



AI Risk Register for SMB Operations

A worksheet for tracking data risk, decision risk, customer communication risk, operational dependency, model drift, tool failure, and ownership gaps.

STRUCTURE - CLARITY - BETTER DECISIONS

Practical architecture for accountable AI-enabled work.

What this template is for

Create a practical risk register that links each AI risk to owner, impact, likelihood, controls, fallback, and review cadence. Use this guide to make the operating choice explicit, test it with evidence, and record who owns the next decision.

BEST USED WHEN

Teams turning architecture work into a reusable operating artifact.

WHO SHOULD BE IN THE ROOM

Include the workflow owner, a person who performs the work, a reviewer with authority to approve or stop it, and the relevant data or tool owner.

CANADIAN CONTEXT

Confirm applicable federal, provincial, territorial, sector, professional, contractual, accessibility, and bilingual-service requirements. Use this workbook as operational preparation, not legal advice.

A five-step working rhythm

01

Data risk

Could sensitive, stale, or unauthorized data enter or leave the workflow?

02

Decision risk

Could the AI influence a high-impact decision without enough review?

03

Communication risk

Could the AI send, draft, or shape customer-facing content incorrectly?

04

Dependency risk

Could operations fail if the model, tool, or integration is unavailable?

05

Ownership risk

Could exceptions fall between teams or remain unreviewed?

Build the working record

Complete one record for one workflow. Write enough to support a decision, not a generic technology wish list.

PROMPT	YOUR WORKING NOTES
01 AI workflow or system	
02 Business process affected	
03 Risk owner	
04 Data risk	
05 Decision risk	
06 Communication risk	
07 Decision, owner, evidence, and review date	

Register proposal disclosure risk

STARTING FRICTION

An assistant could pull confidential examples into a new client proposal.

WORKFLOW MAP

RISK EVENT

IMPACT

LIKELIHOOD

CONTROL

OWNER DECISION

REVIEW DATE

AI-SUPPORTED ROLE

Capture possible failures, affected parties, existing controls, and evidence for each risk record. Flag uncertainty around data risk.

HUMAN AUTHORITY

The risk owner scores impact and likelihood, chooses treatment, and sets review dates. Resolve the data risk question for this case.

PILOT MEASURE

Track high risks without owners, overdue treatment, near misses, and repeated exceptions. Record data risk exceptions separately.

DISCUSSION PROMPT

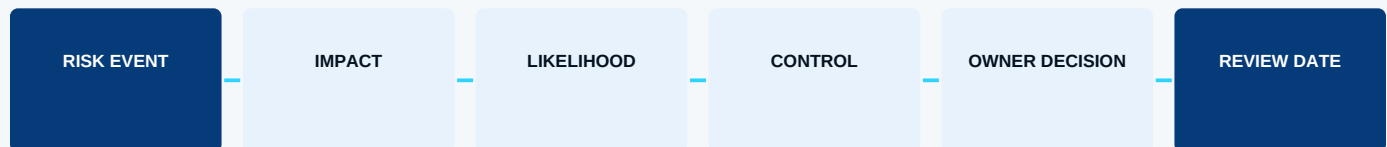
What evidence would the reviewer need to trust, correct, reject, or escalate this output?

Register wrong-stock risk

STARTING FRICTION

Incomplete feeds could produce an overconfident order recommendation during a busy week.

WORKFLOW MAP



AI-SUPPORTED ROLE

Capture possible failures, affected parties, existing controls, and evidence for each risk record. Flag uncertainty around decision risk.

HUMAN AUTHORITY

The risk owner scores impact and likelihood, chooses treatment, and sets review dates. Resolve the decision risk question for this case.

PILOT MEASURE

Track high risks without owners, overdue treatment, near misses, and repeated exceptions. Record decision risk exceptions separately.

DISCUSSION PROMPT

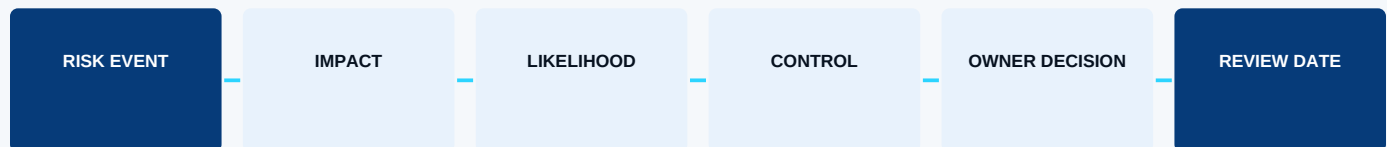
What evidence would the reviewer need to trust, correct, reject, or escalate this output?

Register material-summary error

STARTING FRICTION

A client summary may omit a material exception or show an unreconciled figure.

WORKFLOW MAP



AI-SUPPORTED ROLE

Capture possible failures, affected parties, existing controls, and evidence for each risk record. Flag uncertainty around communication risk.

HUMAN AUTHORITY

The risk owner scores impact and likelihood, chooses treatment, and sets review dates. Resolve the communication risk question for this case.

PILOT MEASURE

Track high risks without owners, overdue treatment, near misses, and repeated exceptions. Record communication risk exceptions separately.

DISCUSSION PROMPT

What evidence would the reviewer need to trust, correct, reject, or escalate this output?

Before the pilot grows

Use these prompts to test whether the proposed workflow can operate responsibly in its Canadian business context.

01

Data risk

Risks are tied to specific workflows. Name the owner and the operating decision before selecting a tool.

02

Decision risk

Each risk has an owner. Record the approved sources, permissions, and missing information.

03

Communication risk

Impact and likelihood are assessed. Test this boundary with representative and adverse cases.

04

Dependency risk

Controls and fallback paths are documented. Preserve review, escalation, and correction evidence.

05

Ownership risk

Residual risk is reviewed on a cadence. Set a measurable stop condition and the next review date.

06

Readiness to proceed

A useful AI risk register is operational, not ceremonial. It tracks real workflows, owners, controls, and review rhythms.

CANADIAN REFERENCE POINTS

Office of the Privacy Commissioner of Canada - Privacy and artificial intelligence
priv.gc.ca/en/privacy-topics/technology/artificial-intelligence/

Government of Canada - Artificial Intelligence guidance, principles, and policy
canada.ca/en/services/science/innovation/artificial-intelligence.html

General operational guidance only. Confirm applicable legal, privacy, cybersecurity, professional, contractual, and regulatory requirements with qualified advisors.