy and Outreach, Office of the Assistant Secretary for Research and Technology, U.S. Department of Transportation ▪ Bakul Patel, Director of Division of Digital Health, Food and Drug Administration, U.S. Department of Health and Human Services ▪ Jon White, Deputy National Coordinator for Health Information Technology, U.S. Department of Health and Human Services
3:00 PM	*Transition to Working Session #2 (multiple breakouts, locations varied)*
3:05 PM	**Working Session #2 – How Should the Federal Government Engage?** This breakout session will review the current and potential future engagement of Federal agencies in the development and use of AI technical standards and tools in order to meet the nation's needs. Participants will discuss the unique needs of the federal government and individual agencies for AI technical standards and related tools, and how federal agencies' priorities can be aligned with national needs and priorities.
4:00 PM	*Break*
4:15 PM	**Plenary – Insights from Working Session #2,** Green Auditorium All-attendee readout/discussion
5:00 PM	*Wrap up + Adjourn*

https://www.nist.gov/topics/artificial-intelligence/ai-standards