

Fiduciary Defence Dossier

Board-Signed Evidence Package for AI Incident Response

Template derived from *The Zero-Hour Doctrine*

This template converts crisis response into a board-signed dossier that satisfies three audiences: regulators (NIS2 Art. 20, DORA Art. 5), D&O; insurers (Cyber Exclusion clause evidence), and fiduciary defence counsel (Caremark / Companies Act Section 174). Every field is designed to be time-stamped and attributable.

SECTION 1: INCIDENT IDENTIFICATION

Incident Reference Number: _____
 Date/Time of Detection (UTC): _____
 Date/Time of First Containment Action: _____
 AI System(s) Affected: _____
 Incident Type Classification (1-5): _____
 ACVI Score (if calculated): _____
 AI Incident Commander Name: _____
 CISO Name: _____
 General Counsel Name: _____
 Board Chair Notified (Date/Time): _____

SECTION 2: FIVE REGULATORY CLOCKS STATUS

Regulation	Clock Started	Deadline	Notification Filed	Filed By	Reference
NIS2 (24h early warning)	___/___/___ —	___/___/___ —	Yes / No / N/A	_____	_____
DORA (without undue delay)	___/___/___ —	___/___/___ —	Yes / No / N/A	_____	_____
EU AI Act Art. 73	___/___/___ —	___/___/___ —	Yes / No / N/A	_____	_____
GDPR (72h)	___/___/___ —	___/___/___ —	Yes / No / N/A	_____	_____
SEC Form 8-K (4 bus. days)	___/___/___ —	___/___/___ —	Yes / No / N/A	_____	_____

SECTION 3: 30/60/120 PROTOCOL EXECUTION LOG

Milestone	Target Time	Actual Time	Action Taken	Decision Maker	Evidence Ref
T+0 Circuit Breaker	<50ms	_____	_____	_____	_____

T+5 System Isolation	<5 min	_____	_____	_____	_____
T+15 Classification	<15 min	_____	_____	_____	_____
T+30 CISO Brief	<30 min	_____	_____	_____	_____
T+60 CEO/Board Chair	<60 min	_____	_____	_____	_____
T+120 Full Board	<120 min	_____	_____	_____	_____
T+240 Regulator Filed	<240 min	_____	_____	_____	_____

SECTION 4: EVIDENCE CHAIN INVENTORY

Evidence Item	Timestamp	Author	Storage Location	Integrity Hash
System logs (pre-incident)	_____	_____	_____	_____
Circuit breaker activation log	_____	_____	_____	_____
Incident Action Plan (signed)	_____	_____	_____	_____
CISO briefing minutes	_____	_____	_____	_____
Board notification record	_____	_____	_____	_____
Regulatory notification copies	_____	_____	_____	_____
Forensic snapshot / memory dump	_____	_____	_____	_____
External counsel engagement letter	_____	_____	_____	_____
D&O; insurer notification	_____	_____	_____	_____
Post-incident board review minutes	_____	_____	_____	_____

SECTION 5: BOARD DELIBERATION RECORD (CAREMARK / S.174 DEFENCE)

This section documents that the board exercised active oversight during the AI incident, satisfying the Caremark duty of oversight (US) and Companies Act 2006 Section 174 (UK). Complete all fields to establish fiduciary defence.

Board Meeting Date/Time: _____

Attendees (names and titles): _____

Pre-Committed Authority Envelope invoked? (Yes/No): _____

Specific decisions taken by the board during crisis: _____

Risk appetite reconfirmed or adjusted?: _____

External advisors consulted (names, firms): _____

Restoration timeline approved: _____

Post-incident governance changes mandated: _____

Board resolution reference number: _____

SECTION 6: D&O; INSURANCE CLAIM SUPPORT

Insurer Requirement	Evidence Provided	Reference Document
Demonstrated board oversight	Board deliberation record (Section 5)	_____
Pre-existing crisis protocol	30/60/120 Protocol log (Section 3)	_____
Risk quantification methodology	ACVI Score + FAIR-AIR calculation	_____
Regulatory compliance posture	Five Clocks status (Section 2)	_____
Post-incident evidence chain	Evidence inventory (Section 4)	_____

Timely insurer notification	Date of D&O; insurer notification	_____
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SIGN-OFF: BOARD-LEVEL ATTESTATION

We, the undersigned, attest that this Fiduciary Defence Dossier accurately records the board's oversight, deliberations, and decision-making during the AI incident referenced above. All evidence referenced herein is preserved in accordance with regulatory retention requirements.

Board Chair:

Signature: _____ Date: ___/___/_____

CISO / AI Incident Commander:

Signature: _____ Date: ___/___/_____

General Counsel:

Signature: _____ Date: ___/___/_____