

## 01 PURPOSE

## 02 BOUNDARY

## 03 RISK

## 04 DECISION

## 05 RESOURCES

## STARTING AN AI INITIATIVE

# Start with a useful pilot.

Turn an idea into a bounded, accountable experiment. Complete this with the people who own the business process, data, technology and risk decisions.

**A WORKING CONVERSATION, NOT A SCORE**

Compare AI with the current process and simpler alternatives. Identify who benefits and who could be harmed. Completing this handout does not establish system safety or compliance.

**The task, intended users and affected people**

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**Expected benefit and success measure**

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**Current baseline or simpler alternative**

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**Accountable decision owner / role**

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**Delivery, evaluation and security/privacy contacts**

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**Budget, skills, time and support required**

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**Important unknowns / evidence to obtain before expansion**

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# Set the pilot boundary.

Choose a scope that makes failures observable and recoverable. Specify human review where it is needed; “a human is involved” is insufficient without authority, time and instructions to intervene.

**Permitted tasks, users and environment**

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**Excluded tasks and decisions**

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**Data allowed / prohibited**

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**Permissions and connected tools**

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**Who reviews outputs before which action? Who can pause use?**

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## USE-CASE AND DATA INVENTORY

| Item / source           | Owner | Permitted use / access | Retention / evidence |
|-------------------------|-------|------------------------|----------------------|
| Model or service        | <hr/> | <hr/>                  | <hr/>                |
| Input data / documents  | <hr/> | <hr/>                  | <hr/>                |
| Prompts / configuration | <hr/> | <hr/>                  | <hr/>                |
| Outputs / evaluations   | <hr/> | <hr/>                  | <hr/>                |

Record metadata, not sensitive data. Verify rights, permissions, retention and provider terms. Share these boundaries in a short acceptable-use notice and check that participants understand them.

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# Make the risk decision visible.

Consider plausible failures, affected people and uncertainty. Select checks appropriate to the task and consequences; use your organization's risk method.

**Success criteria / unacceptable outcomes**

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**Results vs. baseline / failures / limits**

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## RISK AND TREATMENT RECORD

| Failure / affected people | Impact and likelihood rationale | Treatment / check | Evidence / residual risk owner |
|---------------------------|---------------------------------|-------------------|--------------------------------|
| <hr/>                     | <hr/>                           | <hr/>             | <hr/>                          |
| <hr/>                     | <hr/>                           | <hr/>             | <hr/>                          |

**USE CHECKS THAT FIT THE TASK**

Examples include inaccurate output, inappropriate reliance, privacy loss, unfair outcomes, misuse, security compromise and unavailability. Record remaining uncertainty alongside the treatment evidence.

**Review trigger: purpose, provider, data, permissions or other material change**

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# Approve, pause or change course.

A named owner should be able to explain the benefit, scope, evaluation, remaining risks and fallback. Missing evidence can justify narrowing or deferring the pilot.

**Decision: proceed / revise / stop****Approver / authority / date****Conditions, unresolved risks, accepting owner and review date****Rollback steps, responsible person and evidence the fallback works**

## READINESS DISCUSSION

- ☐ A named business owner can explain the intended benefit.
- ☐ Allowed tools, data, and uses are documented.
- ☐ Risks and people affected have been reviewed.
- ☐ The team can test outputs and handle failures.
- ☐ An approver, stop conditions, and review date are agreed.

**BEFORE EXPANDING THE PILOT**

Before putting the pilot into a real workflow, show that it meets agreed task-specific criteria and that someone can monitor it, intervene, and return to a safe fallback.

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# A useful resource shelf.

Use official guidance to define actions, responsibilities and evidence for your actual use case.

**NIST AI RMF**

Build a shared risk language and a use-case risk record.

<https://www.nist.gov/itl/ai-risk-management-framework>

**OECD AI Principles**

Translate your organization's AI values into policies and decision criteria.

<https://oecd.ai/en/ai-principles>

**ISO/IEC 42001**

Structure policies, responsibilities, operations, reviews, and continual improvement.

<https://www.iso.org/standard/81230.html>

**OWASP LLM Top 10**

Choose abuse cases and security tests for your application.

<https://genai.owasp.org/llm-top-10/>

Access: ISO's overview is free; its full standard is paid. CSA downloads may require an account. Publisher material can change; follow the official pages for updates.

## YOUR NEXT ACTION

**Next evidence to obtain / owner / agreed review point**

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