UNIKPROMPT · REGIA 1.1

REGIA Handbook

Strategic Route for AI Governance and Implementation

OPERATIONAL FRAMEWORK

Framework for the responsible adoption of artificial intelligence in organizations and public institutions in Latin America. Integrates 28 international frameworks across 5 pillars with ready-to-use operational instruments.

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DOCUMENT SCOPE

This handbook contains the public methodology of REGIA. It does not include operational templates, detailed forms, or complete traceability matrices — those components are provided within a formal consulting engagement.

Contents

CHAPTER 1

Purpose

REGIA bridges the gap between strategy and execution. While multilateral frameworks (OECD, NIST, UNESCO, EU AI Act) define principles and policies, REGIA translates them into procedures, instruments, and controls that an institution can execute without ambiguity.

> *The principles already exist. What is missing is the method to implement them.*

This handbook documents the public methodology of REGIA: the 5 pillars, their entry and exit criteria, the instruments by pillar (without forms or operational templates), the 28 international frameworks it integrates, and the mapping to the 10 OECD Principles.

Who this handbook is for

- AI adoption teams in public institutions and organizations that need to structure an operational roadmap.
- Algorithmic governance committees and digital transformation offices.
- Consulting firms, advisors, and providers that require a common framework to coordinate with their clients.
- Legislative committees evaluating AI bills that need a methodological reference.

What this handbook does NOT include

- Operational templates, forms, and complete traceability matrices.
- Internal configuration of proprietary digital tools.
- Service prices.
- Specific client cases.

These components are provided within a formal consulting engagement.

CHAPTER 2

The 5 pillars

Each pillar answers a concrete institutional question. The R-E-G-I-A sequence is the full adoption pathway. Each pillar has entry and exit criteria (gates) that condition advancement to the next.

Letter	Pillar	Institutional question
R	Recognize	Where are we and how prepared are we?
E	Structure	How do we govern AI-related decisions?
G	Manage	How do we classify risk and control the lifecycle?
I	Implement	How do we redesign processes and deploy AI with measurable results?
A	Assure	How do we verify compliance and build sustainable capabilities?

Pillar R · Recognize

Question: Where are we and how prepared are we for AI?

Associated service: S1 · AI Adoption Diagnosis.

Institutional maturity assessment across 6 dimensions: infrastructure, data, talent, processes, governance, and culture. Identifies opportunities, measures gaps, and prioritizes by impact and feasibility.

Instruments

- Maturity scorecard (6 dimensions, 1-5 scale)
- Prioritization matrix (impact vs feasibility vs risk)
- Regional benchmark (ILIA, GTMI)
- 12-month roadmap with 3 horizons

Gates

> **ENTRY GATE**
>
> Designated executive sponsor + signed scope agreement.

> **EXIT GATE**
>
> Prioritized portfolio of use cases + documented maturity level + roadmap approved by executive sponsor.

Base frameworks

GTMI (World Bank), ILIA 2025 (ECLAC/CENIA), UNESCO RAM, Canada AIA, NIST AI RMF.

Traceability: framework → control → instrument → evidence

FRAMEWORK	REGIA CONTROL	INSTRUMENT	EVIDENCE
GTMI	Assessment across 4 areas, 48 indicators	Maturity scorecard	Report with score by dimension
ILIA 2025	Regional benchmark across 3 dimensions	ILIA comparative	Documented relative position
UNESCO RAM	Readiness assessment	Readiness checklist	Completed checklist with evidence
Canada AIA	Classification by impact	Prioritization matrix	Case sheet with scoring

Pillar E · Structure

Question: How do we govern AI-related decisions in our institution?

Associated service: S2 · AI Strategy and Governance.

Designs the institutional governance model: AI committee, roles and responsibilities (RACI), institutional AI policy, project approval mechanism, and accountability framework.

Instruments

- Institutional AI policy (adaptable draft)
- RACI structure by project type
- Algorithmic impact assessment protocol
- Institutional algorithmic registry
- Transparency sheet (inspired by UK ATRS)

Gates

> **ENTRY GATE**
>
> Completed maturity assessment (Pillar R) or existing institutional equivalent.

> **EXIT GATE**
>
> Approved institutional policy + constituted committee + assigned RACI + documented decision mechanism.

Base frameworks

OECD AI Principles, ISO/IEC 42001, ISO/IEC 38507, NIST AI RMF (Govern), Singapore Model AI Governance 2.0, UK AI Playbook.

Traceability

FRAMEWORK	REGIA CONTROL	INSTRUMENT	EVIDENCE
OECD AI Principles	5 principles + 5 recommendations	Institutional policy	Document approved by executive authority
ISO 42001	AI management system (PDCA)	Governance structure	Committee constitution act
NIST AI RMF (Govern)	Governance functions	RACI	Matrix with assigned owners
UK ATRS	Algorithmic transparency	Transparency sheet	Public registry per system

Pillar G · Manage

Question: How do we classify risk and control the lifecycle of each AI project?

Associated service: S4 · AI Applied to the Public Sector and Regulation (cross-cutting across all pillars).

Defines the unified risk taxonomy for the entire organization. Classifies each project by risk level (low / medium / high / unacceptable), defines proportional controls, establishes approval gates, non-deployment criteria, and a procurement protocol. The other pillars inherit this classification: Implement (I) executes according to the risk level assigned here, and Assure (A) audits against the controls defined here.

Instruments

- Risk classification in 4 levels, 8 criteria (proprietary matrix)
- 6 grounds for unacceptable risk
- Algorithmic impact assessment (adapted from Canada AIA)
- Fundamental rights impact analysis
- AI public procurement protocol (9 clause families)
- Interactive toolkit (8 modules, self-service)

Gates

> **ENTRY GATE**
>
> Institutional governance defined (Pillar E) or existing AI policy.

> **EXIT GATE**
>
> Risk level assigned + controls defined + procurement (if applicable) with approved clauses + documented hierarchical approval.

Base frameworks

EU AI Act (risk-based classification), Canada AIA + Directive on ADM, NIST AI RMF (Map/Measure/Manage), UK Guidelines for AI Procurement, BS 8611.

Traceability

FRAMEWORK	REGIA CONTROL	INSTRUMENT	EVIDENCE
EU AI Act	4 risk levels	Risk classification (8 criteria)	Sheet with score and assigned level
Canada AIA	65 risks + 41 mitigations	Algorithmic impact assessment	Completed form with mitigations
NIST AI RMF	Map/Measure/Manage	Controls by level	Checklist of applied controls
UK AI Procurement	10 procurement criteria	9 clause families	Signed contract with clauses

Pillar I · Implement

Question: How do we redesign processes and deploy AI with measurable results?

Associated service: S3 · Process Redesign and Automation with AI.

Maps candidate processes, designs TO-BE solutions with integrated AI, runs bounded pilots, measures results against baseline, and defines a scaling plan.

Instruments

- Process mapping sheet (AS-IS)
- TO-BE design with AI
- Business case per pilot
- Testing and acceptance protocol

- Results report vs baseline
- Scaling plan

Gates

> **ENTRY GATE**
>
> Risk level assigned and controls approved (Pillar G).

> **EXIT GATE**
>
> Functional pilot + documented metrics vs baseline + scale/adjust/discard decision + approved scaling plan.

Base frameworks

UK AI Playbook (lifecycle), IDB fAIr LAC, IDB Project Formulation Manual, ISO/IEC 23053 (data quality), McKinsey State of AI 2025.

Traceability

FRAMEWORK	REGIA CONTROL	INSTRUMENT	EVIDENCE
UK AI Playbook	Lifecycle 10 principles	Testing protocol	Signed testing report
IDB fAIr LAC	Ethical and feasible design	Business case	Document with estimated ROI
ISO 23053	ML data quality	Data quality checklist	Quality report with metrics
McKinsey State of AI	6 transformation dimensions	Results report	Baseline vs result comparison

Pillar A · Assure

Question: How do we verify compliance and build sustainable capabilities?

Assure integrates two complementary capabilities that close the cycle.

A.1 Verify

Associated services: S5 (AI-Assisted Legislative Audit) + cross-cutting components of S4.

Technical and legal audit of AI systems. Includes regulatory compliance audit, post-deployment monitoring (drift, robustness, incidents), periodic control review, and AI-assisted legislative audit for bills, currently available for Costa Rica as the first country.

Instruments:

- Risk traffic light by article (green / yellow / red, legislative audit output)
- Comparative matrix across bills
- Regulatory impact table
- Post-deployment monitoring protocol (incidents, drift, re-evaluation)
- Periodic control review checklist
- Full traceability (source, citation, model, timestamp)

Base frameworks: EU AI Act, NIST AI RMF (audit), Canada AIA, ISO/IEC 42001 (conformity), Singapore AI Verify, BS 8611.

A.2 Empower

Associated service: S6 · AI Training and Capacity Building.

Training programs by profile (executive, technical, legal, operational, legislative). From 2-hour briefings to 6-week programs. Institutional change management.

Instruments:

- 4 training formats (executive briefing, technical workshop, 4-6 week program, legislative committees)
- Pre/post knowledge assessment
- Practical toolkit by role
- Institutional action plan
- Guide: "10 questions every legislator should ask about AI"
- Bill evaluation checklist

Base frameworks: UNESCO RAM, IDB fAIr LAC (MOOC), NIST AI RMF (training), UK AI Playbook, UNITAR AI Programs.

Gates

> **ENTRY GATE (ASSURE)**
>
> Pilot or system in operation (Pillar I completed) or bill to audit (direct entry for legislatures).

> **EXIT GATE (ASSURE COMPLETE)**
>
> Approved compliance audit + active post-deployment monitoring + training program delivered + documented institutional action plan.

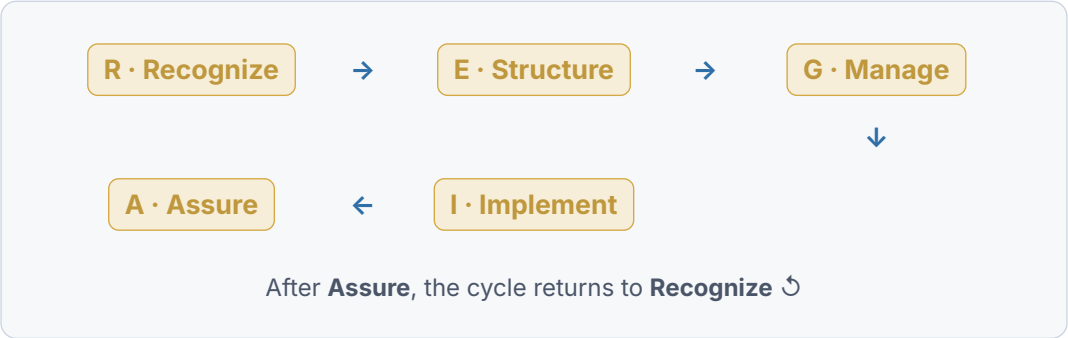
Traceability

FRAMEWORK	REGIA CONTROL	INSTRUMENT	EVIDENCE
ISO 42001	Conformity audit	Review checklist	Signed audit report
Singapore AI Verify	Testing and assurance	Monitoring protocol	Incident/drift dashboard
UNESCO RAM	Readiness by capabilities	Pre/post assessment	Comparative results
IDB fAIr LAC	Ethical and practical training	Toolkit	Certificates + action plan

CHAPTER 3

The REGIA cycle

The R-E-G-I-A sequence is not linear: the organization revisits earlier steps. The following diagram summarizes the full pathway and the iterative improvement loop.



The cycle is iterative. After Assure, the organization returns to Recognize at a higher maturity level, refining its governance, expanding use cases, and deepening capabilities.

Application by organization type

TYPE	PILLARS AND SEQUENCE	RECOMMENDED ENTRY	PRIOR GATE
Large public institution	R → E → G → I → A (complete)	Pillar R (Diagnosis)	None
Local government / municipality	R → G → I → A	Simplified Pillar R	None
Mid-size private company	R → E → I → A	Pillar R + Pillar I	None
SME (10-100 employees)	R(express) → I → A(lite)	Pillar I direct	Express diagnosis
Legislature	A(Verify) → A(Empower)	AI-assisted legislative audit demo	None
Sector regulator	E → G → A(Verify)	Pillar E	Existing regulatory framework

CHAPTER 4

REGIA differentiators

ASPECT	MULTILATERAL FRAMEWORKS	REGIA
Level	Principles and policies	Procedures, controls, and instruments
Audience	National policymakers	Institutions that implement
Deliverable	Reference document	Ready-to-use operational instruments
Tools	None integrated	Interactive toolkit + integrated digital tools
Context	Global	Adapted to LATAM, with Costa Rica as pilot
Theoretical basis	Proprietary framework	Integrates 28 international frameworks with traceability
Execution	Manual, depends on each government	AI-assisted (document generation, automated audit)
Verification	Government self-report	Traceable audit with separation of roles

REGIA does not replace multilateral frameworks. It complements them as an execution layer. It is a framework designed for public-sector execution in Latin America, with ready-to-use instruments, integrated digital tools, and adaptation to the legal framework of each country.

CHAPTER 5

28 integrated frameworks

REGIA explicitly integrates the following 28 international frameworks, grouped by category. Each one is mapped to one or more pillars and is invoked in the corresponding controls and instruments.

Multilateral

#	FRAMEWORK	ORGANIZATION	PILLARS	USE
1	**OECD AI Principles**	OECD	E, G	Principles and policy recommendations
2	**OECD.AI Policy Observatory**	OECD	R	Benchmarking of 900+ policies
3	**UNESCO Recommendation on AI Ethics**	UNESCO	E	Ethical principles and Policy Action Areas
4	**UNESCO RAM**	UNESCO	R, A	Institutional readiness assessment
5	**fAIr LAC**	IDB	I, A	Ethical and feasible LAC project design
6	**IDB Project Formulation Manual**	IDB	I	Project design: problem → execution
7	**IDB Data Science Manual**	IDB	I	Technical practices by lifecycle
8	**GTMI**	World Bank	R	Digital maturity: 4 areas, 48 indicators
9	**ILIA 2025**	ECLAC/CENIA	R	LAC index: 3 dimensions, 19 countries
10	**eLAC2026**	ECLAC	E	Regional digital agenda, 38 objectives

Technical standards

#	FRAMEWORK	ORGANIZATION	PILLARS	USE
11	**NIST AI RMF 1.0**	NIST	E, G, A	Govern / Map / Measure / Manage
12	**ISO/IEC 42001:2023**	ISO	E, A	AI management system (PDCA)
13	**ISO/IEC 23053:2022**	ISO	I	Data quality for ML
14	**ISO/IEC 38507:2022**	ISO	E	AI governance at board level
15	**BS 8611:2016/A1:2023**	BSI	G, A	AI assurance and risk management
16	**ITU AI Standards**	ITU	I	Technical interoperability

Regulatory frameworks

#	FRAMEWORK	ORGANIZATION	PILLARS	USE
17	**EU AI Act (2024/1689)**	EU	G	Risk-based classification (4 levels)
18	**Singapore Model AI Governance 2.0**	IMDA	E, G	Operational governance by blocks
19	**AI Verify**	Singapore	A	Technical testing and assurance
20	**UK AI Playbook**	GDS	R, E, I	10 principles + lifecycle for government
21	**UK Guidelines for AI Procurement**	UK Gov	G	10 procurement criteria
22	**UK ATRS**	UK Gov	E, A	Algorithmic transparency registry
23	**UK AI Regulation White Paper**	UK Gov	G	Flexible sector-specific regulation

Canada

#	FRAMEWORK	ORGANIZATION	PILLARS	USE
24	**Directive on ADM**	TBS Canada	G, A	Mandatory requirements for automated decisions
25	**Algorithmic Impact Assessment**	TBS Canada	G	Impact assessment: 65 risks + 41 mitigations

LAC national

#	FRAMEWORK	ORGANIZATION	PILLARS	USE
26	**Colombia ENIA**	MINCIENCIAS	E	Policy focused on public sector
27	**Panama AI Regulatory Framework**	SENACYT	G	Government operational guide

Private research

#	FRAMEWORK	ORGANIZATION	PILLARS	USE
28	**McKinsey State of AI 2025**	McKinsey	R, I	Global survey, 6 transformation dimensions

CHAPTER 6

Mapping to the 10 OECD Principles

REGIA operationalizes at the institutional level a substantial portion of the OECD AI Principles, translating them into procedures, instruments, and controls for public institutions and organizations. What the OECD recommends at the country level, REGIA converts into an organizational execution layer.

Value-based principles (5)

#	OECD PRINCIPLE	PILLAR(S)	HOW REGIA IMPLEMENTS IT	COVERAGE
1	Inclusive growth, sustainable development, and well-being	R + I	The diagnosis evaluates impact on citizens and public service. Implementation measures results against baseline (not just efficiency, but public value).	Partial
2	Rule of law, human rights, fairness, and privacy	G + A	Risk classification with fundamental rights impact analysis. AI-assisted legislative audit verifies constitutional consistency.	Complete
3	Transparency and explainability	E + A	Algorithmic transparency sheet (UK ATRS). Institutional algorithmic registry. Playbook Ch. 12: transparency and citizen oversight.	Partial
4	Robustness, security, and safety	G + A	8 classification criteria include security exposure and reversibility. Post-deployment monitoring (drift, incidents).	Complete
5	Accountability	E + A	RACI structure per project. Documented decision mechanism. Exit gate: documented hierarchical approval.	Complete

Policy recommendations (5)

#	OECD RECOMMENDATION	PILLAR(S)	HOW REGIA IMPLEMENTS IT	COVERAGE
6	Investing in AI R&D	R	The diagnosis identifies opportunities by impact/feasibility. The 12-month roadmap prioritizes investments by horizon.	Partial
7	Fostering an inclusive enabling ecosystem	R + I	Regional benchmark positions the institution. Practical automation for SMEs.	Partial
8	Interoperable governance and policy	E + G	Institutional policy aligned with ENIA and international frameworks. Procurement protocol with 9 clause families.	Complete
9	Human capacity and labor market	A (Empower)	4 training formats by profile. Institutional action plan. Change management.	Complete
10	International cooperation	Cross-cutting	REGIA integrates 28 frameworks. CR Playbook aligned with ENIA. ObservatorioIA monitors regional adoption.	Partial

Total coverage: 5 complete principles + 5 partial. The 5 complete ones are the most operational (rights/privacy, robustness/safety, accountability, interoperable governance, human capacity). The 5 partial ones correspond to macro dimensions (inclusive growth, transparency/explainability, R&D, ecosystem, international cooperation) where REGIA covers the institutional dimension but not the national policy dimension. This is expected: REGIA is an organizational framework, not a national public policy framework.

CHAPTER 7

Limitations and scope

REGIA is an operational consulting framework, not a certifiable standard or a regulatory rule. Its instruments require adaptation to the legal and institutional framework of each country. Deliverables generated with AI assistance include the disclaimer “Draft, requires institutional validation” and do not replace specialized legal or technical judgment.

The AI-assisted legislative audit analyzes regulatory consistency and constitutional risks, but does not replace the judgment of a constitutional lawyer or the political decision of a legislator.

CHAPTER 8

Contact and next step

If this methodology fits your institution's reality, the next step is a no-obligation conversation to understand the context, current maturity, and objectives. From there, the scope, deliverables, and timeline are agreed upon in a formal proposal.

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