

# NC-AI-001: AI Risk Register Template - README

## Overview

**NC-AI-001** is the first published standard from the Northern Cascadia Institute of AI Governance. This AI Risk Register Template provides a comprehensive, ISO 42001-compliant framework for identifying, assessing, and managing AI-related risks in your organization.

**Version:** 1.0

**Publication Date:** Q1 2026

**Status:** Public Release

**License:** Public Domain - Free for use and adaptation

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## Available Formats

### Format Options

1. **Markdown (.md)** - NC\_AI\_001\_AI\_Risk\_Register\_Template.md
  - Primary template format
  - Best for: Version control, internal documentation, website publication
  - Fully formatted with tables, headers, and instructions
2. **CSV (.csv)** - NC\_AI\_001\_Risk\_Register\_Template.csv
  - Spreadsheet-compatible format
  - Best for: Excel import, database integration, bulk data entry
  - Contains 28 pre-populated risk entries ready for assessment
3. **PDF** (Coming Soon)
  - Professional printable format
  - Best for: Official documentation, sharing with stakeholders
  - Will be generated from markdown source

### How to Use Each Format

**For Small Businesses:** - Start with the **Markdown (.md)** version - Print relevant sections or work digitally - Fill in risk assessments in your own format

**For Large Organizations:** - Import **CSV (.csv)** into Excel or risk management software - Customize columns and add organization-specific risks - Use as foundation for integrated risk management systems

**For Public Documentation:** - Use **Markdown (.md)** for web publication - Generate PDF for official records - Maintain version control in markdown

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## What's Included

### The Template Contains

- **Risk Scoring Framework:** 5x5 impact and likelihood matrices
- **28 Pre-Populated Risks:** Across 8 major categories
- **Instructions:** Step-by-step guidance for implementation
- **Control Strategies:** Example mitigation approaches
- **Review Checklist:** Ongoing assessment framework
- **Approval Tracking:** Document control and sign-off

### Risk Categories Covered

1. **Bias and Fairness** (4 risks)
  - Algorithmic bias, unfair treatment, data representativeness, stereotype reinforcement
2. **Security and Privacy** (5 risks)
  - Unauthorized access, data breaches, poisoning attacks, IP theft, access controls
3. **Transparency and Explainability** (4 risks)
  - Lack of explainability, black box decisions, inadequate communication, documentation failures
4. **Data Quality and Integrity** (4 risks)
  - Poor training data, incomplete coverage, provenance issues, model drift
5. **Regulatory Compliance** (4 risks)
  - Non-compliance, insufficient documentation, cross-jurisdictional challenges, IP infringement
6. **Operational Risks** (4 risks)
  - System failures, degraded performance, inadequate oversight, workflow disruption
7. **Human Impact and Safety** (4 risks)
  - Safety risks, psychological harm, employment displacement, misinformation
8. **Third-Party and Vendor** (4 risks)
  - Vendor breaches, lock-in, compliance issues, unclear responsibilities

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## Quick Start Guide

### Step 1: Choose Your Format

- Markdown for comprehensive review
- CSV for spreadsheet-based assessment

## Step 2: Define Your Scope

Before assessing risks, clearly define: - Which AI system(s) are you assessing? - What is the intended use? - Who are the affected stakeholders? - What is your role? (Developer / Provider / User / Multiple)

## Step 3: Assess Risks

For each relevant risk: 1. Assign Impact score (1-5) 2. Assign Likelihood score (1-5) 3. Calculate Risk Score (Impact  $\times$  Likelihood) 4. Identify existing or planned controls 5. Assign ownership and target dates

## Step 4: Prioritize Treatment

Focus on: - **Extreme (20-25)**: Immediate action required - **High (15-19)**: Treatment within 30 days - **Medium (10-14)**: Treatment within 90 days

## Step 5: Implement and Monitor

- Document control implementation
- Track progress regularly
- Re-assess quarterly
- Update annually

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## Integration with ISO 42001

### Standards Alignment

This template is designed for organizations pursuing **ISO 42001 certification**. It covers:

- **Clause 6.1.2**: Actions to address risks and opportunities
- **Annex A.2**: AI Risk Management controls
- **ISO 23894**: AI risk management guidance
- **ISO 42005**: AI impact assessments

### Certification Support

Using this template helps you: - Document AI risk management processes - Meet ISO 42001 documentation requirements - Prepare for certification audits - Maintain ongoing compliance

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# Customization

## Adding Organization-Specific Risks

The template includes sections for:

- Industry-specific risks
- Organizational-specific risks
- Emerging and unknown risks

Add rows/categories as needed for your context.

## Adapting Risk Categories

While the 8 core categories cover most scenarios, you may need to:

- Add sector-specific risk categories (healthcare, finance, etc.)
- Include emerging risk types
- Tailor to your organizational culture
- Integrate with existing risk frameworks

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# Support and Resources

## Getting Help

- **Documentation:** All instructions included in templates
- **Standards:** Based on ISO 42001, ISO 23894, ISO 31000
- **Support:** Email [governance@kaizenstrategic.ai](mailto:governance@kaizenstrategic.ai)

## Related Standards

- **NC-AI-002:** AI Impact Assessment Framework (Coming Soon)
- **NC-AI-003:** AI Governance Policy Template (Coming Soon)
- **NC-AI-004:** AI Vendor Assessment Tool (Coming Soon)

## Additional Resources

- **ISO 42001:** Official standard available from ISO
- **ISO 23894:** AI risk management guidance
- **ISO 42005:** AI impact assessment guidance
- **Free Toolkits:** GSDCouncil, FairNow, others

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# Version History

Version	Date	Changes
1.0	Q1 2026	Initial public release

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## License

**Public Domain** - This template is released to the public domain. You are free to: - Use for any purpose - Modify and adapt - Share and redistribute - Commercial use

Attribution appreciated but not required.

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## Citation

If referencing this template in publications or documentation:

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## Feedback and Contributions

We welcome feedback and improvements to this template. Contact: - **Email**: governance@kaizenstrategic.ai - **Website**: kaizenstrategic.ai - **Repository**: (GitHub link if published)

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**For the latest updates and additional NC-AI standards, visit [kaizenstrategic.ai/nc-ai-standards](http://kaizenstrategic.ai/nc-ai-standards)**