# Organizational AI Risk Management System

## EXECUTIVE SUMMARY

### Problem and Purpose

AI errors, unauthorized use, human mistakes, supplier behavior, and weak process controls can allow inaccurate, inappropriate, or otherwise unacceptable AI results to enter organizational decisions, work products, external communications, commitments, or automated actions. The RMS exists to keep AI-related activity under effective organizational control during Normal Operations, reduce the likelihood that failures become consequences, and strengthen the organization's defensibility through disciplined, evidenced risk management.

### Role and Scope

The RMS is the pre-engineered Normal-Operations implementation of the organization's AI Policy. It covers authorization, everyday AI use, consequence-based risk classification, human review, External Release, autonomous processes, suppliers, Failures, evidence, training, change, assurance, and continuous improvement. When normal Control is lost or ordinary controls are no longer sufficient, governance transitions to the AI Emergency Management System (EMS) or approved equivalent.

### Design Principles

- **Pre-engineered and self-executing —** the Customer configures the supplied architecture, procedures, forms, schedules, training, and controls rather than designing a risk-management system from a blank page.
- **Configure rather than invent —** organization-specific facts and judgment are added only where needed; supplied defaults carry the reusable synthesis.
- **Reuse before creating —** existing Legal, HR, Procurement, IT, Cybersecurity/Privacy, Records, Quality, Insurance, Continuity, and management mechanisms remain authoritative where they adequately perform the required function.
- **Risk-proportionate and minimum necessary —** governance effort increases when potential Consequences justify it, while Low-Risk work stays outside unnecessary AI-specific machinery.
- **Evidence-oriented —** important AI-supported decisions and actions remain reconstructable so responsible conduct and applied controls can be demonstrated.

### Deployment and Support

- **Defined deployment program –** Phases 1 and 2 provide the complete implementation path from organizational preparation through deployment, testing, and Gate 2 authorization for Normal Operations. Accelerated 1-week and Standard 4-week schedules provide timing baselines that the organization can adapt to its circumstances.

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- **Cookbook Operating Manual —** deployment and operation are supported by step-by-step procedures built to a repeatable structure: Purpose → Required Outcome → Trigger / Inputs / Preconditions → Procedure Flowchart → Steps + Required Results → Tools / Forms / Evidence → Responsibilities → Quality / Acceptance Criteria → Recommendations → Completion Criteria. The objective is that a reasonably competent organization can execute the work without undocumented OpExAI knowledge.
- **Pre-engineered deployment tools —** the RMS supplies pre-structured forms, Standards, schedules, registers, Quick Guides, training assets, implementation aids, and evidence records so the organization configures supplied architecture rather than inventing its own.
- **AI Deployment Consultant and User Guide —** the supplied Consultant provides on-demand assistance in understanding, configuring, deploying, and operating the RMS; the User Guide explains how to work effectively with the Consultant. When uncertainty remains, the RMS expressly directs users to consult the AI Deployment Consultant rather than inventing governance architecture, classifications, procedures, Controls, or information requirements.
- **Readiness verified before operation –** deployment does not end merely because documents have been configured. Training, testing, deficiency correction, and readiness review precede Gate 2; only after Gate 2 approval is the RMS formally released for Normal Operations.

## Design Features and Benefits

- **Operationalized Policy —** governing requirements become usable roles, controls, decision paths, records, training, supplier practices, and assurance mechanisms.
- **Low administrative burden —** the RMS integrates with normal organizational authority and processes instead of creating a parallel AI bureaucracy.
- **Framework compatibility —** the System is designed for functional compatibility with major recognized AI governance and risk-management frameworks while preserving organization-specific obligations and specialist authority.
- **Authorized AI operating environment —** the RMS establishes the organization's governable AI perimeter across authorized people, tools/services/accounts, access methods, information conditions, uses, process controls, supplier relationships, and other operating conditions.
- **Failure, supplier, and change control —** the RMS includes Normal-Operations Failure management, corrective action, evidence preservation, supplier/change control, operational assurance, and continuous improvement without duplicating specialist functions that already exist.
- **Stronger defensibility —** defined authority, proportionate controls, preserved evidence, and continuing assurance help the organization demonstrate responsible AI risk management.

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# SYSTEM AT A GLANCE

***We did the heavy lifting, so you don't need to do it.***

## 180 PAGES

- Integrated Operating Manual + controlled Tool Library
- Pre-engineered for organization-specific configuration and DIY deployment

## 20 STEP-BY-STEP PROCEDURES / DECISION PROCESSES

- 12 Planning / Preparation • 7 Implementation / Deployment • 1 Normal Operations
- Each supplies Purpose, Required Outcome, executable Steps + Required Results, quality criteria, and Completion

## 25 PROCESS FLOWCHARTS / MAPS

- 20 procedure flowcharts • 2 phase flowcharts
- 1 System Architecture • 1 Normal Operations Scenario Map • 1 Continuing Activity Map

## 116 EXECUTION STEPS

- 70 Planning / Preparation • 38 Implementation / Deployment • 8 Normal Operations
- Each with a defined Required Result

## 22 FORMS & RECORDS

- Pre-structured implementation, decision, evidence, Gate, change, Exception, and assurance records
- Designed to guide execution while capturing only necessary evidence

## 2 OPERATING STANDARDS

- RMS Readiness Test Standard and Scenario Set
- AI Records and Evidence Retention Standard

## 8 QUICK GUIDES

- Implementation, supplier, risk, escalation, Failure / EMS, and analytical aids
- Point-of-use guidance when the full Manual is unnecessary

## 4 ROLE-BASED TRAINING MODULES

- AI Policy • RMS User • Professional / Core Personnel • Executive
- Role-specific instruction avoids forcing every person to learn the entire System

## 2 IMPLEMENTATION SCHEDULES

- Accelerated 1-Week • Standard 4-Week
- Complete Phase 1–2 timing baselines through Gate 2

## 10 READINESS-TEST SCENARIOS

- Core and conditional scenarios
- Test actual configured roles, routes, records, controls, supplier, Exception, and technology paths

## 16 DESIGN & COMPATIBILITY SOURCES

- NIST • ISO • OECD • EU AI Act • FEMA / NIMS • FTC • insurance-sector sources
- Used to inform System design and support functional compatibility with recognized frameworks and disciplines

## 13 POLICY-TO-RMS TRACEABILITY FUNCTIONS

- Connect governing Policy functions to RMS implementation, operation, evidence, and assurance
- Assign the controlled artifact library to defined implementation and operating functions

## 4 LIFECYCLE PHASES

- Planning & Preparation • Implementation / Deployment • Normal Operations
- Monitoring / Maintenance / Improvement includes 5 continuing management activity classes

## 2 EXECUTIVE DECISION GATES

- Gate 1 — Authorization to Deploy
- Gate 2 — System Operational / Enter Normal State

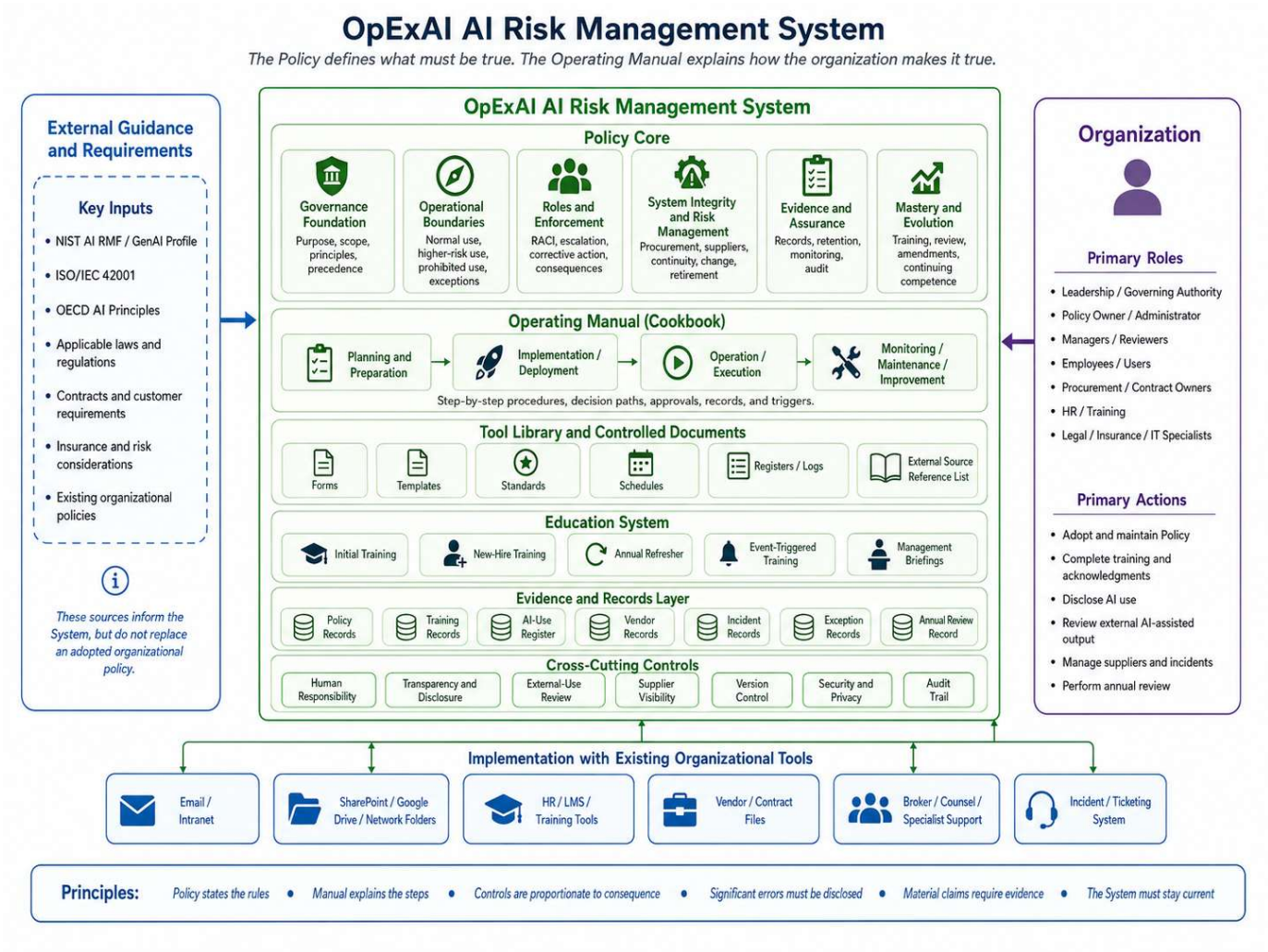
## PRE-ENGINEERED FOR IMPLEMENTATION, NOT INVENTION

Architecture, procedures, execution logic, forms and records, standards, schedules, training, testing, traceability, and assurance are already supplied.
The Customer configures the RMS to its organization instead of designing an AI risk-management system from a blank page.

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# System Architecture

The RMS architecture shows how the standalone AI Policy governs Normal Operations; how applicable external requirements and established organizational functions inform and constrain the System; how the Operating Manual, Tool Library, training, evidence, assurance, and current-state controls work together; and where responsibility transitions to the EMS when Critical/Emergency governance is required.




The architecture is deliberately integration-oriented. Existing organizational mechanisms remain responsible for their own domains and are reused whenever they adequately perform the required function. The RMS supplies the AI-specific management layer needed to connect those mechanisms, keep everyday AI activity within effective Control, and preserve a clear transition to Emergency governance without creating a second organization inside the organization.

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