Agenda

State Government Artificial Intelligence Advisory Council

Members

Terrence Woods, Chair
State Chief Information Officer

Kathryn Darnall Helms
State Chief Data Officer

Melinda Gross
Department of Administrative Services
Cultural Change Officer

Daniel Bonham
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Janice Lee

Justus Eaglesmith

Kimberly McCullough

K S Venkatraman

Saby Waraich

Board Administrator

Shirlene Gonzalez

Kathryn Darnall Helms

Meeting Date:	**Tuesday, June 11, 2024**
Time:	2:00 P.M. – 4:00 P.M.
Location:	**Join the Meeting Here** **Meeting ID:** 216 565 392 995 **Passcode:** ekgWVp **Phone:** +1 503-446-4951 **Phone conference ID:** 944 308 59#

ITEM	PRESENTER	TIME	ACTION, NOTES
1. Call to Order and Roll Call			
	Terrence Woods	2:00-2:05	Confirm quorum
2. Benchmarking Presentation			
Attachment 2.1: Benchmarking Report	Jason Rood	2:05-2:35	Discussion
3. Framework Table of Contents			
Attachment 3.1: Proposed Framework Development Approach and Results Attachment 3.2: Framework Categories Definitions	Terrence Woods, Kathryn Darnall Helms	2:35-3:05	Discussion
4. Subgroup volunteers			
	Terrence Woods	3:05-3:25	Discussion
5. Updated Council Timeline			
Attachment 5.1 SGAI Advisory Council Updated Timeline	Terrence Woods	3:25-3:30	Informational
6. Council Comments			
	Council Members	3:30-3:45	Discussion
7. Public Comment			
Attachment 7.1: SG AI Written Comments Through June 3, 2024 Sign-up instructions for providing public comment verbally or in writing are posted on the Council's webpage: https://www.oregon.gov/eis/Pages/ai-advisory-council.aspx Individuals are asked to limit verbal comments to three minutes or less.		3:45 – 4:00	Testimony

Next meeting:
To be scheduled
Virtual

Accommodations can be arranged for persons with disabilities, and alternate formats of printed material are available upon request. Please contact Enterprise Information Services at 503-378-3175 at least 72 hours in advance of the meeting to request accommodations. Closed captioning is included on the Microsoft Teams meeting.

State Government Artificial Intelligence Advisory Council

Meeting Date: Tuesday, June 11, 2024

Attachment 2.1 Benchmarking Report

ENTERPRISE information services

Artificial Intelligence Governance Benchmark Report

JUNE 4, 2024

Contents

Executive Summary

This report provides an overview of different governmental policy efforts and activities related to managing and governing Artificial Intelligence (AI) tools and their associated risks and opportunities. In preparing this report, Enterprise Information Services (EIS) collected data from several sources (Figure 1):

1. Collected and analyzed government and public interest policies and research from both national and global sources;
2. Surveyed Executive Branch agencies to better understand their use, concerns, needs and perceived benefits of AI; and
3. Analyzed public comments submitted to the State Government Artificial Intelligence Advisory Council (Council).

Using multiple data sources aims to provide the Council with information that reflects a broad understanding of AI's risks and opportunities from multiple perspectives. This approach ensures the Council's recommendations are guided by a diverse perspective that includes local, state, and international viewpoints, as well as direct input from the public.

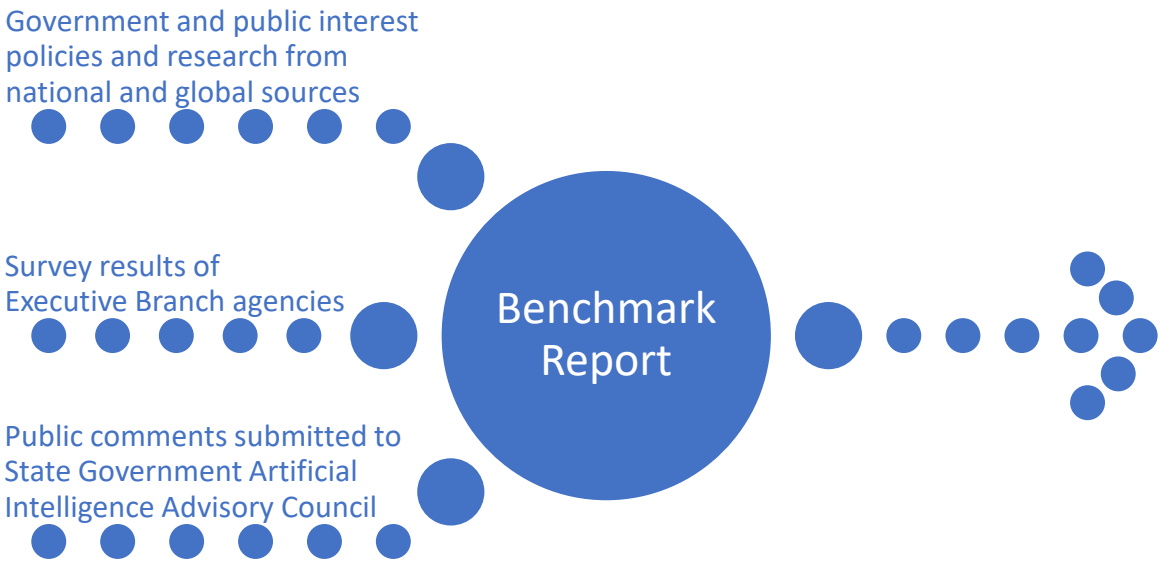


Figure 1 shows the three sources of data for the benchmarking report (i) review of AI-related executive orders, policies, and legislation; (ii) survey of Oregon Executive Branch agencies on their use, concerns, needs and perceived benefits of AI; and (iii) analysis of public comments received by the Council.

Although AI and machine learning have been foundational technologies for many decades, the recent development of Generative AI (GenAI) represents a novel and significant shift in the technology landscape. Major technology platforms have rapidly adopted GenAI, embedding capabilities into various software and cloud services to enhance productivity and creative processes. This adoption has broadened access to powerful AI tools, enabling even non-experts to use them. At the user level, the growth has been phenomenal. For instance, ChatGPT reached over a million users within a week of its release and reportedly surpassed 100 million users by early 2023, making it one of the fastest-growing

consumer applications ever.[1] This expansive adoption underscores a transformative shift. Empowering not only large corporations but also individual developers, small businesses, and general technology enthusiasts, thereby ushering in a new era of innovation across multiple sectors and enhancing both personal and professional digital interactions.

This report aids to equip the Council in developing recommendations to guide awareness, education, and usage of AI in state government that aligns with the state's policies, goals, and values and supports public servants to deliver customer service more efficiently and effectively. This report serves to identify leading practices among governmental AI pioneers, assess internal needs and concerns within agencies, and include public input to ensure a well-rounded and effective AI framework that aligns with the priorities in Governor Kotek's Executive Order 23-26.[2]

Key Findings

1. **Executive Orders, Policies and Legislation**
   Oregon is in the early stages of developing AI governance. While Oregon is ahead of some states, Oregon is still able to learn from numerous public sector organizations that have already developed and operationalized advanced AI policies.
2. **Enterprise AI Survey**
   Some Executive Branch agencies have explored AI and identified needs, including technical training, strategy development, and guidance. Some agencies have developed internal materials and at least two have published guidance and recommendations.
3. **Council Public Comment**
   Although low in volume, comments indicate an overall positive sentiment on the state's approach and provide guidance on key areas: privacy, healthcare, and cross section collaboration.

[1] Reuters. (2023, February 1). ChatGPT sets record for fastest-growing user base: Analyst note. Reuters. https://www.reuters.com/technology/chatgpt-sets-record-fastest-growing-user-base-analyst-note-2023-02-01/

[2] https://www.oregon.gov/gov/eo/eo-23-26.pdf

Introduction

Benchmarking government activities of AI is crucial for several reasons. First, it offers a broad overview of how Oregon compares with other organizations, essential for pinpointing strengths and identifying areas needing greater attention. This comparison highlights best practices and lessons learned experienced by others. Second, benchmarking supports realistic and strategic goals based on proven methodologies and successful outcomes from similar entities. The anticipated benefits of this comparison include improved decision-making, enhanced policy development, and adoption of effective innovations and governance practices.

EIS gathered information on AI developments to address the following questions:

1. How are other public sector organization approaching AI?
2. Where are Oregon Executive Branch agencies in their AI journey?
3. How can we use both experiences from other organizations and insights from Oregon Executive Branch agencies to help information the recommendations of the Council?

Government Activities Overview

Description of Activities

The rapid advancement of AI has highlighted the critical need for AI governance frameworks. Organizations are at various stages of this journey: some are in the initial phases of awareness and policy creation, others have moved onto implementing oversight bodies and regular audits, while some have skipped stages due to unique circumstances (Figure 2). The pace of developing AI governance has accelerated recently, due to increased regulatory scrutiny, and recognition of AI's societal impact, but most of all from the integration of GenAI in productivity tools and consumer goods.

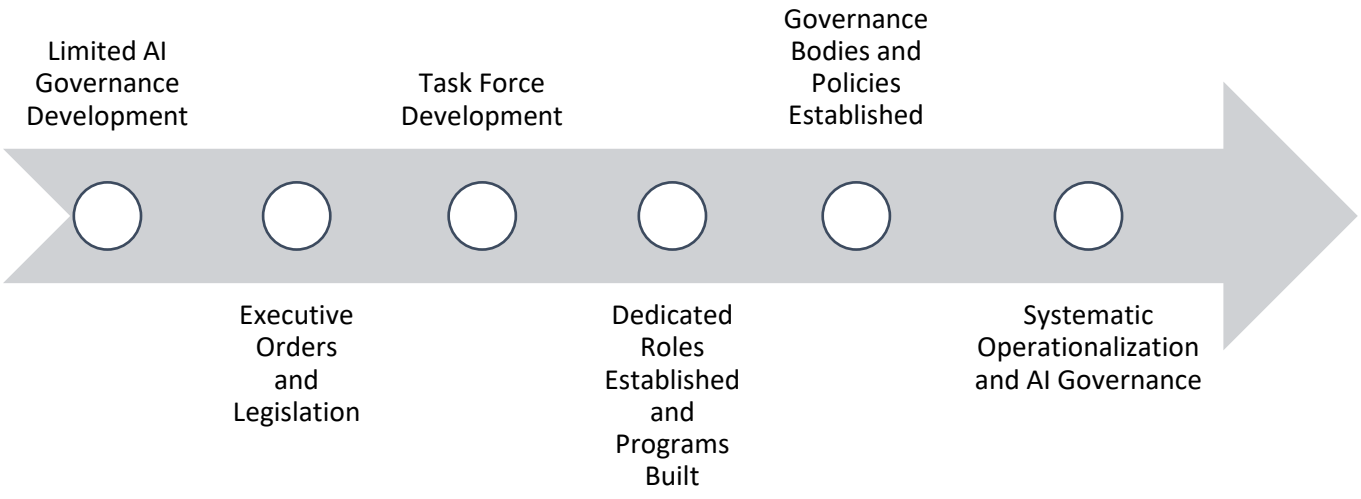


Figure 2 shows the observed stages of AI Governance: from limited AI governance to executive orders and legislation, task force development, dedicated rules established and programs built, governance bodies and policies established, and finally to systematic operationalization and AI governance.

As of May 31, 2024, Oregon stands in the early stages of AI governance development and task force development. There are approximately the same number of states ahead of Oregon as there are behind Oregon in AI governance development. Oregon is well positioned to take advantage of the progress made by other states.

Core Organizational Activities

The core activities listed below represent observed stages in AI governance development. As the list ascends, the activities increase in complexity. Organizations focusing on specific activities are identified in parenthesis following each activity.

1. **Executive Orders** (federal government, Baltimore, Alabama, Rhode Island): Executive orders have generally covered a broad set of topics and goals. Some executive orders have set investment priorities, established accountability, and/or focused on issues like privacy or innovation. Additionally, several executive orders, Oregon as an example, have established task forces to develop recommendations.
2. **Legislation** (New York, Michigan, Vermont, California, Idaho, European (EU) AI Act): Legislation around AI has focused on specific issues, such as AI use cases and broad topics such as transparency, reporting, accountability, public engagement, and frameworks for ethical use. The EU AI Act stands out by establishing risk level classifications, regulations, penalties, and monitoring mechanism.
3. **Establishing Task Forces** (Vermont, West Virginia, federal government, Oklahoma, Oregon, Massachusetts, Illinois, Texas): Task forces have been established to address both narrow and broad AI-related topics, including readiness, adoption, training, sector impacts, research priorities, economic growth, collaboration, and fostering innovation. Vermont and Oklahoma have both concluded their taskforce activities and provided recommendations to their states.
4. **Dedicated Positions and/or Program** (federal government, Vermont, New Jersey): At the federal level, each agency has been ordered to appoint a Chief Artificial Intelligence Officer responsible for overseeing AI initiatives across their organization and ensuring compliance with governance. In Vermont, the Chief Data and AI Officer coordinates and promotes AI initiatives while maintaining governance practices and bodies. In New Jersey, the Chief AI Strategist focuses on research and developing innovation hub partnerships.
5. **Establishing Governing Bodies** (Vermont, Ohio, Maryland, Pennsylvania): AI governance bodies across the nation focus on a range of topics, including the development and implementation of policies, AI initiative coordination and oversight, ethical use of AI, and identifying opportunities where AI can drive innovation.
6. **Governance and Operationalization** (federal government, Vermont, New York): At the federal level, the Office of Management and Budget is tasked with collecting and maintaining a robust AI inventory, allowing for risk management and performance tracking. In Vermont, AI use cases are identified, documented, and analyzed to better understand where AI offers the most practical advantages. In New York risk assessments are performed on all AI initiatives to ensure they are safe, fair, and reliable.

Benchmarking Analysis

An initial analysis reviewed AI resources published by various states across the U.S. The related chart below (Figure 3) highlights the leading states by volume of official AI-related content they have developed, including executive orders, legislation, and official policy guidelines and recommendations. California, Ohio, and Vermont emerge as the frontrunners. This section will illustrate the policy areas these resources cover, comparing them against Oregon's focus areas to identify alignment and gaps. Furthermore, this report will analyze which states are focusing most intensively on specific AI policy areas, highlighting where leadership and innovation are concentrated in the national AI policy ecosystem.

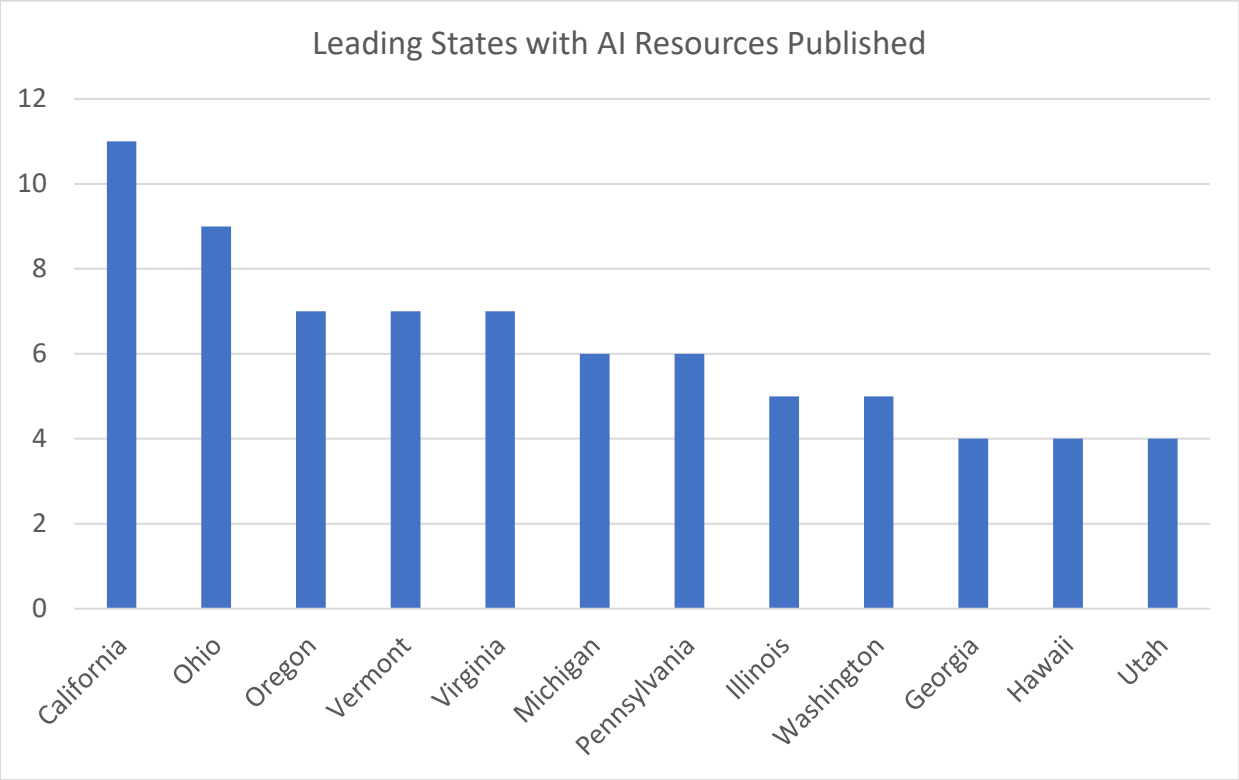


Figure 3 shows the number of resources that states leading in AII governance have published. The number of published resources range from a high of 11 for California, 7 for Oregon, and 4 each for Georgia, Hawaii, and Utah.

EIS staff worked to identify organizations from across the globe that would yield the best resources for analysis. This analysis only includes organizations that have developed and published resources online related to AI, such as legislation, executive orders, standards, policies, and guidelines. Organizations with published resources were further limited to the following criteria:

1. Comparable States: EIS identified states with comparable populations and levels of centralization in IT leadership, providing relevant points of comparison for Oregon.
2. Leading Organizations: EIS focused on several organizations as front runners in AI governance development at the time of data collection, even though they were not directly comparable to Oregon.

The table below (Figure 4) highlights which organizations are active in specific categories, indicated by filled cells. Notably, the European Union and the United States are engaged across nearly all categories, indicating their comprehensive approaches to AI governance. In contrast, the table reveals gaps in engagement for organizations like Idaho and Colorado, particularly in areas such as customer service excellence and operational policy. This information can inform the Council's efforts to address disparities and promote balanced development across all critical AI governance categories.

Organization Name	Privacy	DEI	Enhance AI Education	Transparency	Governance	Promote AI Usage	Accountability and Responsibility	Regulatory	Customer Services	Operational Policy	Policy Alignment and	Risk	Workforce
Australia					X								
Boston	X	X		X		X			X				
California		X	X			X							
Colorado	X												
European Union	X	X		X	X	X	X	X	X	X	X	X	
Georgia	X	X	X					X					
Idaho				X									
Indiana					X			X		X			
Kansas	X		X				X	X		X		X	
Maryland	X	X	X	X		X		X			X		
New Hampshire	X	X		X									
New Jersey		X	X		X	X	X						
New York	X	X		X					X				
Ohio	X		X		X			X					
Pennsylvania	X	X	X	X	X								X
Rhode Island			X		X		X			X			
San Jose	X	X	X	X			X		X		X		
Seattle	X	X		X		X		X	X				
Texas	X	X	X	X	X		X		X				
United States	X	X	X	X	X	X	X	X	X			X	X
Utah	X	X	X	X		X			X				
Vermont		X	X		X	X	X	X					X
Virginia	X			X	X		X						
Washington	X	X	X			X							

Figure 4 shows which of the 13 policy categories are covered by each of the 24 organizations reviewed. More than half the organizations reviewed have policies covering the categories of Privacy, DEI, Enhance AI Education, and Transparency.

Comparative Analysis

The table below (Figure 5) provides a comparison of organizational focus on different aspects of AI-related governance policy, and operational concerns. The European Union demonstrates a high level of engagement across multiple areas, particularly in governance, promoting AI usage, policy alignment and development, regulatory frameworks, and risk management. This indicates a comprehensive and balanced approach to AI policy and governance, emphasizing the importance of a well-rounded strategy that includes robust regulatory frameworks and risk management.

Organization Name	Governance	Customer Services Excellence	DEI	Privacy	Promote AI Usage	Transparency	Enhance AI Education	Accountability and Responsibility	Operational Policy	Policy Alignment and Development	Regulatory	Risk	Workforce
Australia	29												
Boston		46	62	63	628	104							
California			84		250		141						
Colorado				89									
European Union	1199	664	325	659	384	925		365	64	125	1267	842	
Georgia			47	42			32				264		
Idaho						103							
Indiana	94								101		97		
Kansas				14			21	9	45		40	12	
Maryland			39	15	67	15	32			12	49		
New Hampshire			56	11		7							
New Jersey	66		48		72		48	42					
New York		51	46	134		42							
Ohio	123			5			121				331		
Pennsylvania	100		38	24		26	25						13
Rhode Island	30						55	3	75				
San Jose		147	78	312		143	114	18		45			
Seattle		74	88	78	89	176					94		
Texas	5	5	14	10		193	95	7					
United States	411	198	625	226	2066	45	43	15			18	2281	175
Utah		23	21	97	14	37	29						
Vermont	20		125		31		883	132			279		71
Virginia	96			82		120		53					
Washington			283	164	107		113						

Figure 5 shows the depth (using word count as a proxy) and breadth (using number of policy areas covered as a proxy) of the AI policies of the organizations reviewed.

The United States federal government has significant focus on governance, privacy, transparency, operational policy, regulatory frameworks, and risk management. This highlights a strong emphasis on regulatory frameworks and risk management, reflecting the country's legal and compliance-driven approach to AI. California, in contradiction, prioritizes privacy and transparency, showing a targeted approach toward specific aspects of AI governance.

The data also reveals areas needing more attention. For instance, diversity, equity, and inclusion (DEI) is a key focus in Vermont, but other regions like Kansas and Texas show less engagement in this area. Similarly, customer service excellence varies, with Seattle and Virginia showing higher engagement, while other regions focus their resources elsewhere. Workforce development is another area with generally low engagement, indicating a potential gap in preparing the workforce for AI integration. These insights can guide Oregon's strategic decisions and policymaking to address gaps and reinforce strengths in AI governance and implementation.

Leading Activities

Various organizations are pioneering a wide array of activities to ensure responsible, effective, and innovative use of AI. From maintaining comprehensive AI inventories and documenting use cases to piloting new AI solutions and creating AI sandboxes, these organization are at the forefront of AI governance and implementation. These organizations are also establishing frameworks for AI procurement, readiness assessments, risk management, explainability, and ethics, demonstrating their commitment to leveraging AI's potential while addressing its challenges. The following sections highlight some of the leading activities undertaken by these organization to advance AI integration and oversight.

1. **AI Inventories:** Federal government agencies, in compliance with Executive Order 13960, are required to create an inventory of AI use cases and make available to the public. Ohio, California, and New York also have AI inventories.
2. **Use Case Lists:** A comprehensive list of all federal government use cases is published[3] to enhance safety and governance. The GovAI Coalition effort is developing AI use cases. Non-federal governments identifying use cases include San Jose, Maryland, Ohio, and Vermont. Identifying use cases helps to evaluate practical benefits.
3. **Pilots:** Pennsylvania conducts pilots to explore new applications, including Open AI. Maryland implements AI pilots to test new and innovative solutions. California's CALPro has launched GenAI pilot projects to innovate state processes and address specific problems across their largest agencies. Washington's WaTech is developing plans to address infrastructure needs for future GenAI pilot programs.
4. **AI Sandbox:** California's CALPro is executing contracts with vendors to establish AI sandbox to foster experimentation and innovation in key policy areas. The EU created a regulatory sandbox to test AI technologies under controlled conditions, and Ohio developed an AI sandbox for safe and security AI testing.

[3] Federal AI Use Case Inventories - AI.gov: https://ai.gov/ai-use-cases/

5. **Procurement:** San Jose is developing advanced AI procurement practices to enhance city services, including vendor lists. Fed Ramp addresses specific concerns related to AI procurement to ensure secure cloud services. California's CALPro has implemented specific AI procurement guidelines and strategies for state projects.
6. **Readiness:** The EU developed a readiness framework for AI adoption. The federal government measures AI readiness by assessments to support national AI strategy. The Consortium for School Networking/Council for the Great City Schools prepares education institutions for AI adoption. Vermont assesses AI readiness to ensure effective implementation.
7. **Risk:** The EU implements risk management frameworks for AI systems. The federal government's National Institute of Standards and Technology (NIST) developed standards to manage AI risks. States identified for performing AI risk assessments include Indiana, Utah, Idaho, and New York.
8. **Explainability:** NIST developed explainability standards for AI technologies. New Hampshire promotes AI explainability to increase transparency. Seattle ensures AI systems are explainable to foster trust.
9. **Ethics:** Vermont established ethical guidelines for AI use. Ohio implemented ethical standards for AI technologies. Georgia developed ethical frameworks to guide AI implementation. New Hampshire promotes ethical AI practices.

Oregon Executive Branch Agencies

According to survey results, the majority (70%) of responding agencies have started their GenAI journey (Figure 6). Many have started developing use cases and only a small percentage (7%) are disinterested in use AI. As of May 31, 2024, few agencies have developed internal guidelines and only two have published materials (Oregon Department of Education, Oregon Workforce and Talent Development Board).

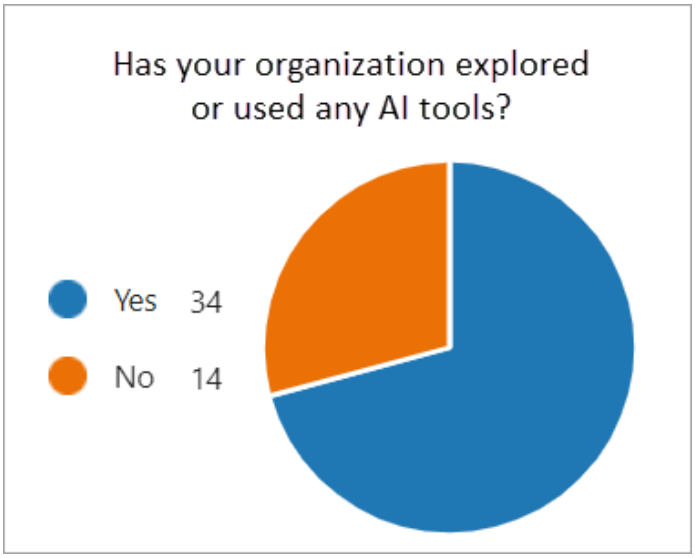
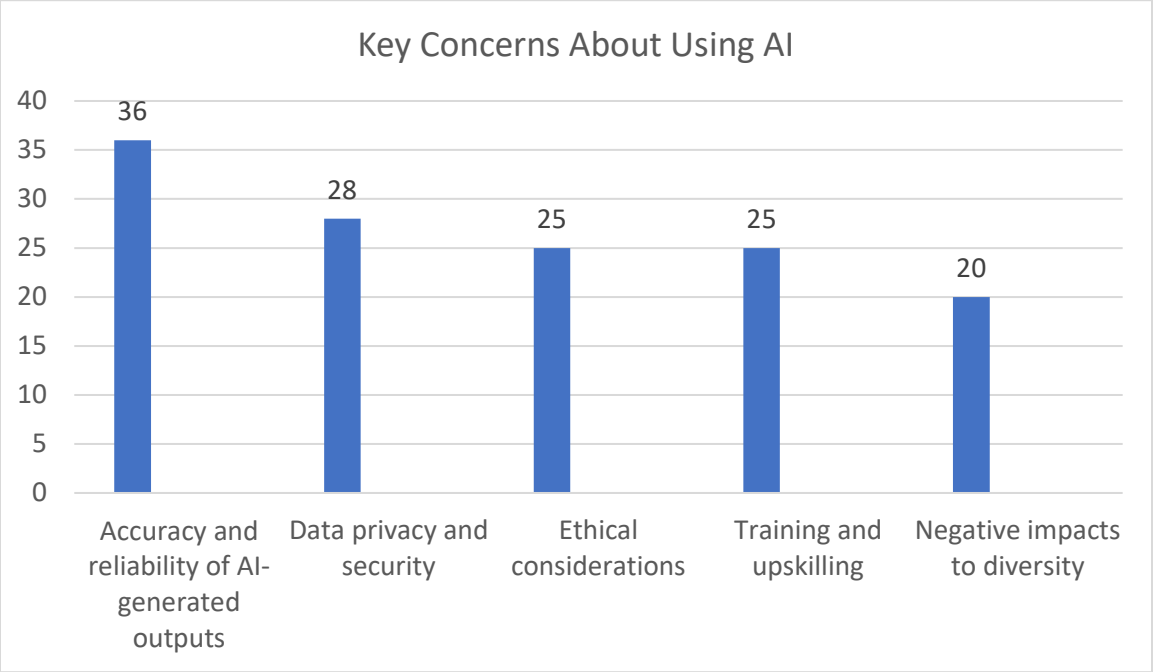
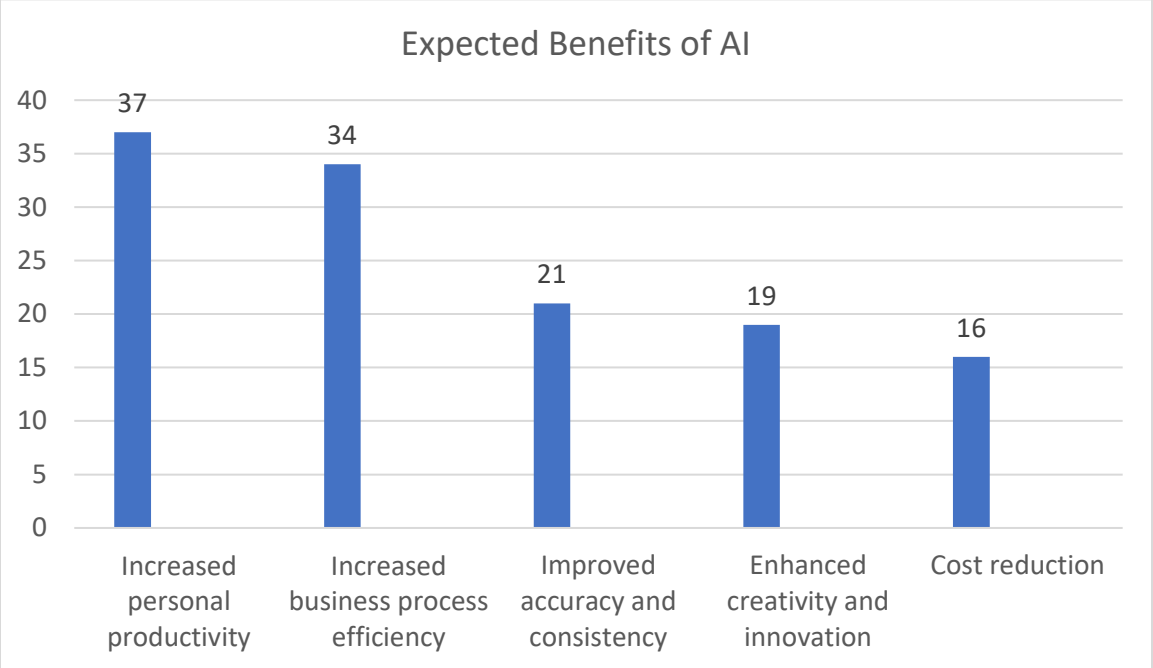


Figure 6 shows the use of AI among agencies. 34 of the surveyed organizations had at least explored AI tools, while 14 had not.

The top concern among agencies is the accuracy and reliability of AI-generated outputs, mentioned 36 times, reflecting a fundamental need for dependable AI systems and governance (Figure 6). The concern

was closely followed by data privacy and security (28 mentions) and ethical considerations (25 mentions), highlighting the importance of safeguarding sensitive information, and adhering to moral standards in AI applications. Additionally, training and upskilling (25 mentions) is a significant concern, indicating a gap in the current skill sets required to effectively implement and use AI technologies. Concerns about negative impacts to diversity were mentioned 20 times, validating the importance of ensuring equity and inclusiveness with the use of AI.





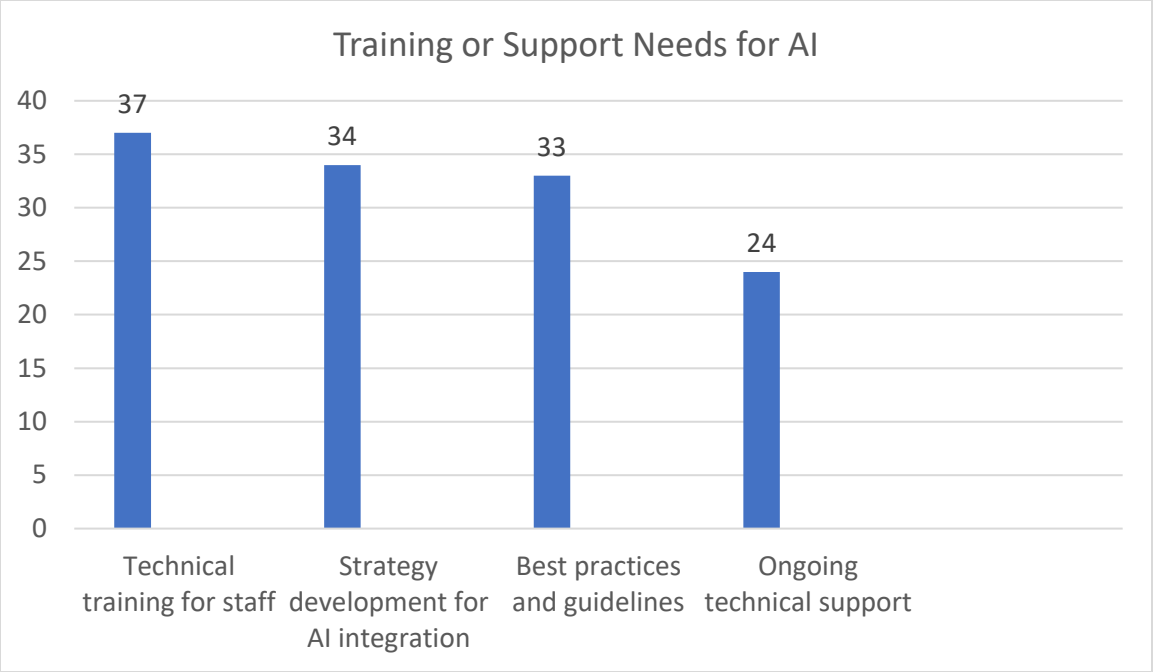


Figure 7: From top to bottom - the three charts show the concerns, benefits and needs related to AI that were expressed by agencies surveyed. Accuracy and reliability were the greatest concern expressed, increased personal productivity was the leading benefit, and technical training for staff was the biggest expressed need.

The most anticipated benefit of AI is increased personal productivity (27 mentions). Business process efficiency (34 mentions) and improved accuracy and consistency (21 mentions) are also highly expected outcomes, which relate to the top concerns about accuracy and reliability. To support AI integration, the highest need is for technical training for staff (37 mentions), followed by strategy development for AI integration (34 mentions) and best practices and guidelines (33 mentions). Ongoing technical support was mentioned as a need 24 times, indicating the importance of sustained assistance. These insights suggest that agencies would prioritize training programs and comprehensive strategies and guidelines to address ethical, security, and accuracy concerns, thereby maximizing the benefits and fostering responsible AI adoption.

Public Comment

As of May 31, 2024, the Council has received eight written comments. This is a small sample size for conducting either keyword or sentiment analysis though the results indicated six positive responses and two negative responses. The opportunity for the public to provide comment, both written and verbal, continues through the Council's term.

Report Challenges and Limitations

Data gathering for the Benchmarking Dataset was a manual effort. Data was collected ad-hoc, introducing the possibility of human error despite rigorous checks during categorization.

Since not all international, federal, state, and local agencies participate in sharing their internal standards, policies, and activities, the extent of knowledge about the AI landscape in government is limited to a small sample size.

Conclusion

The state of Oregon has a strong Executive Order, multiple legislative actions, two task forces, and agencies developing resources regarding AI. Oregon is at the beginning of developing and implementing its AI governance structure. Oregon can learn from the pioneers of AI governance, such as Vermont, who has identified key areas of concern including privacy, DEI, and transparency, and AI education. These pioneers have developed policies, best practices, and checklists to mitigate key risks and have also shown use cases where GenAI can be safely leveraged to enhance productivity and end-user experience.

Steps to increase AI governance include:

1. Establish AI leadership roles and programs.
2. Develop policies, standards, and guidelines.
3. Create structures to track, evaluate, prioritize, and oversee how AI is deployed in environments.

Governor Kotek's Executive Order 23-26 conveys expectations regarding AI, including DEI, privacy, transparency, workforce, and customer services excellence. Analysis indicates these expectations are shared by many organizations. Oregon can join the leadership to develop guidelines, policies, and standards that will help address these challenging AI topics.

State agencies continue to seek opportunities to improve their services and positively impact Oregonians. Executive Branch survey results reveal a great interest in the promise of AI, especially in relation to personal productivity and business efficiency. Technical, strategic, and practical guidance is needed to support the agencies with privacy, security, and ethical usage of AI. These needs and anticipated benefits align with the approaches identified in other organizations, providing Oregon with strong examples.

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State Government Artificial Intelligence Advisory Council

Meeting Date: Tuesday, June 11, 2024

Attachment 3.1 Proposed Framework Development Approach and Results

State Government Artificial Intelligence Advisory Council

Proposed Framework Development Approach and Results

June 11, 2024

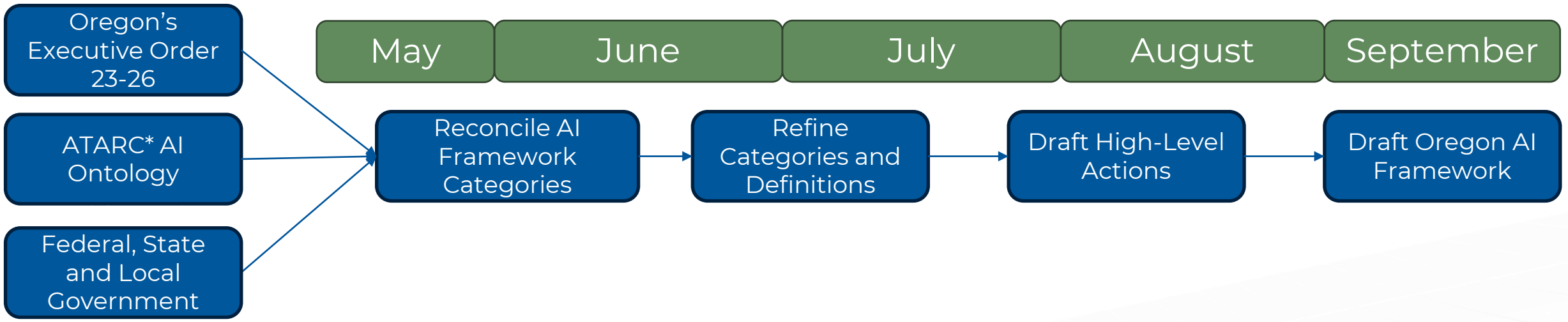
Agenda

- Suggested Framework Approach
- Prioritizing AI Principles Categories
- Category Ratings
- Council Feedback
- Subcommittee Interest
- Recommendations for Subcommittees

Suggested AI Framework Approach

- **Identify Oregon's Principles for Artificial Intelligence**
  - Example sources: White House AI Bill of Rights, Organization for Economic and Cooperative Development AI Principles
  - Sample Principles: Privacy, Explainability, Security and Safety
- **Develop recommendations for how Oregon supports its AI principles**
  - Examples: Privacy Recommendation: Require Notice and Explanation for all AI Systems..., Risk Management Recommendation: Adopt the NIST AI Risk Management Framework...
- **Produce Council action plan with principles, recommendations, and identified next steps for Oregon**

Suggested AI Framework Approach



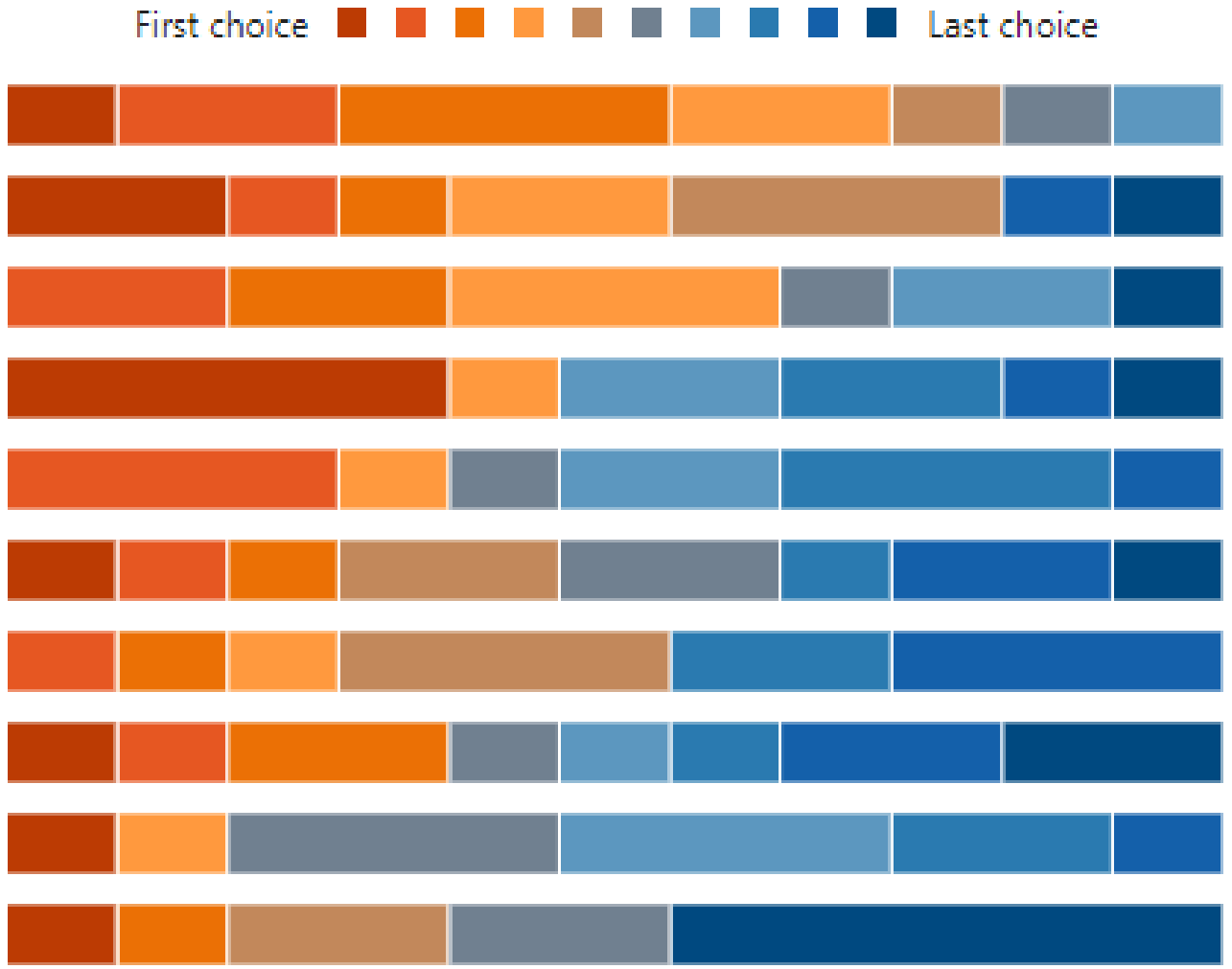
*ATARC: Advanced Technology Academic Research Center

Prioritizing AI Principles Categories

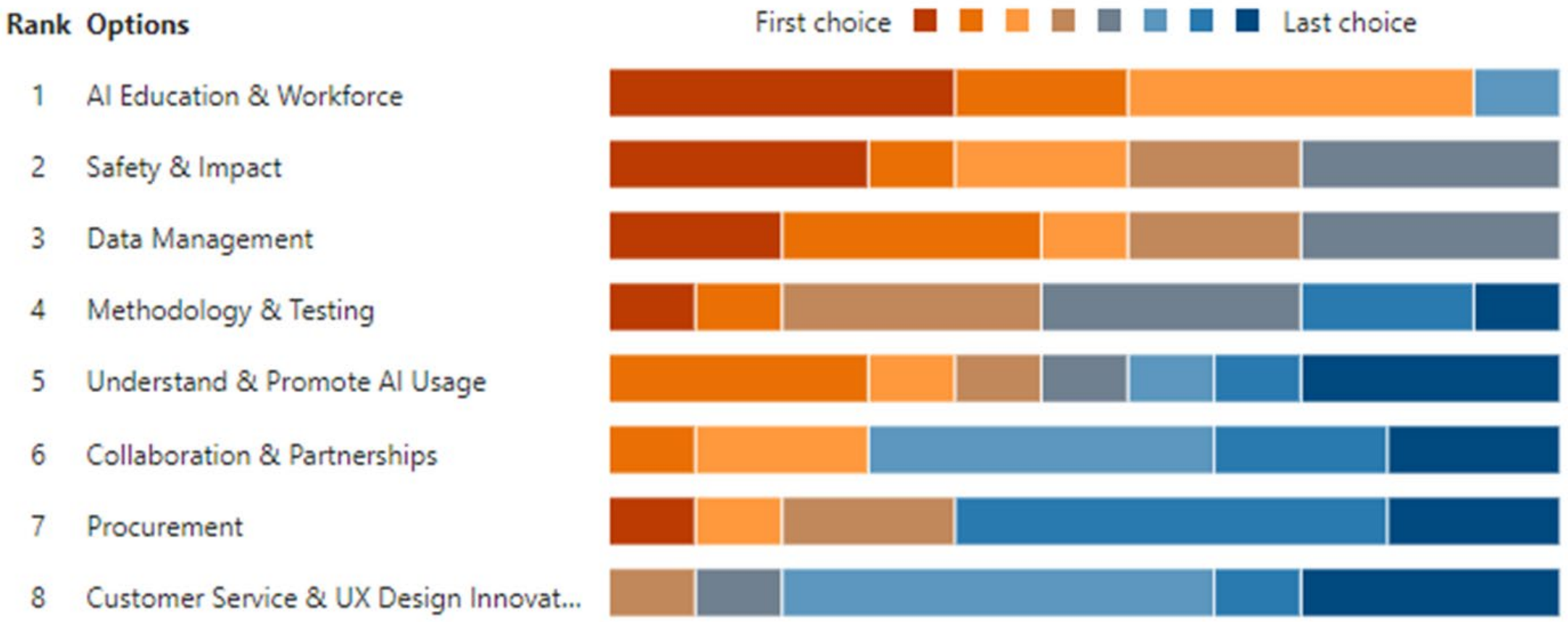
- Enterprise Information Services' staff reviewed and combined multiple AI principles and frameworks into a single list of principles and attempted to consolidate them into categories for the Council to prioritize
- AI Council members received a Prioritization Form and link to Proposed AI Framework Categories Definitions page
- Initial form results reviewed and captured Monday June 3, 2024

Policy and Governance Principles Category Rankings

Rank	Options
1	Fairness, DEI & Representation
2	Transparency & Trustworthiness
3	Security & Securing
4	Regulatory & Governance
5	Accountability & Responsibility
6	Policy Alignment & Development
7	Privacy & Confidentiality
8	Operational Policy & Guidelines
9	Risk & Risk Management
10	Methodology & Testing



Implementation and Impact Principles Category Rankings



Council Feedback on Principles

- Council members provided additional feedback with the ranking form. Examples:
  - I suggest reviewing the NIST AISIC framework for categorization ideas: https://www.nist.gov/aisi/artificial-intelligence-safety-institute-consortium-aisic
  - I think "Security and Securing" is too broad of a topic. "Model Safety" might be more suited.
- All feedback is viewable in the appendix to this presentation.

Subcommittee Interest

- Interest Form included 17 possible subcommittee categories
  - Each Council member was asked to indicate interest in six categories
  - Currently, all categories have at least three volunteers except:
    - Accountability and Responsibility
    - Customer Service and UX Design Innovation
    - Procurement

Recommendation for Subcommittees

- Form 6-8 Subcommittees that will meet prior to the next meeting to refine and finalize their categories and definitions. Subcommittees will report out at next Council meeting.
- Recommended Subcommittee membership
  - Council Member Subcommittee Lead
    - Sets agendas, facilitates meetings
  - 2-3 Council Members
  - 1-2 Executive Branch partners that may offer contextual input based on category (EIS may provide recommendations)
  - 1 EIS Staff member with relevant expertise to the topic area
  - EIS will provide administrative support (minutes, agendas, scheduling)

Recommended Subcommittees

Sub-Committee	Categories Represented
Understand and Promote AI Usage	AI Education and Workforce Understand and Promote AI Usage
Collaboration and Partnerships	Collaboration and Partnerships
Data Governance and Management	Data Management
Fairness, DEI and Representation	Fairness, DEI and Representation
AI Governance	• Accountability and Responsibility • Operational Policy and Guidelines • Policy Alignment and Development
Privacy and Confidentiality	Privacy and Confidentiality
Risk and Risk Management	• Risk and Risk Management • Methodology and Testing • Safety and Impact
Procurement	Procurement
Transparency and Trustworthiness	Transparency and Trustworthiness
Security and Securing	Security and Securing

Thank you

https://www.oregon.gov/eis/Pages/ai-advisory-council.aspx

Appendix

Council Member Feedback on Categories

Council Feedback on Principles

- I suggest reviewing the NIST AISIC framework for categorization ideas: https://www.nist.gov/aisi/artificial-intelligence-safety-institute-consortium-aisic
- I think "Security and Securing" is too broad of a topic. "Model Safety" might be more suited.
- Given these AI/ml models are ultimately statistical predictions of: The next word (for LLM's simulating intelligent speech), Various business outcomes (with traditional forms of ML), Video/image classification (with deep learning), etc. It is my interest to encourage and aid others in the statistical analysis of the input data to train models that may have a detrimental impact to others. Statistical analysis will reveal the inequities within the dataset that will allow decision makers to weigh the risk of deploying such a model. Subcommittee's tasked with this goal will provide tangible results that aid in tracking performance.

Council Feedback

- In question 2. Governance and Regulatory should be separate issues. Agencies need governance, but may not have authority for regulation. Some issues should be layered as well. From Principles and guidance, policy and procedures, operational, sustaining and capacity. Within those layers, a new set of priorities may be created with more nuance and structure directed to strategic development and implementation.
- I'm not sure how to turn this into a category, but something around data validation of AI results would be meaningful. I don't know if that fits under "data management" or somewhere else, but I think it would be important to identify approaches to reporting/validating data that is inconsistent, incorrect, and biased. Also, I'm not sure if it's captured above, but I am also thinking about data inputs into AI. What data are the AI systems using to produce answers and solutions? Is there a way to explore bias in this data in order to prevent biased outcomes and results? Or a pathway to mitigate bias on the front and back-end?

Council Feedback on Principles

- In question 3. I think there are few missing pieces connected to ethics, equity, compliance, and oversight. AI is also a broad set of technologies, some technologies could be complex, but simple implementation, while others may seem simple in nature, but highly impactful and risky. Depending on the area of implementation, there might be layers of compliance, oversight, and maintenance. In order to create AI models, there is an intrinsic need not only for good quality data, but also structure metadata, and requiring new forms of structures like semantic connections and knowledge networks. Most of the organizations are not quite there and rely on heavily curated data to build models. All these requirements need strong foundational processes on data governance, privacy, data operations, and efficient digital infrastructure that makes economic sense of these potential new services.
- Add: Data Input Analysis

Council Feedback on Principles

- Also, as a public entity, the State of Oregon requires to comply with existing transparency and accountability laws. And, given the impacts of AI, there might be a new emergent needs and opportunities to assure the implementation of democratic and civil values that may include meaningful public participation in some of these processes, particularly around governance and oversight.
- Finally, beyond the State of Oregon and the State's agencies, the responsible implementation of AI will need independent infrastructure in the form of third-party auditors, certification agencies, advisory bodies, economic development networks, and independent digital education and oversight organizations. All this to assure a healthy ecosystem that brings the ingredients for sustainable, ethical and equitable, AI services to all Oregonians.
- Addition of an ethics framework mechanism around AI products as part of potential usage evaluation

Council Feedback on Principles

- In the process to support responsible implementation of AI in State agencies, it is important that multidisciplinary teams work together. It is not only about technology and technologists, but it should also include experts on social and biological sciences, like sociologists, historians, and psychologists, experts on ethics, equity (including those who may be directly impacted by the agencies' use of AI), and, finally, those who may be helping with communications, creativity, and innovation, including artists, storytellers, traditional knowledge leaders, and youth. Also, State Agencies should work towards a new generation of public-private-partnerships with better alignment and centered on public interest, and building public and open infrastructure. These strategies should help communities, small and medium size Oregon businesses and entrepreneurs, and make our democracy and common values stronger in the face of multigeneration trauma, climate and environmental crisis, and economic and social challenges. Even though this version of the Governor's AI advisory council is limited in time, scope, and skills, the outcome should envision a path that evolves and is inclusive and supported on fundamental human and digital rights.

State Government Artificial Intelligence Advisory Council

Meeting Date: Tuesday, June 11, 2024

Attachment 3.2 Framework Categories Definitions

State Government AI Council – Proposed AI Framework Categories

Category	Definition
Regulatory & Governance	Ensure adherence to laws, regulations, and guidelines specific to AI, including documentation, reporting, and information disclosure. Ensures overall management and guidance of AI implementation, usage, and policy. May include creating and maintaining a governance body, board, or council to oversee AI practices.
Policy Alignment & Development	Aligning AI strategies with broader policy goals and organizational objectives, including policy formulation, crafting, and revision.
Operational Policy & Guidelines	Address daily operational aspects of implementing AI policies within organizations and providing guidance on AI usage while ensuring all stakeholder requirements are met.
Accountability & Responsibility	Assigning roles, responsibilities, and providing oversight, discussing obligations and accountability measures for stakeholders in AI use. Ensures AI systems are designed and used ethically via monitoring and evaluations.
Fairness, DEI & Representation	Ensures AI design and use protect the rights of affected persons and groups, addressing bias and promoting diversity, equity, and inclusion. Reflects those affected in AI lifecycle teams and collaboration activities. Protects rights of all groups.
AI Education & Workforce	Promoting AI education and training, ensuring the workforce is prepared to effectively create, deploy, and use AI systems. Raising public awareness and engaging with the community to build trust and understanding of AI technologies.
Privacy & Confidentiality	Protecting personal data and privacy in AI, supporting privacy rights. Ensures AI design and use protect users' information from unauthorized access, alteration, or destruction.
Understand & Promote AI Usage	Advocating and promoting AI use within policy areas and organizational levels, addressing the wide range of staff using AI, from technologists to administrative support staff.
Risk & Risk Management	Identifying, assessing, and managing AI risks, focusing on compliance for high-risk AI systems. Fully assessing risk types, potential harms, and management options.
Transparency & Trustworthiness	Ensure clarity, openness, and comprehensibility of AI processes and decisions, with full documentation of all phases of AI system development. Ensures AI design and use justify public trust and can explain results to laypersons.
Safety & Impact	Ensure AI design and use do not decrease overall safety. Specifies impact and safety requirements with quantifiable terms and measurement methods.
Security & Securing	Ensure the AI system's design, use, and lifecycle management protect it and its data from unauthorized access, alteration, or destruction.
Methodology & Testing	Set standards, practices, procedures, and tools for developing, testing, and using AI systems. Includes design, data sets, criteria, and performance evaluation.
Data Management	Set standards, practices, procedures, and tools for managing training, testing, usage, and impact evaluation of AI systems through their lifecycle.
Customer Service & UX Design Innovation	Foster innovation in AI applications and solutions, designing user interactions to support needs and expectations, and improving customer service through AI.
Procurement	Engaging with AI stakeholders and state agencies in developing templates and standard language for AI system requirements, including system characteristics (e.g., scalability, interoperability), desired outcomes (e.g., accuracy, efficiency), and development elements (e.g., testing protocols, compliance measures). Ensuring protections, performance, and adherence to standard operating procedures (SOP).
Collaboration & Partnerships	Fostering collaboration and building partnerships with various stakeholders, including industry, academia, and government agencies. Encourages sharing of knowledge, resources, and best practices to enhance AI development and deployment.

State Government Artificial Intelligence Advisory Council

Meeting Date: Tuesday, June 11, 2024

Attachment 5.1 SGAI Advisory Council Updated Timeline

State Government Artificial Intelligence Advisory Council
Updated Timeline

Timeframe	Activities	Milestone
March 19, 2024	Council meeting #1	Council convenes
April 24, 2024	Council meeting #2	Council convenes
Weeks of April 24 – June 3, 2024	Determine how the work will be approached and organized.	Framework Approach Determined
Week of June 10, 2024	Council meeting #3 Draft Framework categories	Council convenes
Weeks of June 17– July 15, 2024	Develop an outline of document and begin developing elements.	Draft Framework Created
Week of July 22, 2024	Council meeting #4 Agenda TBD	Council convenes
Weeks of July 29 – August 25, 2024	Core elements of the framework are developed, and details are being incorporated.	1st Draft Framework Completed
Week of September 2, 2024	Council meeting #5 Agenda TBD	Council convenes
September 12, 2024	All desired elements of the framework are incorporated, reviewed, and approved for submission.	Framework Final Review and Finalized
September 19, 2024		Provide a recommended framework to the Governor's Office
Week of October 14, 2024	Council meeting #6 Agenda TBD	Council convenes
Weeks of October 21 – November 18, 2024	Determine how the work will be approached and organized.	Framework Approach Determined
Week of November 25, 2024	Council meeting #7 Agenda TBD	Council convenes
Weeks of December 2 – December 30, 2024	Develop an outline of document and begin developing elements.	Draft Recommendations Created
Week of January 6, 2025	Council meeting #8 Agenda TBD	Council convenes
Weeks of January 13, – February 10, 2025	Core elements of the recommendations are developed, and details are being incorporated.	1st Draft Recommendations Completed
Week of February 17, 2025	Council meeting #9 Agenda TBD	Council convenes
February 24, – March 12, 2025	All desired elements of the recommendations are incorporated, reviewed, and approved for submission.	Framework Final Review and Completed
March 19, 2025		Provide final recommended action plan.

State Government Artificial Intelligence Advisory Council
Updated Timeline

		April	May	June	July	August	September
2nd Council Meeting	4/24/24	Meeting					
Draft Framework Initial Design	5/15/24		Drafting				
Benchmarking Report final	5/24/24			Report			
3rd Council Meeting	6/10/24			Meeting			
Workgroups Formed and Work Initiated	6/15/24				Workgroup		
1st Draft of Framework Completed	7/2/24				Drafting		
4th Council Meeting	7/22/24					Meeting	
Workgroup Update and Work	7/30/24					Workgroup	
2nd Draft of Framework Completed	8/10/24					Drafting	
5th Council Meeting	9/2/24						Meeting
Framework Finalized	9/8/24						
***Framework Submitted & Reviewed**	9/19/24						★

State Government Artificial Intelligence Advisory Council

Meeting Date: Tuesday, June 11, 2024

Attachment 7.1 SGAI Written Comments Through June 3, 2024

Date: May 6, 2024
Name: Jason Franke

Written Comments:

As an IT partner of the state of Oregon for many years, CDWG has developed an AI team that is building solutions for customer today. What are the top priorities for IT Leaders according a Quocirca poll. Is it Generative AI, Machine Learning? or Robotic Process Automation? https://quocirca.com/content/the-ai-divide-between-it-decision-makers-and-knowledge-workers/.

What is Oregon's definition of AI? Cognitive, Analytical, Functional, Interactive or Vision?

Some of the early solutions we have delivered are around Retrieval Augmented Generation. Examples include Human Resources Benefit Assistant, Customer Service, IT Helpdesk or Kiosk Assistant (think a welcome avatar that has multi-lingual speech and motion detection.

Is Oregon's Data ready for AI? Is there a data governance program in place? An assessment of some data might be the first step (www.cdw.com/data) based around a specific use case.

If you have a pilot program or would like to speak with our team let me know.