



U.S. AI Regulation Updates - White House Announces Plan to Boost AI Research and Deployment

美国 AI 监管动态 - 美国白宫宣布推进人工智能研究和部署计划

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TAKEAWAYS

要点

- On May 23, the White House revealed three new steps advancing the research, development and deployment of AI technology nationwide.
2023 年 5 月 23 日，美国白宫透露了在全国范围内推进人工智能技术研究、开发和部署的三个新步骤。
- The Biden Administration has updated the National Artificial Intelligence R&D Plan for the first time since 2019 with a new emphasis on international collaboration and reaffirming the need to address the ethical implications and safety of AI.
美国拜登政府自 2019 年以来首次更新了其《国家人工智能研发计划》，将国际合作作为新的重点，并重申了解决人工智能的伦理影响和安全问题的必要性。
- The Office of Science and Technology Policy is seeking public input to develop a comprehensive National AI Strategy that would promote fairness and transparency in AI while maximizing AI benefits. Responses are due July 7.
美国白宫科技政策办公室正在征集公众意见，以制定一项全面的国家人工智能战略。该战略将促进人工智能的公平性和透明性，并实现人工智能效益最大化。提交意见的截止日期为 2023 年 7 月 7 日。

One of the most advanced technologies of our time is the rise of generative artificial intelligence (AI), a field that currently operates with minimal regulation. U.S. government officials, however, are stepping up their interest in generative AI technology, including assessing the opportunities while cautioning about potential risks. Government agencies are also beginning to seek public comment on these issues, where we expect to see increased activity in the coming months.

生成式人工智能（AI）成为我们这个时代崛起的最先进的技术之一，该领域的运行目前处于最低程度的监管状态下。但是，美国政府官员正愈发展现出对生成式人工智能技术的



兴趣，他们正在评估生成式人工智能带来的机会，也警示其潜在风险。政府机构也开始就这些问题征求公众意见，预计在未来几个月内将有更多行动。

For example, on May 23, the White House announced that it would be taking additional steps to enhance AI research, development and deployment in the United States, building on its [May 4 announcement advancing the AI Bill of Rights](#).

例如，2023 年 5 月 23 日，白宫宣布将在 [5 月 4 日宣布推进《人工智能权利法案》](#) 的基础上，采取更多措施加强美国的人工智能研究、开发和部署。

The recent announcement outlined three key steps the government is pursuing to promote AI: publishing an updated National Artificial Intelligence R&D Strategic Plan, soliciting public feedback on advancing AI research, and releasing a Department of Education report on the benefits and risks of AI in education. This alert focuses on the first two announcements.

最新的公告概述了美国政府正为促进人工智能而采取的三个关键步骤：发布更新后的《国家人工智能研发战略计划》，征求公众对推进人工智能研究的意见，以及发布美国教育部关于人工智能在教育中的益处和风险的报告。本文主要关注前两项公告。

The National AI R&D Roadmap

美国国家人工智能研发路线图

In the White House announcement, the Office of Science Technology and Policy (OSTP) released its update to the National AI R&D Strategic Plan. The driving force of this plan is to balance innovation with safety—to “manage the risks” of AI so that it may “seize the opportunities.” The 2023 document includes eight strategies from the 2019 plan and adds a ninth focus on international collaboration. The plan was updated in accordance with feedback from over 60 individuals and organizations representing research and civil society invested in responsible AI development. The majority of these responses emphasized the need for the national plan to address the ethical, legal and societal implications of AI (such as [AI’s potential impact on civil rights](#)) and the need to address the safety and security of AI systems.

根据美国白宫公告，科技政策办公室（OSTP）发布了更新版的《国家人工智能研发战略计划》。该计划以创新与安全问题的平衡作为驱动力，“管理人工智能的风险”，从而“抓住机遇”。2023 年更新的文件包括 2019 年计划中的八项战略，并增加了国际合作作为第九项重点。该计划的更新基于代表致力于负责任人工智能开发的研究和民间社群的 60 多个个人和组织的意见。这些反馈大多强调，国家计划需要解决人工智能的伦理、法律和社会影响问题（例如[人工智能对公民权利的潜在影响](#)），并解决人工智能系统的安全和保障问题。

The strategies outlined in the roadmap are:

美国国家人工智能研发路线图中列出的战略包括：

- Make long term investments in fundamental and responsible AI search.
对基础性、负责任的人工智能研究进行长期投资。



- Develop effective methods for human-AI collaboration.
开发人类与人工智能合作的有效方法。
- Understand and address the ethical, legal and societal implications of AI.
理解并解决人工智能的伦理、法律和社会影响问题。
- Ensure the safety and security of AI systems.
确保人工智能系统的安全和保障。
- Develop shared public datasets and environments for AI training and testing.
为人工智能训练和测试开发的共享的公开数据集和环境。
- Measure and evaluate AI systems through standards and benchmarks.
提过标准测评人工智能系统。
- Better understand the national AI R&D workforce needs.
更好地了解国家人工智能研发人员的需求。
- Expand public-private partnerships to accelerate AI.
扩大公私合伙关系以加速人工智能发展。
- Establish a principled and coordinated approach to international collaboration in AI research.
建立人工智能研究国际合作的原则性和协调性方法。

The [FY24 Budget Request](#) dedicated portions of the President's budget specifically to AI development and deployment. The OSTP is calling on the agencies who were allocated AI funding to prioritize R&D to make AI trustworthy, equitable and both rights- and privacy-preserving while carrying out their missions.

美国 [《2024 财年预算申请》](#) 专门划拨总统预算中的一部分用于人工智能开发和部署。白宫科技政策办公室呼吁获得人工智能资助的机构将人工智能在执行任务时的公平性与可信度作为首要目标，并保护权利和隐私的技术研发。



Request for Information—Opportunities for Industry to Provide Feedback

信息征集——行业提供反馈的机会

The May 23 announcement advertised a new opportunity for public comments on a Request for Information (RFI) from the Office of Science and Technology Policy that will help chart the course of the National AI Strategy. The National AI Strategy will provide a “whole-of-society approach to AI.” The comments requested will provide information on the current uses of AI as well as project future uses of AI to empower the United States to be as responsive as possible to the latest opportunities and challenges posed by the evolving technology.

5 月 23 日的公告为公众提供了就白宫科技政策办公室的信息征集（RFI）提出评论意见的新机会，这将有助于制定美国国家人工智能战略。美国国家人工智能战略将提供一种“全社会的人工智能方法”。所征集的意见将提供关于人工智能当前用途的信息，并规划人工智能的未来用途，以使美国能够尽可能地应对不断发展的技术所带来的最新机遇和挑战。

The RFI is designed to capture the range of risks and benefits in AI programs for the ultimate product of an effective National AI Strategy. The questions span various issues, from protecting rights, safety and national security, to advancing equity, bolstering democracy, promoting economic growth and innovating public services. For example, the OSTP is looking to how AI can be regulated to ensure that systems are designed and developed with safety in mind as well as how spurring AI development could help address equity or maximize national security. In order for the Office to have a complete picture of the uses of AI, the OSTP highlighted that they will review the results not only of this RFI, but of the ongoing opportunities for public engagement across the federal government, generating information about AI deployment nationwide.

信息征集旨在了解人工智能计划的风险和收益范围，以便最终形成一个有效的国家人工智能战略。征集的问题涵盖各个议题，从保护权利、安全和国家安全，到促进公平、支持民主、促进经济增长和创新公共服务等。例如，白宫科技政策办公室正在研究如何监管人工智能，以确保系统的设计和开发过程中考虑到安全要素，以及如何刺激人工智能的发展，才能更有助于解决公平问题或使国家安全得到最大保护。为了全面了解人工智能的使用情况，白宫科技政策办公室强调，他们不仅将审查这一信息征集的结果，整个联邦政府还将为公众提供持续参与交流的机会，以生成关于全国人工智能部署的信息。

Industry has significant opportunities to weigh in on AI regulation by submitting comments to the executive branch offices. This latest RFI is one in a series of agency announcements requesting feedback or guidance from AI stakeholders. Other announcements include:

向行政部门提交评论意见是业界参与人工智能监管的重要机会。这一最新的信息征集通知是一系列要求人工智能利益相关方反馈或提供指南的政府机构公告之一。其他公告包括：

- The [Department of Commerce National Telecommunications and Information Administration \(NTIA\)](#) is requesting comments on how to create accountable AI systems—through audits, assessments or perhaps even certification programs. Comments are due June 12, 2023.

[美国商务部国家电信和信息管理局（NTIA）](#)正在征求关于如何通过审计、评估乃至认证计划来创建负责任的人工智能系统的评论意见。评论意见的截止日期为 2023 年 6 月 12 日。

- The OSTP has a concurrent [RFI on Automated Worker Surveillance](#) reviewing how employers are using automated systems to monitor, manage and evaluate their workers. 白宫科技政策办公室同时发布了一份[关于“自动雇员监控”的信息征集](#)，审查雇主如何使用自动系统来监控、管理和评估他们的雇员。
- The [Department of Health and Human Services](#) is reviewing comments on a proposed rule that would address health data privacy and risk management and enhance the Office of the National Coordinator for Health Information Technology Health IT Certification Program. Comments are due June 20, 2023. [美国卫生和人类服务部](#)正在审查关于一项拟议规则的评论意见，该规则将解决健康数据隐私和风险管理问题，并加强美国国家卫生信息技术协调办公室的健康信息技术认证计划。评论意见的截止日期为 2023 年 6 月 20 日。
- The National Institute of Standards and Technology (NIST) is seeking comments on a [white paper draft](#) setting the terminology of AI threats and attacks for future standards and guidance. NIST is specifically asking stakeholders to provide input on attacks threatening the AI landscape, mitigations to risk that will withstand the test of time and asking for any updates on AI technology trends or terminology. Comments are due September 30, 2023. 美国国家标准与技术研究所（NIST）正在就一份[白皮书草案](#)征求意见，该草案设定了人工智能威胁和攻击方面的相关术语，用于未来制定标准和指南。美国国家标准与技术研究所特别要求利益相关方提供关于威胁人工智能领域的攻击、经受住时间考验的风险缓解措施的意见，并征集关于人工智能技术趋势或术语的任何最新进展。评论意见的截止日期为 2023 年 9 月 30 日。
- The [Office of Management and Budget](#) will be releasing draft policy guidance on the use of AI systems by the federal government sometime this summer. The department will be requesting feedback on how to best leverage AI while safeguarding the people’s rights and safety. [美国白宫管理和预算办公室](#)将在今年夏天发布关于联邦政府使用人工智能系统的政策指导草案。该部门将征集关于如何在保证人民权利和安全的同时最佳利用人工智能的意见。