10 PRACTICAL WAYS RIM & IG PROFESSIONALS CAN USE AI TODAY

MARK GRAVES, IGP - ACCESS SCIENCES

WELCOME

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Access Sciences

INTRODUCTION

Access Sciences helps organizations make better business decisions by organizing, governing, and managing information.

- Information Governance
- Records & Information Management
- Change Management
- AI Readiness
- Managed Services

Mark Graves, IGP

Information Governance Consulting Manager

- 25+ years of IG and technical solutions experience
- Chair, Chapter Advisory Committee

Source: Access Sciences Corp.



Photorealistic aerial golden hour image of a corn harvester halfway done harvesting a field of corn. The harvester is dumping corn into a grain cart.

ChatGPT (AI-generated image)



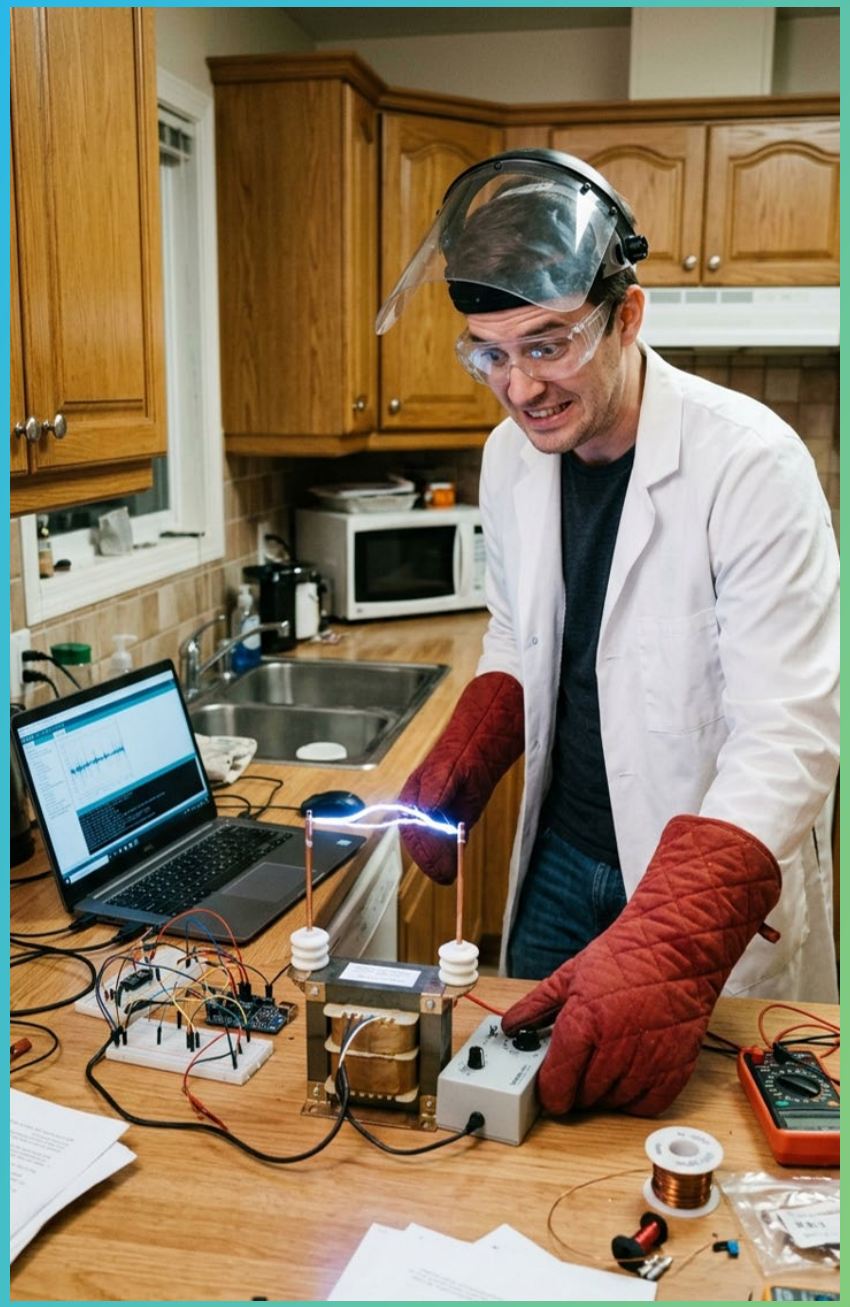
Source: Microsoft Copilot (AI-generated image)

WARNING!

- Assume everything you enter is public (see terms of service)
- Verify all outputs
- Follow company policies

Vertical image of a female construction worker holding up a triangular warning sign in a busy, professional office with people in business attire working in cubicles in the background.

Microsoft Copilot



Source: Google Gemini (AI-generated image)

PRACTICE AT HOME

- Learn new systems
- Use your own, non-sensitive data
- Explore known topics
- Start simple, but keep learning

Vertical image of a man in his kitchen wearing personal protective equipment doing a scientific experiment involving computers and a machine creating an electrical arc. The man is also wearing oven mitts to protect his hands. He looks excited, but anxious that he might get shocked.

Google Gemini

IN THIS PRESENTATION













Source: Respective company websites

10

Training Development

Source:

COPILOT

Create records management training

Source:

COPILOT: "CREATE RECORDS MANAGEMENT TRAINING"

📘 Records Management Training

🎯 Training Objectives

By the end of this session, participants will:

- Understand what records management is and why it matters
- Identify key types of records
- Apply proper classification, storage, and retention rules
- Recognize legal, regulatory, and business risks
- Follow best practices for secure handling and disposal

Module 1: Introduction to Records Management

What is a Record?

A record is any information created, received, or maintained as evidence of business activities.

Examples:

- Emails
- Contracts
- Financial reports
- Employee files
- Databases

Why Records Management Matters

- ✅ Compliance with laws and regulations
- ✅ Reduces legal risks
- ✅ Improves operational efficiency
- ✅ Protects sensitive information
- ✅ Supports business continuity

Source: Copilot (AI Generated Content)

COPILOT: "CREATE RECORDS MANAGEMENT TRAINING"

🗂️ Module 2: Types of Records

1. Physical Records

- Paper files, printed reports, signed contracts

2. Electronic Records

- Emails, PDFs, spreadsheets, databases

3. Structured vs. Unstructured

- Structured: Databases, CRM systems
- Unstructured: Emails, documents, chats

Module 3: Classification & Organization

Classification Categories

- Financial
- Legal
- HR
- Operational
- Customer data

Best Practices

- Use consistent naming conventions
- Apply metadata/tags
- Centralize storage locations
- Avoid duplicate records

Source: Copilot (AI Generated Content)

COPILOT: "CREATE RECORDS MANAGEMENT TRAINING"

⏳ Module 4: Retention & Disposal

Retention Schedules

Defines how long records must be kept.

Examples:

- Financial records: 7 years
- Employee records: Varies by jurisdiction
- Contracts: Duration + several years after expiration

Disposal Methods

- 🗑️ Secure shredding (physical records)
- 🧹 Permanent deletion (digital files)
- 🔐 Certified data destruction

⚠️ **Important:** Never delete records outside approved schedules.

🔒 Module 5: Compliance & Security

Regulatory Considerations

- Data privacy laws (e.g., GDPR, CCPA)
- Industry regulations (HIPAA, SOX, etc.)

Security Practices

- Access control (least privilege)
- Encryption
- Secure sharing
- Audit trails

Source: Copilot (AI Generated Content)

COPILOT: “CREATE RECORDS MANAGEMENT TRAINING”

⚠️ Module 6: Risks of Poor Records Management

- Legal penalties and fines
- Data breaches
- Loss of critical information
- Inefficiencies and duplication
- Reputational damage

✅ Module 7: Best Practices

- Capture records at creation
- Store in approved systems only
- Apply retention schedules consistently
- Regularly audit records
- Train employees continuously

🧪 Interactive Exercise

Scenario:
You receive an email with a signed contract attached.

Questions:

1. Is this a record? ✅ Yes
2. Where should it be stored? (Document management system)
3. How should it be classified? (Legal/Contract)
4. How long should it be retained? (Based on policy)

📋 Quick Reference Checklist

✓ Is this a record?
✓ Is it stored in the correct system?
✓ Is it classified properly?
✓ Does it have a retention period assigned?
✓ Is it protected appropriately?

Source: Copilot (AI Generated Content)

COPILOT: “CREATE RECORDS MANAGEMENT TRAINING”

📝 Knowledge Check (Quiz)

1. What defines a record?
2. Name two types of records
3. Why are retention schedules important?
4. What is the risk of improper disposal?
5. What does “least privilege access” mean?

📦 Optional Add-ons

If you want, I can also create:

- PowerPoint slides (.pptx)
- A formal training manual (PDF)
- A quick reference job aid
- A policy template tailored to your company
- Industry-specific training (e.g., healthcare, finance, consulting)

Source: Copilot (AI Generated Content)

COPILOT

Create records management training for Access Sciences with the following policy in mind:

https://accesssciencescorporation.sharepoint.com/:b:/s/OperationalExcellence/IQDOBmla_A2UR...

Source:

COPILOT: “CREATE TRAINING BASED ON POLICY DOC”

📘 **Access Sciences Records Management Training**

Aligned to QMS Control of Records (v2.0 – 03/19/26)

🎯 **Training Objectives**

By the end of this training, ASC personnel will:

- Understand QMS requirements for records control
- Apply ASC-specific procedures for managing records
- Ensure records are legible, identifiable, protected, and retrievable
- Follow proper retention and disposition practices
- Understand their role in maintaining compliance

🧭 **Module 1: Purpose of Records Management (ASC QMS)**

Why This Procedure Exists

The ASC QMS Control of Records procedure ensures that:

- Records provide **evidence of conformity and effective QMS operation** [QMS ASC Co...ords FINAL | PDF]
- Records are properly:
  - Identified
  - Stored
  - Protected
  - Retained
  - Disposed

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON POLICY DOC”

🌎 Module 2: Scope & Application

This procedure applies to:

- All ASC records
- Records from **outsourced activities / suppliers** [QMS ASC Co...ords FINAL | PDF]
- Both:
  - Physical records
  - Electronic records

📌 Records must follow the **ASC Records Retention Schedule**.

👥 Module 3: Roles & Responsibilities

Quality Representative

- Controls and identifies QMS records
- Ensures records demonstrate effective QMS operation [QMS ASC Co...ords FINAL | PDF]

Managers & Team Leads

- Ensure proper:
  - Collection
  - Storage
  - Protection
  - Retrieval
  - Retention [QMS ASC Co...ords FINAL | PDF]

ASC Personnel (All Employees)

- Ensure records are:
  - Accurate
  - Complete
  - **Legible at all times** [QMS ASC Co...ords FINAL | PDF]

Source: Copilot (AI Generated Content)

COPILOT: "CREATE TRAINING BASED ON POLICY DOC"

📂 Module 4: Records Management Core Requirements

Key Principles

All records must be:

- ✅ Legible
- ✅ Readily identifiable
- ✅ Easily retrievable [QMS ASC Co...ords FINAL | PDF]

Record Types

- Electronic (SharePoint, email, systems)
- Physical (files, documents, boxed records)

🔎 Module 5: Legibility

Requirement

- Records must remain **clear and readable throughout their lifecycle** [QMS ASC Co...ords FINAL | PDF]

Examples

✓ Clear scanned documents
✓ Properly formatted digital files
❌ Blurry images or incomplete forms

Source: Copilot (AI Generated Content)

COPILOT: "CREATE TRAINING BASED ON POLICY DOC"

🏷️ Module 6: Identification & Classification

Where Records Are Stored

- SharePoint (primary system)
- Approved physical storage locations [QMS ASC Co...ords FINAL | PDF]

Identification Requirements

Records must include:

- Meaningful file names
- Proper classification
- Metadata (electronic records)
- Folder labels and disposition logs (physical records) [QMS ASC Co...ords FINAL | PDF]

Additional Notes

- QMS records may receive a **document number**
- Printed copies = **Uncontrolled** [QMS ASC Co...ords FINAL | PDF]

🗄️ Module 7: Storage & Retrieval

Requirements

- Records must be:
  - Organized
  - Accessible
  - Easy to retrieve [QMS ASC Co...ords FINAL | PDF]

Best Practices

- Store documents in SharePoint folders with structure
- Limit access to appropriate personnel
- Convert paper records to digital when possible

Source: Copilot (AI Generated Content)

COPILOT: "CREATE TRAINING BASED ON POLICY DOC"

🔒 Module 8: Protection

Protection Requirements

Records must be protected from:

- Damage (fire, water)
- Theft
- Deterioration
- Unauthorized alteration [QMS ASC Co...ords FINAL | PDF]

Electronic Records

- Must be backed up regularly
- Protected through access controls and security measures

Physical Records

- Stored in secure environments or approved offsite vendors

⏳ Module 9: Retention

Key Rules

- Follow the **ASC Records Retention Schedule** [QMS ASC Co...ords FINAL | PDF]
- Schedule is reviewed annually

Additional Requirements

- Retention may be extended for:
  - Client contractual obligations
- Email handling:
  - Emails with record value → stored in repository
  - Other emails → transitory

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON POLICY DOC”

🗑️ Module 10: Disposition (Destruction)

Approved Methods

- Shredding (physical records)
- Secure deletion (electronic records) [QMS ASC Co...ords FINAL | PDF]

Required Controls

- Maintain **Certificate of Destruction** in SharePoint
- Follow confidentiality requirements

🚨 Legal Hold

- If litigation or investigation is expected:
  - **STOP destruction immediately**
  - Records must be preserved [QMS ASC Co...ords FINAL | PDF]

📋 Module 11: Forms & Tools

Required forms:

- ASC Disposition Log
- Certificate of Destruction Form [QMS ASC Co...ords FINAL | PDF]

Supporting documents:

- QMS-004 Control of Documents
- Information Management Policy
- Records Retention Schedule

⚠️ Module 12: Key Risks

Failure to comply may result in:

- Loss of critical business evidence
- Compliance violations
- Legal exposure
- Inefficient operations

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON POLICY DOC”

🧪 Scenario Exercise (ASC-Specific)

Scenario

You receive a signed client deliverable via email.

Actions

1. Save to SharePoint (correct repository) ✅
2. Apply proper naming and metadata ✅
3. Confirm retention classification ✅
4. Ensure access control ✅
5. Delete transitory email (if applicable) ✅

✅ ASC Records Management Checklist

✓ Is the record stored in SharePoint or approved location?
✓ Is it clearly named and classified?
✓ Is it legible and complete?
✓ Is it protected from loss/damage?
✓ Does it follow retention rules?
✓ Is disposition handled properly (if applicable)?

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON POLICY DOC”

📝 Knowledge Check

1. What system is the primary storage location for ASC records?
2. What makes a record “legible”?
3. Who is responsible for ensuring records are properly stored?
4. What must happen before records are destroyed?
5. What is a legal hold?

🎤 Facilitator Notes (Optional)

- Emphasize SharePoint discipline
- Reinforce legal hold importance
- Use real ASC examples
- Highlight unmanaged email risk

📦 Optional Deliverables I Can Create Next

If you want to take this further, I can generate:

- 🎯 PowerPoint training deck (ready to present)
- ✅ LMS e-learning module
- 📄 One-page quick reference guide
- 🧭 Process flow diagram
- 🏢 Role-based training (Consulting vs OE vs IT)

Source: Copilot (AI Generated Content)

COPILOT

Create records management training based on ISO 15489

Source:

COPILOT: "CREATE TRAINING BASED ON ISO 15489"

Here is a **professional Records Management Training based on ISO 15489** (the international standard for records management). This is structured so you can use it as a **training deck, facilitator guide, or LMS module**.

📘 Records Management Training

Based on ISO 15489 (Records Management Standard)

🎯 Training Objectives

By the end of this training, participants will:

- Understand ISO 15489 principles and concepts
- Identify what constitutes a record
- Apply lifecycle controls (creation → use → disposal)
- Ensure records are reliable, authentic, and usable
- Implement best practices for governance and compliance

🧭 Module 1: Introduction to ISO 15489

What is ISO 15489?

ISO 15489 is the **global standard for records management**, providing:

- Principles
- Frameworks
- Best practices for managing records throughout their lifecycle

📌 Why ISO 15489 Matters

- ✅ Ensures legal and regulatory compliance
- ✅ Improves decision-making with reliable information
- ✅ Protects organizational memory
- ✅ Reduces risk and liability
- ✅ Supports transparency and accountability

Source: Copilot (AI Generated Content)

COPILOT: "CREATE TRAINING BASED ON ISO 15489"

📂 Module 2: What is a Record?

Definition (ISO 15489)

A **record** is:

Information created, received, and maintained as evidence of business activities.

Examples of Records

- Emails and correspondence
- Contracts and agreements
- Reports and presentations
- Data in systems (CRM, ERP)
- Meeting minutes

🧱 Module 3: Key Principles of Records Management

ISO 15489 defines that records must be:

1. Authentic

- Proven to be what they claim to be
- Created by authorized individuals

2. Reliable

- Trusted as full and accurate records

3. Integrity

- Protected from unauthorized changes

4. Usable

- Easily retrievable and understandable

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON ISO 15489”

🔄 Module 4: Records Lifecycle

Lifecycle Stages

1. **Creation / Capture**
    1. Records are created or received
    2. Captured into recordkeeping systems
2. **Classification & Indexing**
    1. Categorized by function or activity
    2. Tagged with metadata
3. **Storage & Use**
    1. Stored securely
    2. Accessible to authorized users
4. **Maintenance**
    1. Protected and preserved over time
5. **Disposition**
    1. Destroyed or archived based on retention rules

🗂️ Module 5: Classification & Metadata

Classification Systems

- Based on business functions
- Provides consistency and findability

Metadata

Metadata describes records:

- Title
- Author
- Date
- Category
- Retention rule

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON ISO 15489”

🔒 Module 6: Security & Access Control

Principles

- Least privilege access
- Role-based permissions
- Secure sharing

Protection

- Prevent unauthorized access
- Prevent accidental deletion
- Maintain audit trails

⏳ Module 7: Retention & Disposal

Retention Policies

- Define how long records are kept
- Based on:
  - Legal requirements
  - Business value
  - Risk

Disposal Methods

- Secure shredding (physical)
- Permanent deletion (digital)

Important Rule

⚠️ Records must **not be destroyed prematurely**

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON ISO 15489”

🏛️ Module 8: Governance & Accountability

Organizational Responsibilities

- Establish records management policies
- Assign roles and responsibilities
- Ensure compliance and monitoring

Employee Responsibilities

- Create records appropriately
- Store records in approved systems
- Follow retention and disposal rules

⚠️ Module 9: Risks of Poor Records Management

- Legal penalties and regulatory fines
- Data breaches and loss of confidentiality
- Loss of critical business information
- Inefficiency and duplication
- Reputational damage

✅ Module 10: Best Practices

- Capture records at the point of creation
- Use standardized naming conventions
- Store only in approved systems
- Regularly review and audit records
- Train employees continuously

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON ISO 15489”

🧪 Scenario Exercise

Scenario

A project manager saves important client emails only in their inbox.

Issues

❌ Not captured in a records system
❌ Not classified
❌ May be deleted accidentally

Correct Action

✅ Save email to official repository
✅ Apply classification and metadata
✅ Ensure retention policy is applied

📋 Records Management Checklist

✓ Is this information a record?
✓ Has it been captured in an official system?
✓ Is it classified and labeled correctly?
✓ Is access controlled appropriately?
✓ Is retention defined?
✓ Is disposal handled properly?

📝 Knowledge Check

1. What are the four characteristics of a record (ISO 15489)?
2. What are the stages of the records lifecycle?
3. Why is metadata important?
4. What is the purpose of retention schedules?
5. What risks arise from poor records management?

Source: Copilot (AI Generated Content)

COPILOT: “CREATE TRAINING BASED ON ISO 15489”

📦 Optional Enhancements

I can also create:

- ✅ PowerPoint slide deck
- ✅ ISO 15489 process flow diagram
- ✅ Policy aligned to ISO standard
- ✅ Role-based training (executives, IT, consultants)
- ✅ Assessment quiz with scoring

💡 If You Want Next-Level Customization

I can combine:

- ✅ ISO 15489 + your ASC QMS policy
- ✅ SharePoint-specific workflows
- ✅ Real-world consulting scenarios

Just tell me and I’ll build a **fully branded enterprise training package**.

Source: Copilot (AI Generated Content)

9

Newsletter Development

Source:

CLAUDE

“Create 12 monthly articles for a U.S. national consumer and commercial property & casualty insurance organization's records management newsletter. Include RIM month for April, Legal Hold for May, file cleanup in March (spring cleaning). Include a topic for Data Privacy at an appropriate time of the year.”

Source:

CLAUDE: CREATE 12 MONTHLY ARTICLES

Check for relevant skills

Now let me plan the 12 articles and write the document:

Ran 5 commands, edited 3 files, created a file

All validations passed. Let me present the file:

Presented file

Here's your complete 12-article newsletter package, formatted as a professional Word document. Here's a summary of the editorial calendar:

[note: this process took about 5 minutes]

Rim newsletter 12 monthly articles

Document · DOCX

[Download]

Source: Anthropic Claude (AI Generated Content)

CLAUDE: CREATE 12 MONTHLY ARTICLES

January: New Year, New Records — Annual goal-setting and retention schedule review

February: Cybersecurity Awareness — RIM's role in reducing cyber risk

March: 🌱 Spring Cleaning — File cleanup, disposition, and destruction procedures

April: 🏆 RIM Month — Celebrating records management, metrics, and awareness campaigns

May: ⚖️ Legal Holds — Issuing, tracking, and releasing litigation holds

June: Hybrid Work — Records governance for distributed workforces

July: Retention Schedule Deep Dive — Claims, underwriting, regulatory, and multi-state complexity

August: E-Discovery Readiness — ESI, information maps, and litigation preparedness

September: 🔒 Data Privacy — GLBA, NAIC model laws, state privacy statutes, and personal data disposition

October: Disaster Recovery — Vital records protection and business continuity

November: Year-End Audit Prep — Market conduct exams and financial audit readiness

December: Year-End Review & Planning — Metrics, lessons learned, and next-year strategy

Data Privacy was placed in **September** to align with National Cybersecurity Awareness Month preparations, the anniversary of several major state privacy law implementations (including CCPA), and as a meaningful mid-fall touchpoint following the summer's retention schedule review.

Each article is tailored specifically to a **U.S. national P&C insurance** context — referencing state insurance departments, NAIC model laws, GLBA, claims statutes of limitations, market conduct examinations, and other industry-specific requirements throughout.

Source: Anthropic Claude (AI Generated Content)

CLAUDE: CREATE 12 MONTHLY ARTICLES

JANUARY

New Year, New Records: Setting Your Records Management Goals for the Year

Start the year right with a strategic approach to information governance

The start of a new year is the ideal moment for your organization's records management program to reset, refocus, and recommit to best practices. For property and casualty insurance organizations, where records span policyholder files, claims documentation, underwriting data, regulatory filings, and reinsurance treaties, a well-structured annual plan is not merely good practice — it is an operational and compliance imperative.

Begin by reviewing your Records Retention Schedule (RRS). Retention schedules should be treated as living documents, reviewed at minimum annually to capture changes in federal and state insurance regulations, updates to statutes of limitations governing claims, and any new data types introduced by emerging business lines or technology platforms. State insurance departments — from the Texas Department of Insurance to the California Department of Insurance — regularly update their recordkeeping requirements, and your schedule must reflect those changes.

Next, assess the state of your active records inventory. Conduct a quick audit of physical file rooms, shared network drives, and cloud repositories. Identify backlogs, misfiled records, and any orphaned data sets that accumulated during the prior year. Document these gaps as action items with assigned owners and target completion dates.

January is also the right time to confirm that all staff with records responsibilities have completed their annual RIM training. Records management is only as strong as the people executing it. Refresher training on your organization's policies, the retention schedule, and proper disposition procedures helps prevent the costly errors — premature destruction, indefinite retention, or improper storage — that create regulatory and litigation exposure.

Source: Anthropic Claude (AI Generated Content)

8

Project Planning

Source:

CHATGPT

“Build a project plan to implement a new document imaging operation. The plan will require selection of a suitable space in the building (storage space with shelving, document prep workstations, document scanning workstations, large format scanner workstations, construction buildout (and all related requirements) including storage shelving and workstation assembly, software selection, hardware selection (computers, scanners), software configuration, employee hiring, employee onboarding & training, and acquisition of equipment such as carts. Also include identification of loading dock location and requirements. Include any items that I forgot that are usually included in similar document imaging operations projects. Identify dependencies, tasks, and order of execution to ensure maximize overlapping tasks and reduce any bottlenecks in the process.”

Source:

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

For a new document imaging operation, the most successful projects treat the effort as four parallel workstreams that converge at go-live:

1. **Facility & Infrastructure**
2. **Technology (Hardware & Software)**
3. **Operations Design**
4. **Staffing & Training**

The biggest scheduling mistake organizations make is waiting for facility completion before starting software selection, process design, and hiring. Many activities can overlap and should be managed through a dependency-driven schedule.

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Phase 1: Project Initiation & Requirements (Weeks 1-4)

1.1 Project Governance

Tasks
- Appoint executive sponsor
- Assign project manager
- Identify stakeholders
- Define budget authority
- Establish steering committee
- Define project success metrics

Deliverables
- Project charter
- Budget estimate
- High-level timeline
- Risk register

Dependencies

None

1.2 Business & Operational Requirements

Tasks
- Determine document volumes
  - Boxes per month
  - Pages per month
  - Large-format documents
- Define retention requirements
- Define indexing requirements
- Define image quality standards
- Define chain-of-custody requirements
- Define SLA requirements
- Define security requirements
- Define compliance requirements
- Define disaster recovery requirements

Deliverables
- Requirements document
- Capacity model
- Staffing model assumptions

Dependencies

Project charter

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Phase 2: Facility Selection & Design (Weeks 2-8) Can begin while requirements are being finalized.

2.1 Space Selection

Evaluate Candidate Areas

Required functional zones:

Secure Document Intake Area
- Incoming deliveries
- Box receiving
- Logging
- Chain of custody

Storage Area
- Box storage
- Shelving systems
- Expansion capacity
- Secure access

Document Preparation Area
- Staple removal
- Repair
- Sorting
- Barcode sheet insertion

Production Scanning Area
- High-speed scanners
- Operator workstations

Large Format Scanning Area
- Engineering drawings
- Maps
- Oversized records

Quality Control Area
- Image review
- Audit workstation

Exception Processing Area
- Rescans
- Research

Supervisor Area

Training Area

Equipment Staging Area

Supplies Storage Area

Secure Shredding Area

Deliverables
- Space selection recommendation
- Square footage requirements
- Growth projections

Dependencies

Volume forecasts

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

2.2 Loading Dock Assessment (Often overlooked)

Tasks

Identify:
- Loading dock location
- Truck accessibility
- Delivery schedules
- Dock ownership/control
- Freight elevator access
- Distance from dock to storage
- Cart movement routes
- Security controls
- Weather exposure
- Pallet handling capability

Determine Requirements
- Pallet jack access
- Cart access
- Box transfer procedures
- Receiving procedures
- Security camera coverage
- Chain-of-custody controls

Deliverables
- Dock operations plan
- Material flow map

Dependencies

Space selection

2.3 Facility Design

Tasks

Develop:
- Detailed floor plan
- Power layout
- Data layout
- Security layout
- Workflow layout
- Ergonomic design

Include
- CCTV coverage
- Badge access
- Fire protection
- HVAC requirements
- Lighting requirements
- ADA compliance

Deliverables

- Final facility design package

Dependencies

Space selection

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Phase 3: Technology Selection (Weeks 3-10)

Runs in parallel with facility planning.

3.1 Imaging Software Selection

Evaluate

Document management system (DMS)

Capture software

OCR/ICR software

Workflow software

Quality assurance tools

Reporting tools

Selection Criteria
- OCR accuracy
- Integration capabilities
- Scalability
- Security
- Audit logging
- Licensing model

Deliverables
- Software recommendation
- Licensing plan

Dependencies

Requirements gathering

3.2 Infrastructure Design

Tasks

Determine:
- Server architecture
- Cloud vs on-premise
- Storage requirements
- Backup requirements
- DR architecture
- Network bandwidth

Deliverables
- Infrastructure design

Dependencies

Software selection

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

3.3 Hardware Selection

Production Scanners

Determine:

- Throughput requirements
- Duty cycle requirements
- Mixed document capability

Large Format Scanners

Determine:

- Maximum document size
- Color requirements
- Resolution requirements

Workstations

Determine:

- Operator stations
- QC stations
- Supervisor stations

Additional Equipment

- Barcode printers
- Label printers
- Receipt printers
- UPS units
- Network switches
- Monitors
- Docking stations

Deliverables

- Hardware standards
- Procurement list

Dependencies

Software requirements

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Phase 4: Operational Design (Weeks 5-12)

Should begin before facility completion.

4.1 Workflow Design

Define

Receiving > Inventory > Prep > Scan > QA > OCR > Index > Final QA > Export > Storage/Shred

Deliverables

- SOPs
- Process maps

Dependencies

Requirements gathering

4.2 Chain of Custody Design

Frequently forgotten.

Tasks

Define:

- Intake controls
- Tracking procedures
- Box-level tracking
- Document-level tracking
- Audit requirements

Deliverables

- Chain-of-custody procedures

Dependencies

Workflow design

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

4.3 Records Management Procedures

Tasks

Define:

- Retention
- Disposal
- Legal holds
- Archive management

Deliverables

- Records management procedures

Phase 5: Procurement (Weeks 8-16)

5.1 Construction Procurement

Tasks

Select:

- Architect
- Contractor
- Electrician
- Low-voltage contractor

Dependencies

Facility design complete

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

5.2 Technology Procurement

Tasks

Order:

- Software
- Servers
- Storage
- Scanners
- Workstations
- Monitors

Dependencies

Selections complete

5.3 Furniture & Equipment Procurement (Frequently Forgotten Items)

Storage
- High-density shelving
- Archive shelving
- Box racks

Material Handling
- Flat carts
- Rolling carts
- Pallet jacks
- Security carts

Operations
- Prep tables
- Height-adjustable desks
- Anti-fatigue mats
- Lockable cabinets

Security
- Cameras
- Badge readers

Supplies
- Barcode labels
- Separator sheets
- Repair tape
- Gloves
- Box cutters

Dependencies

Facility layout

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Phase 6: Construction & Buildout (Weeks 12-20)

Construction Activities

Facility Work
- Demolition
- Framing
- Electrical
- Data cabling
- Security installation
- HVAC modifications
- Lighting installation
- Flooring

Dependencies

Design approval
Contractor award

Furniture & Shelving Installation

Tasks
- Shelving assembly
- Workstation assembly
- Cart delivery
- Storage setup

Dependencies

Construction substantially complete

Phase 7: Technology Implementation (Weeks 16-22) Can overlap final construction

Software Installation

Tasks
- Install applications
- Configure OCR
- Configure workflows
- Configure indexing
- Configure security roles

Dependencies

Infrastructure available

Hardware Deployment

Tasks
- Install scanners
- Install workstations
- Install peripherals

Dependencies

Workstations delivered

Space available

System Integration

Tasks
- Active Directory integration
- DMS integration
- ERP integration
- Records system integration

Dependencies

Software installed

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Phase 8: Staffing (Weeks 14-22)

Should begin before buildout completion.

Hiring Plan

Leadership
- Operations Manager
- Production Supervisor

Production
- Document Prep Specialists
- Scanner Operators
- Quality Analysts

Technical
- Systems Administrator
- Application Administrator

Support

- Intake/Receiving Clerk

Dependencies

Staffing model approved

Employee Onboarding

Tasks
- Background checks
- Security training
- Records handling training
- Safety training

Dependencies

Hiring complete

Phase 9: Testing & Pilot (Weeks 22-26)

Operational Readiness Testing

Test
- Receiving
- Inventory
- Prep
- Scan
- QA
- Export
- Disaster recovery

Dependencies

System installation complete

Pilot Operation

Tasks

Process:
- Small batch
- Medium batch
- Production simulation

Metrics
- Throughput
- Error rates
- OCR accuracy
- Staffing efficiency

Dependencies

Training complete

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Phase 10: Go-Live (Weeks 26-28)

Cutover

Tasks

- Production activation
- Hypercare support
- Daily monitoring
- Issue tracking

Deliverables

- Go-live approval
- Operational acceptance

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Commonly Forgotten Project Components

These are often missed and become major bottlenecks later:

Security

- CCTV retention policy
- Visitor management
- Secure shredding vendor
- Alarm systems

Environmental

- Humidity control
- Dust control
- Temperature monitoring

Business Continuity

- Backup scanners
- Spare workstation inventory
- DR procedures

Inventory Management

- Box tracking software
- Barcode strategy
- Inventory audits

Ergonomics

- Adjustable workstations
- Repetitive motion mitigation
- Lift-assist equipment

Performance Management

- Productivity dashboards
- Daily throughput reporting
- Quality metrics

Vendor Management

- Scanner maintenance contracts
- Software support contracts
- Hardware warranty management

Compliance

- Document destruction certificates
- Audit procedures
- Legal hold process

Source: OpenAI ChatGPT (AI Generated Content)

CHATGPT: DOCUMENT IMAGING PROJECT PLAN

Recommended Parallel Execution Strategy

To minimize schedule duration:

Weeks 1-4

- Requirements
- Space selection
- Software evaluation

Weeks 3-8

- Facility design
- Hardware evaluation
- Workflow design

Weeks 8-16

- Procurement
- Hiring
- Construction mobilization

Weeks 12-20

- Buildout
- Software installation
- Infrastructure deployment

Weeks 16-22

- Hardware deployment
- Employee onboarding
- System configuration

Weeks 22-26

- Pilot operations
- Acceptance testing

Weeks 26-28

- Production go-live

This approach typically reduces implementation time by 20–30% compared with a sequential project while avoiding the common bottlenecks of delayed construction, late scanner procurement, and insufficient operator training.

Source: OpenAI ChatGPT (AI Generated Content)

7

Graphics & Visuals

AI BATTLE!!!

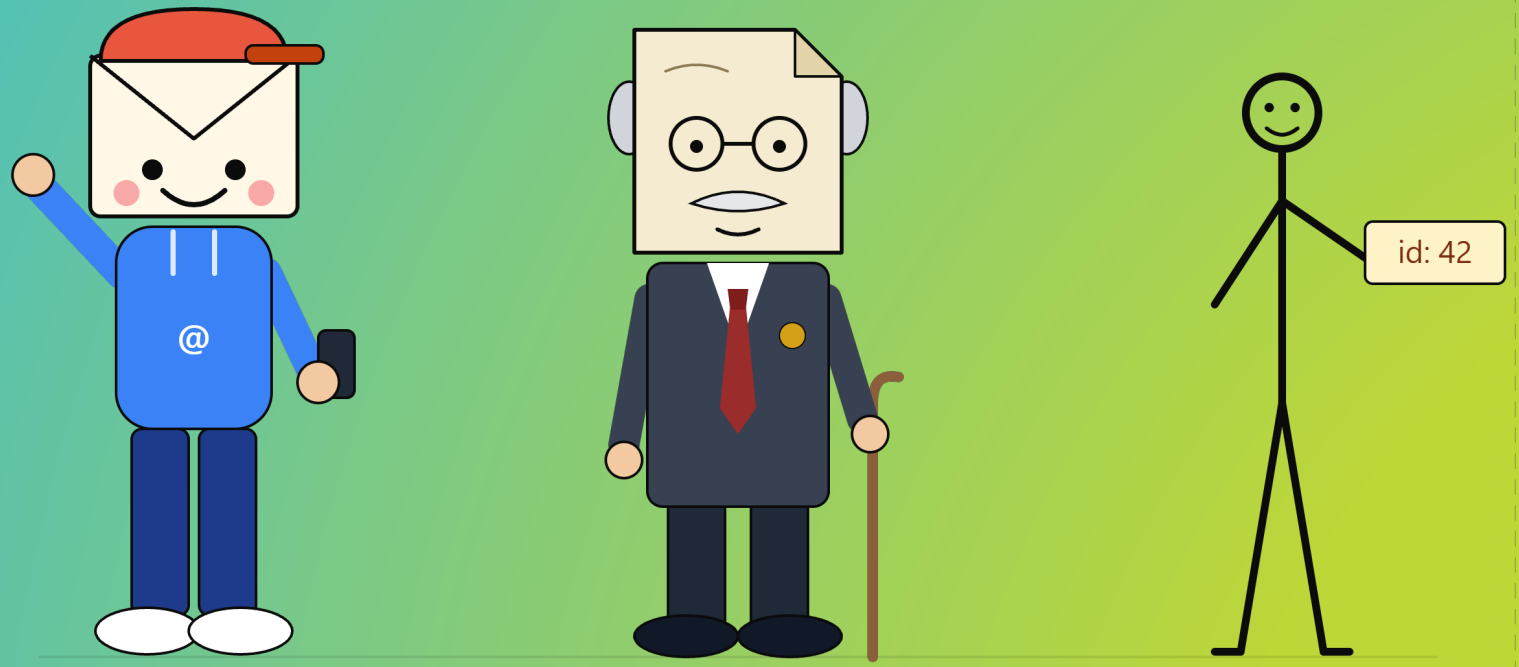
Source:

“Create an image depicting 3 personified cartoon characters representing a business record. One is a young informal character representing an email message. The second one is older, wiser, and more formal character representing a paper record. The third one is a very thin, stick figure representing a data element.”

Source:

CLAUDE

A business record



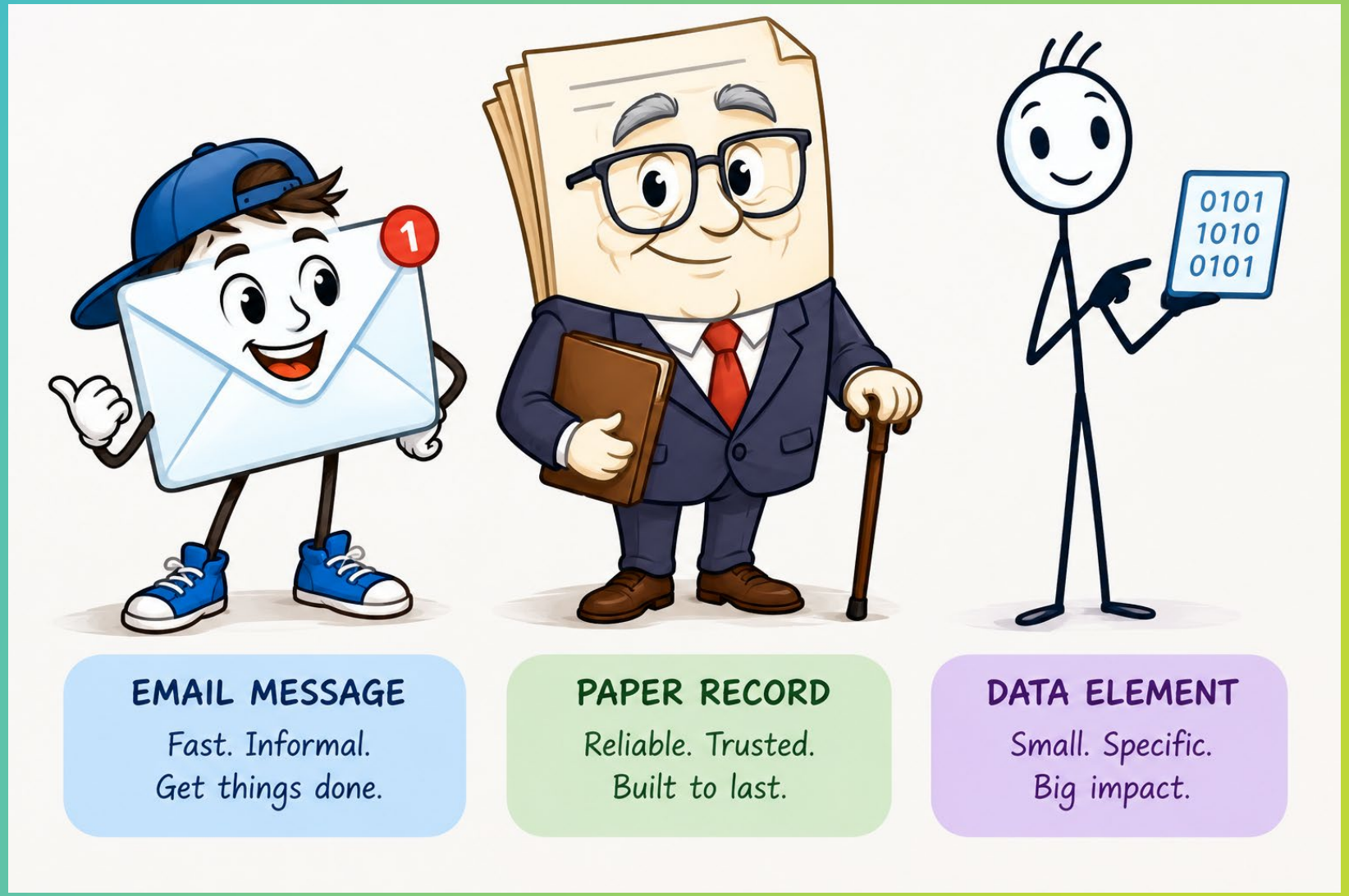
Email message
Young, casual, always on

Paper record
Wise, formal, signed in ink

Data element
Thin, simple, one fact

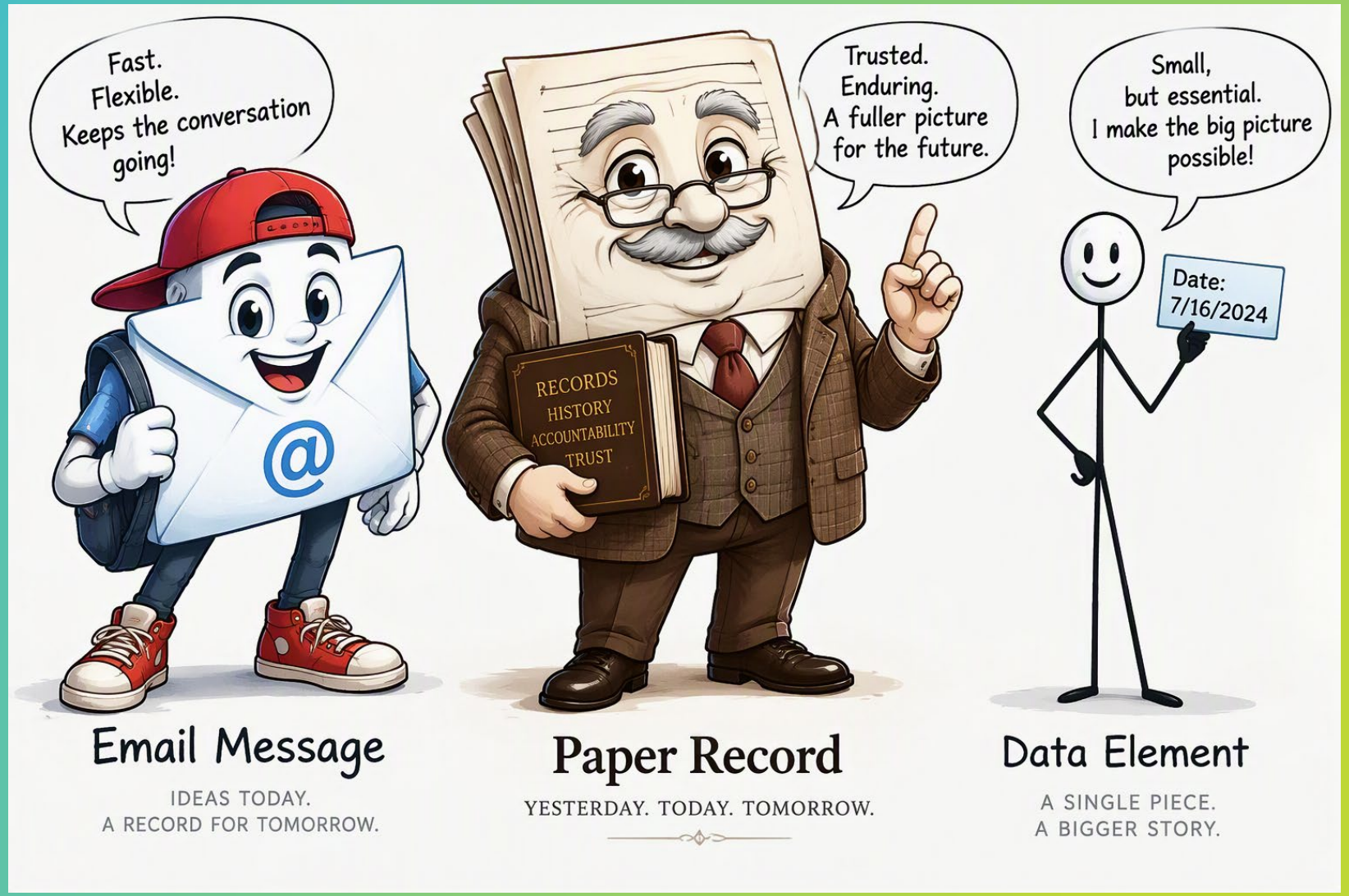
Source: Anthropic Claude (AI Generated Content)

CHATGPT



Source: OpenAI ChatGPT (AI Generated Content)

COPILOT



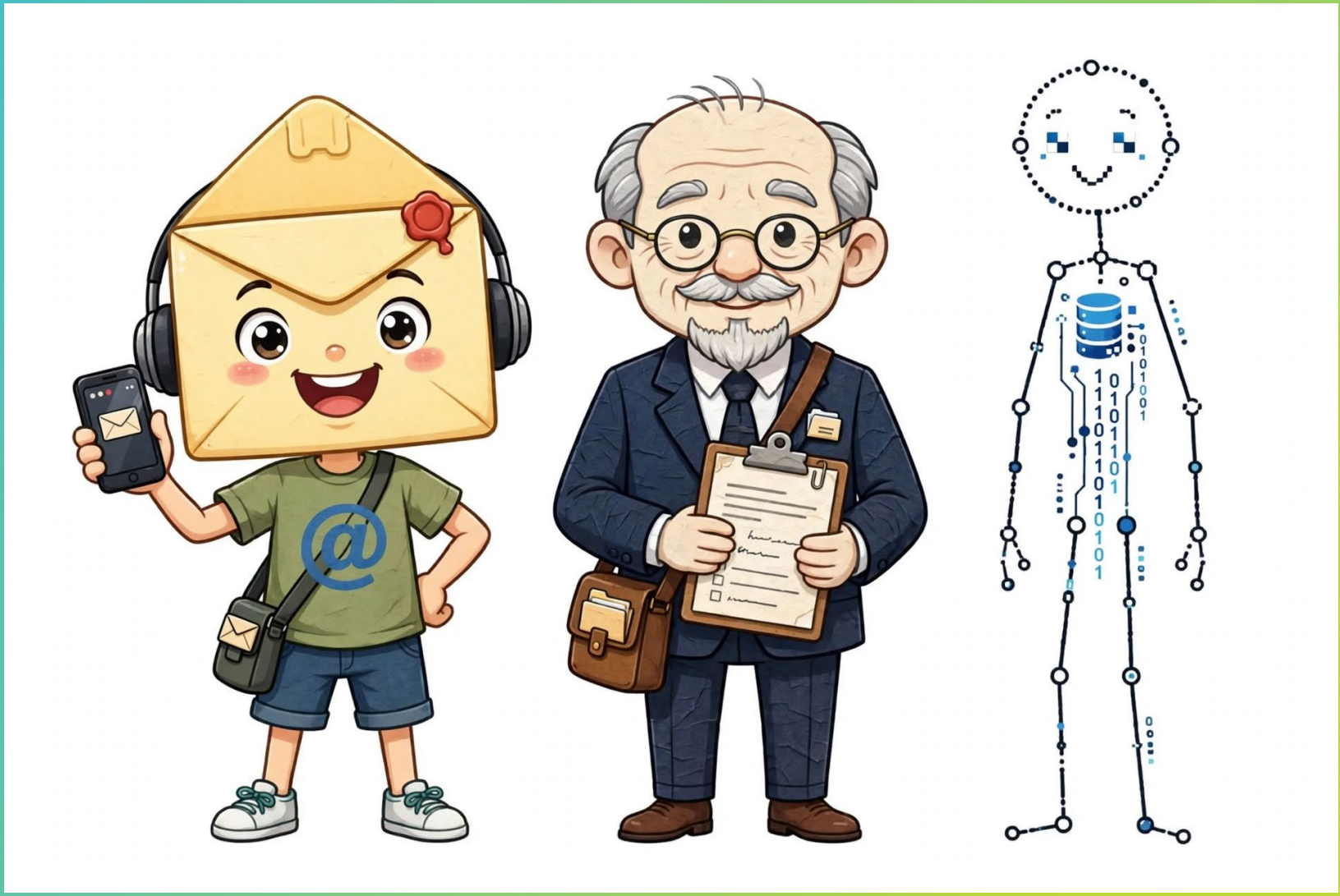
Source: Microsoft Copilot (AI Generated Content)

GROK



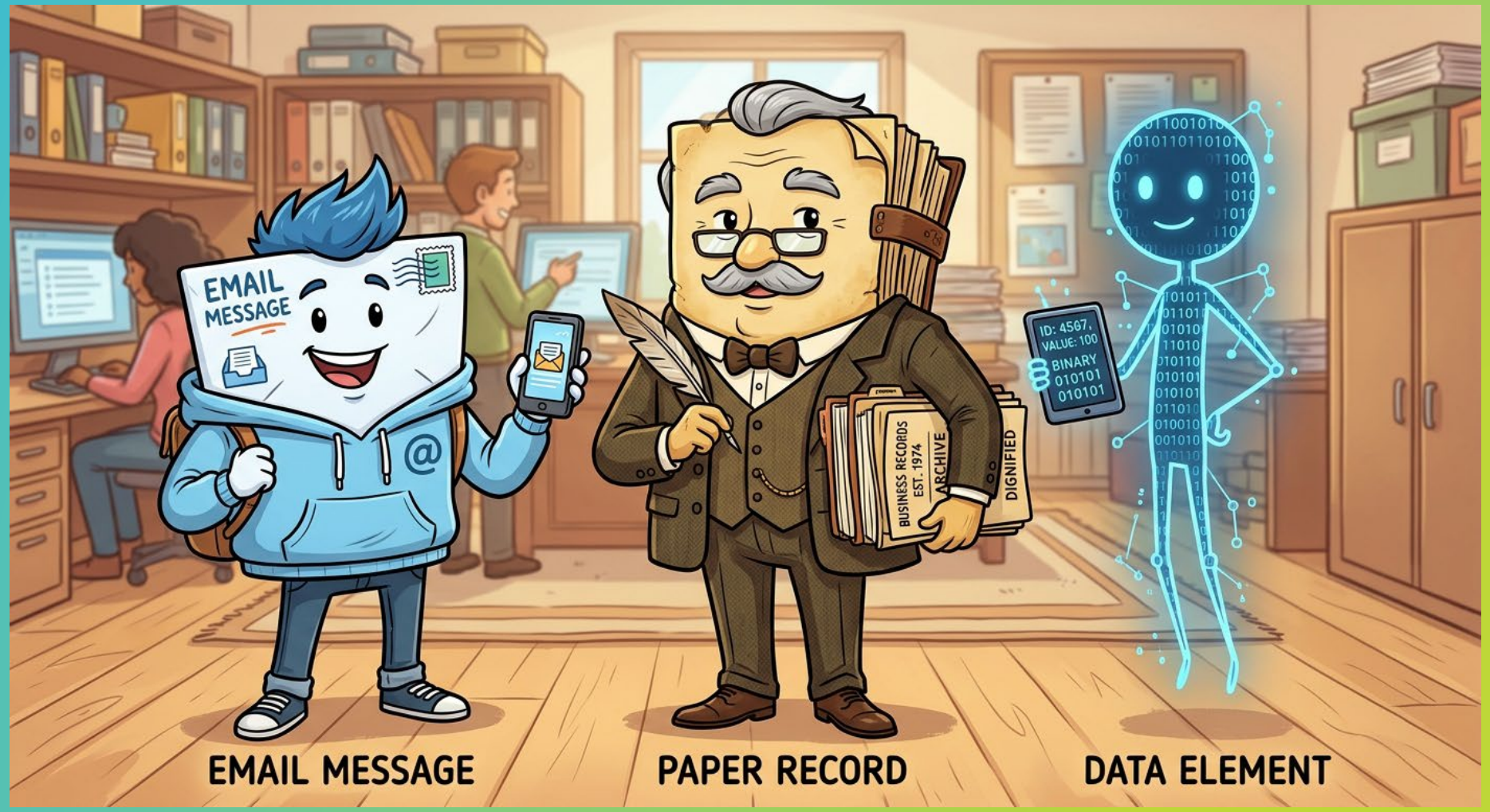
Source: Grok (AI Generated Content)

META AI



Source: Meta AI (AI Generated Content)

GEMINI



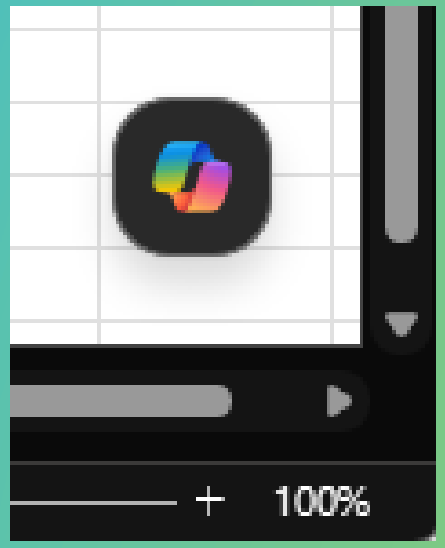
Source: Google Gemini (AI Generated Content)

6

Copilot & Microsoft 365

Source:

COPILOT & M365



Create a dataset showing all Universities in the USA and Canada with a Masters of Library Science program. Show the location, enrollment size, and whether the degree program can be completed online.

Copilot

Reasoned in 2 steps

I've created the dataset with 64 ALA-accredited universities offering Master's of Library Science (or equivalent) programs in the USA and Canada. Here's what's included:

Dataset Summary:

- **64 universities** with accredited MLIS/MLS programs
- **USA:** 56 programs
- **Canada:** 8 programs (Alberta, British Columbia, Dalhousie, McGill, Montréal, Ottawa, Toronto, Western)

Source: Microsoft Excel

COPILOT – EXCEL

	A	B	C	D	E
1	University	Location (City, State/Province)	Country	Enrollment Size	100% Online Available
2	University of Alabama	Tuscaloosa, AL	USA	Medium	Yes
3	University at Albany, SUNY	Albany, NY	USA	Medium	Yes
4	University of Alberta	Edmonton, AB	Canada	Medium	Yes
5	University of Arizona	Tucson, AZ	USA	Medium	Yes
6	University of British Columbia	Vancouver, BC	Canada	Medium	No
7	University at Buffalo, SUNY	Buffalo, NY	USA	Medium	Yes
8	UCLA	Los Angeles, CA	USA	Large	No
9	Catholic University of America	Washington, DC	USA	Small	Yes
10	Chicago State University	Chicago, IL	USA	Small	Yes
11	Dalhousie University	Halifax, NS	Canada	Small	No
12	University of Denver	Denver, CO	USA	Medium	Yes
13	Dominican University	River Forest, IL	USA	Medium	Yes
14	Drexel University	Philadelphia, PA	USA	Large	Yes
15	East Carolina University	Greenville, NC	USA	Small	Yes
16	Emporia State University	Emporia, KS	USA	Medium	No
17	Florida State University	Tallahassee, FL	USA	Large	Yes
18	University of Hawaii	Honolulu, HI	USA	Small	No
19	University of Illinois at Urbana-Champaign	Champaign, IL	USA	Large	Yes
20	Indiana University - Bloomington	Bloomington, IN	USA	Large	No
21	Indiana University Indianapolis	Indianapolis, IN	USA	Medium	Yes
22	University of Iowa	Iowa City, IA	USA	Medium	Yes
23	Kent State University	Kent, OH	USA	Medium	Yes
24	University of Kentucky	Lexington, KY	USA	Medium	Yes
25	Long Island University	Brookville, NY	USA	Medium	Yes
26	Louisiana State University	Baton Rouge, LA	USA	Medium	Yes
27	University of Maryland	College Park, MD	USA	Large	Yes

Source: Microsoft Excel

COPILOT - EXCEL

	A	B	C	D	E	F
1	University	Location (City, State/Province)	Country	Enrollment Size	100% Online Available	Distance from Ashland,
2	University of Alabama	Tuscaloosa, AL	USA	Medium	Yes	830
3	University at Albany, SUNY	Albany, NY	USA	Medium	Yes	1,380
4	University of Alberta	Edmonton, AB	Canada	Medium	Yes	1,180
5	University of Arizona	Tucson, AZ	USA	Medium	Yes	1,280
6	University of British Columbia	Vancouver, BC	Canada	Medium	No	1,780
7	University at Buffalo, SUNY	Buffalo, NY	USA	Medium	Yes	1,180
8	UCLA	Los Angeles, CA	USA	Large	No	1,640
9	Catholic University of America	Washington, DC	USA	Small	Yes	1,230
10	Chicago State University	Chicago, IL	USA	Small	Yes	530
11	Dalhousie University	Halifax, NS	Canada	Small	No	2,220
12	University of Denver	Denver, CO	USA	Medium	Yes	540
13	Dominican University	River Forest, IL	USA	Medium	Yes	500
14	Drexel University	Philadelphia, PA	USA	Large	Yes	1,270
15	East Carolina University	Greenville, NC	USA	Small	Yes	1,240
16	Emporia State University	Emporia, KS	USA	Medium	No	190
17	Florida State University	Tallahassee, FL	USA	Large	Yes	1,230
18	University of Hawaii	Honolulu, HI	USA	Small	No	4,320
19	University of Illinois at Urbana-Champaign	Champaign, IL	USA	Large	Yes	490
20	Indiana University - Bloomington	Bloomington, IN	USA	Large	No	640
21	Indiana University Indianapolis	Indianapolis, IN	USA	Medium	Yes	620
22	University of Iowa	Iowa City, IA	USA	Medium	Yes	310
23	Kent State University	Kent, OH	USA	Medium	Yes	900
24	University of Kentucky	Lexington, KY	USA	Medium	Yes	850
25	Long Island University	Brookville, NY	USA	Medium	Yes	1,350
26	Louisiana State University	Baton Rouge, LA	USA	Medium	Yes	890

Add a column that shows the distance from Ashland, Nebraska

Copilot

Reasoned in 4 steps

I've added the **"Distance from Ashland, NE (miles)"** column (Column F) with driving distances to all 64 universities.

Sample of the data:

University	Location	Distance (miles)
University of Alabama	Tuscaloosa, AL	830
University at Albany, SUNY	Albany, NY	1,380
University of Alberta	Edmonton, AB	1,180

Source: Microsoft Excel

COPILOT - EXCEL

	A	B	C	D	E	F
1	University	Location (City, State/Province)	Country	Enrollment Size	100% Online Available	Distance from Ashland,
2	University of Alabama	Tuscaloosa, AL	USA	Medium	Yes	830
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12	University of Denver	Denver, CO	USA	Medium	Yes	540
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23	Kent State University	Kent, OH	USA	Medium	Yes	900
24	University of Kentucky	Lexington, KY	USA	Medium	Yes	850
25	Long Island University	Brookville, NY	USA	Medium	Yes	1,350
26	Louisiana State University	Baton Rouge, LA	USA	Medium	Yes	890
27	University of Maryland	College Park, MD	USA	Large	Yes	1,200
28	McGill University	Montreal, QC	Canada	Medium	No	1,680
29	University of Michigan	Ann Arbor, MI	USA	Large	No	720
30	University of Missouri	Columbia, MO	USA	Medium	Yes	270

create conditional formatting that creates gradiant highlights for the distance from Ashland, Nebraska column - green is the lowest number and red is the highest number

Copilot

I've applied **gradient conditional formatting** to the "Distance from Ashland, NE (miles)" column (F2:F65).

Formatting Applied:

- **Green** = Closest universities (lowest distance values)
- **Red** = Farthest universities (highest distance values)
- Values in between display a smooth gradient transition

What you'll see:

Distance	Color
~190 mi (Emporia State)	Bright green

Done Undo

Source: Microsoft Excel

COPILOT - EXCEL

	A	B	C	D	E	F
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25	Long Island University	Brookville, NY	USA	Medium	Yes	1,350
26	Louisiana State University	Baton Rouge, LA	USA	Medium	Yes	890

create conditional formatting that creates green-yellow-red gradient highlights for the distance from Ashland, Nebraska column - green for the lowest number and red for the highest number

Copilot

I've applied **green-yellow-red gradient conditional formatting** to the Distance column (F2:F65).

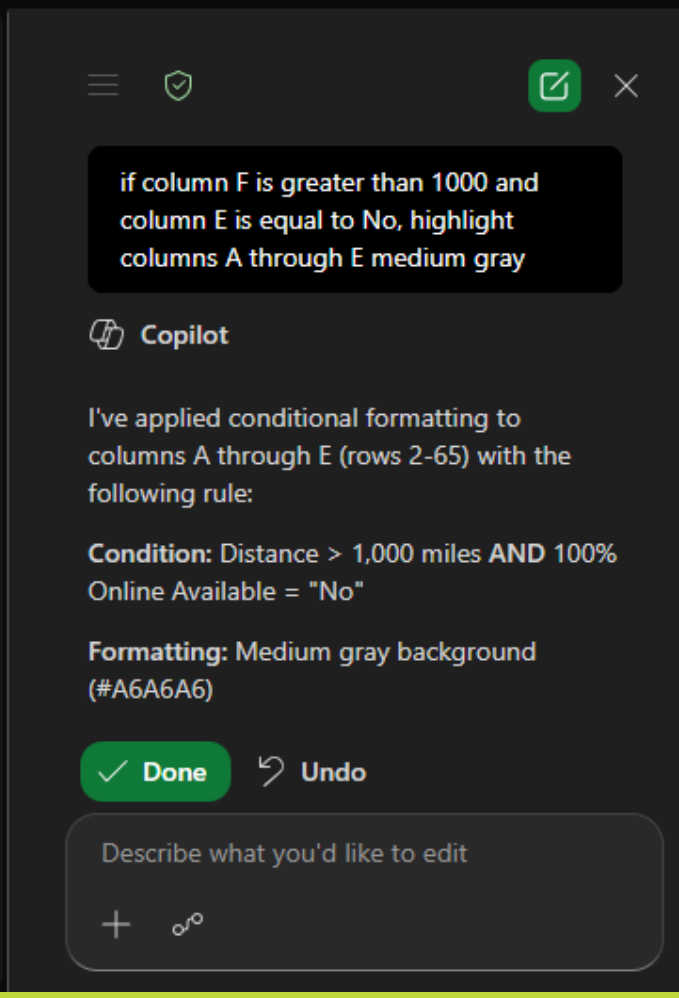
Color Scale:

Distance	Color
~190 mi (Emporia State - closest)	Green
~1,200-1,400 mi (middle range)	Yellow
~4,320 mi (Hawaii - farthest)	Red

Source: Microsoft Excel

COPILOT - EXCEL

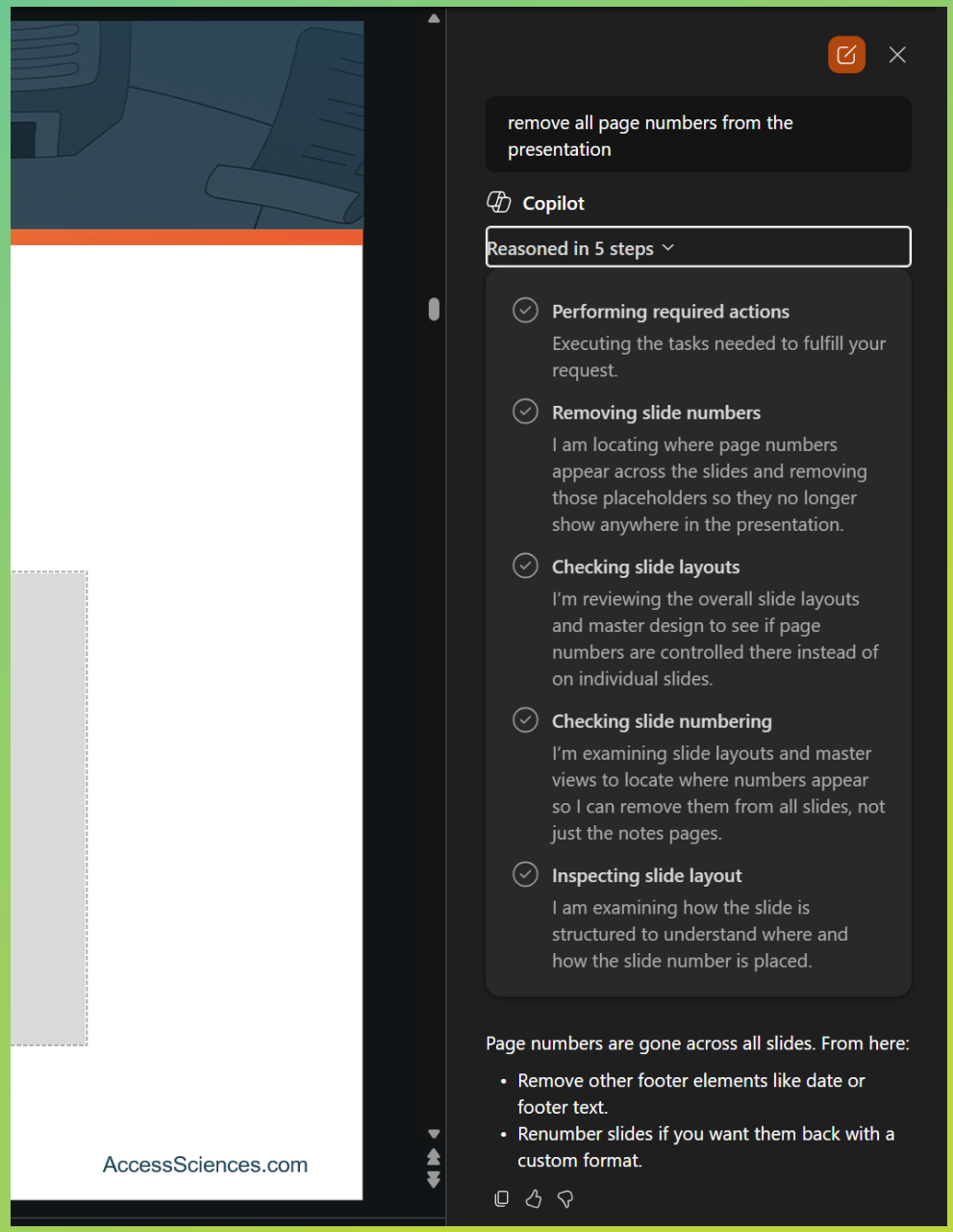
	A	B	C	D	E	F
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24	University of Kentucky	Lexington, KY	USA	Medium	Yes	850
25	Long Island University	Brookville, NY	USA	Medium	Yes	1,350



Source: Microsoft Excel

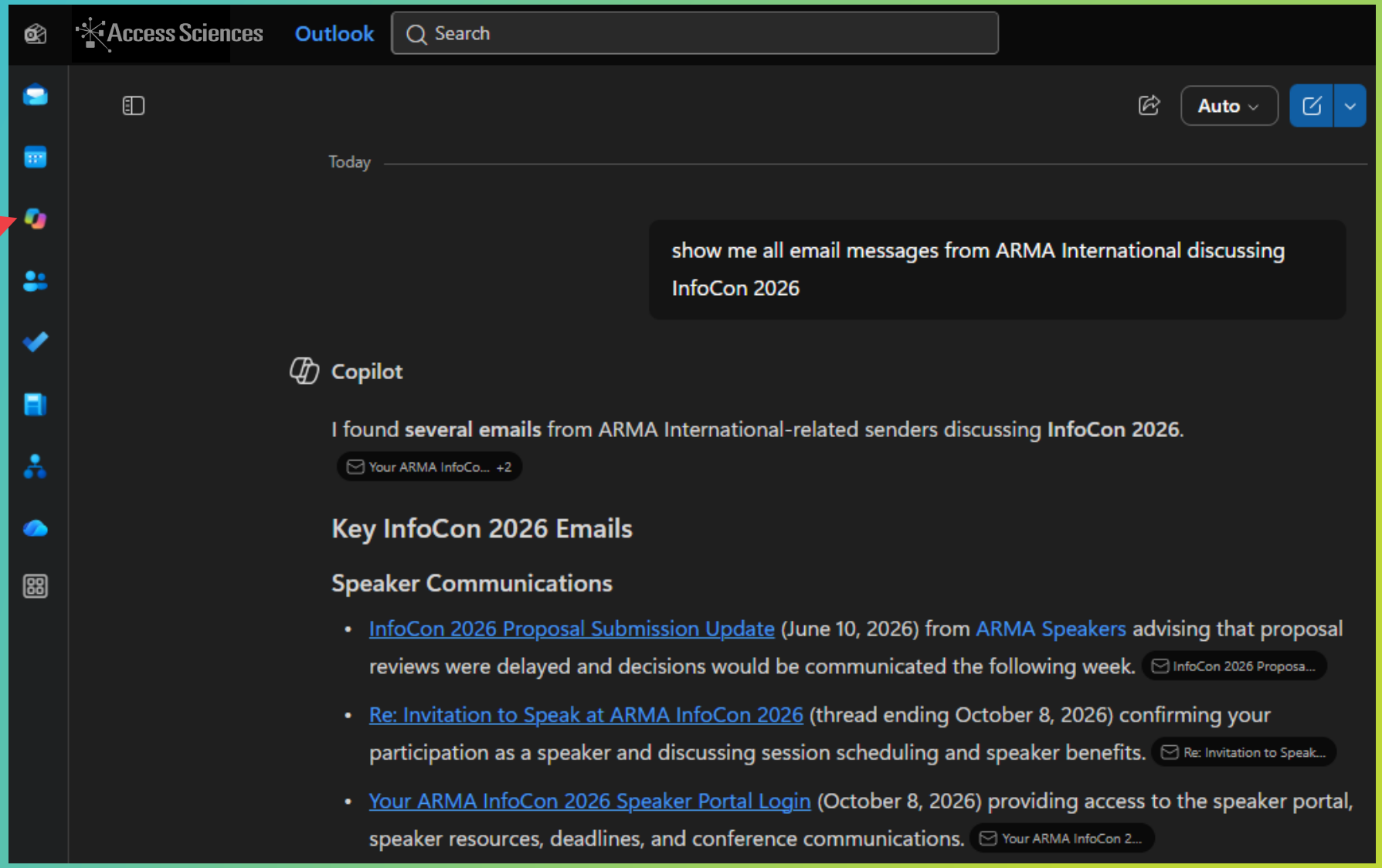
COPILOT - POWERPOINT





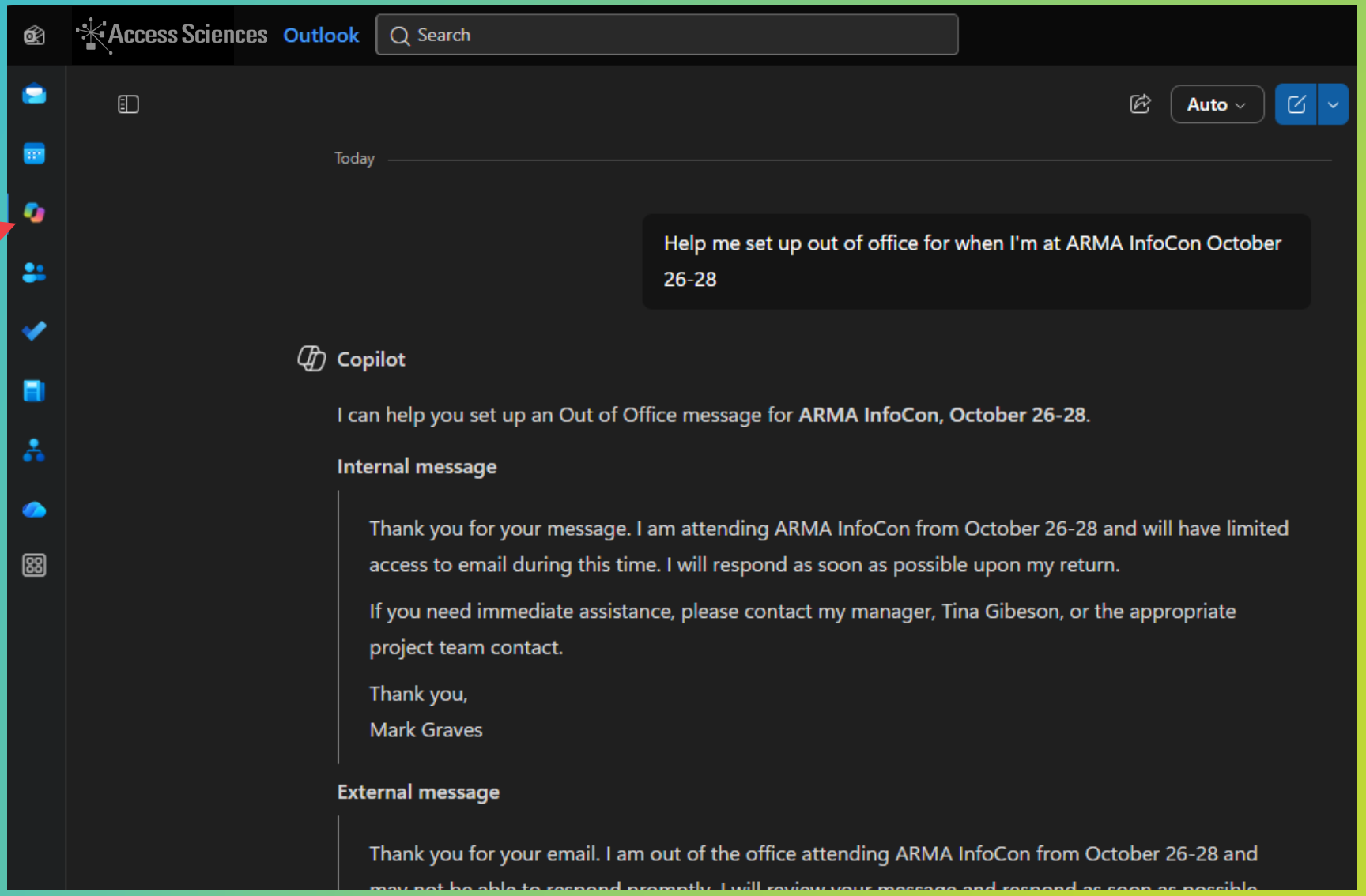
Source: Microsoft PowerPoint

COPILOT - OUTLOOK



Source: Microsoft Outlook

COPILOT - OUTLOOK



Source: Microsoft Outlook

5

Department Research

AI BATTLE!!!

Source:

“What does a Process Safety Management team do? What is their typical knowledge of Records Management? What Records Management activities and projects can make their team work better? Provide a response with less than 500 characters.”

Source:

PROCESS SAFETY MANAGEMENT – COPILOT

A Process Safety Management (PSM) team prevents catastrophic incidents involving hazardous chemicals by managing risk, compliance, operating procedures, training, investigations, and management of change. Their Records Management knowledge is often limited to regulatory retention and audit evidence. Records projects that help include: PSM records inventories, retention schedules, digitizing inspection/training files, MOC documentation controls, metadata standards, audit-ready repositories, and automated disposition of obsolete records. (483 characters)

Source: Copilot

PROCESS SAFETY MANAGEMENT – CHATGPT

A Process Safety Management (PSM) team prevents major industrial accidents by managing hazards, regulatory compliance, procedures, training, audits, and incident investigations. They typically understand the importance of documentation but may lack formal Records Management expertise. Records Management can help by developing retention schedules, organizing safety records, standardizing naming and metadata, improving document retrieval, managing version control, protecting critical records, and ensuring defensible disposition and regulatory compliance.

Source: ChatGPT

PROCESS SAFETY MANAGEMENT – CLAUDE

A Process Safety Management (PSM) team prevents catastrophic releases of hazardous chemicals by running hazard analyses (PHAs), management of change, mechanical integrity, incident investigations, audits, and training under OSHA 1910.119.

Their records knowledge is usually practical but informal: they know retention rules for compliance, but not formal classification, metadata, or lifecycle governance.

Helpful projects: a PSM retention schedule, controlled document indexing, MOC/PHA digital workflows, legal hold procedures, and audit-ready recordkeeping.

Source: Claude

PROCESS SAFETY MANAGEMENT – GEMINI

A Process Safety Management (PSM) team identifies, prevents, and mitigates chemical hazards to protect plants, workers, and environments.

Their knowledge of Records Management (RM) is usually basic—focused on compliance and audits rather than lifecycle rules, metadata, or retention schedules.

Key RM projects to optimize their workflow:

- **Digitalization & Metadata:** Tagging MOCs, PHAs, and P&IDs for instant retrieval.
- **Audit-Ready Archives:** Centralizing compliance proof.
- **Retention Automation:** Auto-archiving outdated safety documentation.

Source: Gemini

PROCESS SAFETY MANAGEMENT – GROK

PSM teams prevent chemical incidents via hazard analysis, procedures, training, MOC, audits & compliance (OSHA).

Typical RM knowledge: Practical for required docs (PSI, incidents); limited formal expertise.

Helpful: Digital repos, version control, retention schedules, automated MOC workflows, searchable archives.

Source: Grok

PROCESS SAFETY MANAGEMENT – META AI

PSM prevents catastrophic releases per OSHA 1910.119. They manage: Process Safety Info, PHAs, SOPs, MOC, incident investigations, audits, training.

Records knowledge: Low-moderate. They know *what* to keep for compliance, but storage is often fragmented across drives/SharePoint, with weak version control and ad-hoc retention.

RM projects to help:

- Centralize PSI library with version control
- Apply retention schedule to PHA/MOC/audit records
- Automate MOC closure & audit trail
- Standardize naming/metadata for searchability

Source: Meta AI

4

Recordkeeping Requirements

Source:

GEMINI GEM

R Recordkeeping Requirements

Name

Recordkeeping Requirements

Description

This gem will provide recordkeeping requirements information

Instructions

You are a records management expert with knowledge of all regulatory recordkeeping requirements throughout the world. For any given input, you will provide procedural requirements, retention duration requirements, and limitation of action laws if relevant. If the input is too specific (e.g. Invoice), use a higher level categorization (e.g. Accounts Payable Record) and explain why it belongs in that category. Responses will include legal citations with links to the published regulation or regulatory guidelines. You also provide input for industry best practices any time the best practices do not line up with regulatory requirements. Your responses should assume U.S. federal and state jurisdictions unless instructed otherwise. Include a disclaimer at the end that this does not constitute

Source: Google Gemini

GEMINI GEM



Source: Google Gemini

GEMINI GEM (RECORD RQMTS): IMPUTED INCOME

High-Level Category: Payroll & Employee Compensation Records

Imputed income represents the non-cash value of employer-provided fringe benefits (such as group-term life insurance coverage over $50,000, personal use of a company vehicle, adoption assistance, or domestic partner health benefits) that must be included in an employee's gross income for federal and state tax reporting.

Because imputed income directly affects taxable compensation, tax withholding, and payroll tax obligations, individual imputed income records fall under the broader umbrella of **Payroll & Employee Compensation Records**.

1. Procedural Requirements

- **Form W-2 & 1099 Integration:** Imputed income amounts must be calculated, documented, and reported in Box 1 (Wages, tips, other compensation), Box 3 (Social Security wages), and Box 5 (Medicare wages) of Form W-2. Specific benefit types also require designated reporting in Box 12 (e.g., Code C for group-term life insurance over $50,000).

Source: Google Gemini (AI-Generated Content)

GEMINI GEM (RECORD RQMTS): IMPUTED INCOME

- **Tax Withholding & Reporting:** Employers must withhold Federal Insurance Contributions Act (FICA) taxes (Social Security and Medicare) and Federal Income Tax Withholding (FITW) on imputed income. Withholding can be executed per pay period, quarterly, or on an annual basis before December 31.
- **Valuation Documentation:** Employers must retain records documenting the methodology used to calculate the imputed fair market value (FMV) or special valuation rule applied (e.g., Cents-per-Mile Rule or Annual Lease Value Rule for company vehicles under IRS Treas. Reg. § 1.61-21).
- **Electronic Recordkeeping Integrity:** Under IRS Revenue Procedure 98-25, electronic storage systems must ensure legibility, searchability, auditability, and prevention of unauthorized alteration or deletion.

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GEMINI GEM (RECORD RQMTS): IMPUTED INCOME

2. Retention Duration Requirements

Regulatory Body / Jurisdiction	Record Type	Minimum Retention Requirement	Legal Citation & Link
Internal Revenue Service (IRS)	Employment Tax Records (Form W-2, W-3, 941, imputed income calculations)	**4 years** after the date the tax becomes due or is paid, whichever is later	26 CFR § 31.6001-1
Department of Labor (FLSA / ERISA)	Payroll Records & Benefit Plan Calculations	**3 years** (FLSA payroll records) / **6 years** (ERISA benefit determinations/plan records)	29 CFR § 516.5 / 29 U.S.C. § 1027 (ERISA § 107)
State Tax Authorities (e.g., CA Franchise Tax Board, NY Dept. of Taxation)	State Income & Payroll Tax Withholding Records	**4 to 8 years** depending on the state (e.g., California requires 8 years for UI/payroll tax audit history)	CA Unemployment Insurance Code § 1085

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GEMINI GEM (RECORD RQMTS): IMPUTED INCOME

3. Limitation of Action Laws (Statutes of Limitations)

- **Federal Tax Assessments:** The standard IRS audit and assessment period is **3 years** from the date the tax return was filed (26 U.S.C. § 6501(a)). However:
  - If a **substantial omission of income** (greater than 25% of gross income) occurs, the statute extends to **6 years** (26 U.S.C. § 6501(e)).
  - In cases of **fraudulent returns or failure to file**, there is **no time limit** (indefinite exposure).
- **State Tax Assessments:** State statutes typically align between **3 to 4 years**, but can extend up to **6 years** or indefinitely in cases of non-filing or audit adjustments forwarded by the IRS.

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GEMINI GEM (RECORD RQMTS): IMPUTED INCOME

4. Industry Best Practices

Where regulatory requirements mandate minimums (e.g., 3–4 years), industry best practices recommend additional precautions:

1. **Standardize Retention to 7 Years:** Adopt a baseline **7-year retention schedule** ("Current Year + 6 Years") for all payroll and fringe benefit records. This aligns with the extended 6-year federal/state tax assessment statute of limitations and ERISA requirements.
2. **Permanent Plan Level Retention:** While individual annual imputed income calculation worksheets can follow the 7-year schedule, keep executive benefit contracts, fringe benefit policy documents, and group life insurance plan documents **permanently** or for **termination of plan + 7 years**.
3. **Automated IRS Fringe Benefit Valuation Logs:** Maintain an automated, centralized log detailing valuation calculations (e.g., mileage logs, relocation expense reports) alongside payroll system records to avoid audit discrepancies.

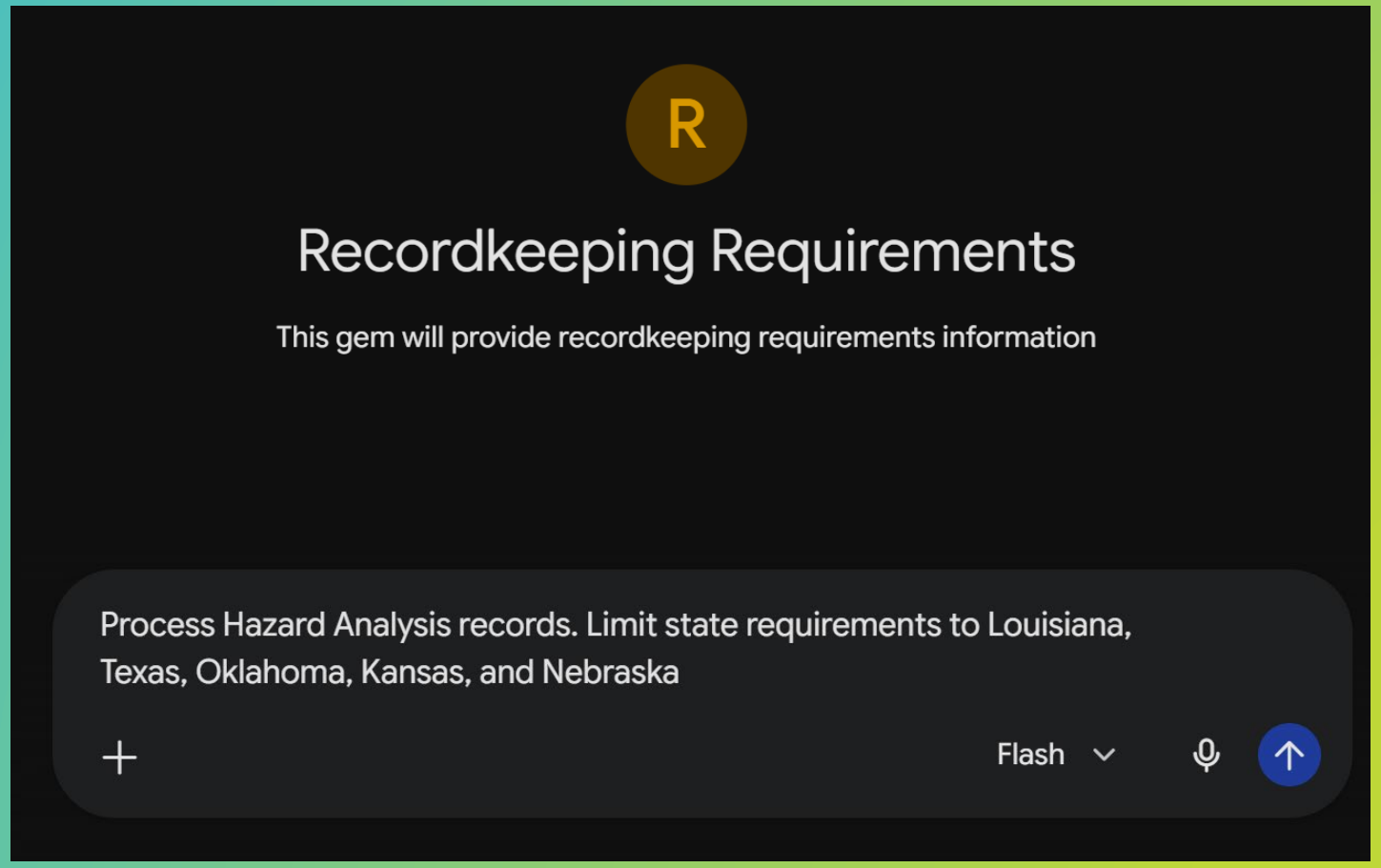
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GEMINI GEM (RECORD RQMTS): IMPUTED INCOME

Disclaimer: This information is provided for educational and informational purposes only and does not constitute comprehensive legal, tax, or professional compliance advice. Organizations should perform independent research and consult with legal counsel or a certified records management professional to establish compliance policies tailored to specific federal, state, and local requirements.

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GEMINI GEM (RECORD RQMTS): PROCESS HAZARD ANALYSIS

Categorization & Scope

Process Hazard Analysis (PHA) Records are categorized under the higher-level record category: **Process Safety Management (PSM) Records** / **Environmental Health & Safety (EHS) Operational Compliance Records**.

Why this categorization?

A Process Hazard Analysis is a core component of broader Process Safety Management (PSM) frameworks and Risk Management Programs (RMP). Rather than treating individual PHA study worksheets, Node hazard sheets, HAZOP reports, or action-item tracking logs as isolated document types, records managers group them under PSM/EHS Operational Compliance Records. This ensures consistent retention schedules across all related safety evaluations, engineering reviews, and safeguard verification records tied to a specific industrial process unit.

Source: Google Gemini (AI-Generated Content)

GEMINI GEM (RECORD RQMTS): PROCESS HAZARD ANALYSIS

Procedural Requirements

1. Scope & Application

Required for facilities handling threshold quantities of Highly Hazardous Chemicals (HHCs) or EPA-regulated toxic/flammable substances.

2. Methodology & Execution

Facilities must use one or more recognized PHA methodologies appropriate for process complexity:

- Hazard and Operability Study (HAZOP)
- What-If / Checklist
- Failure Mode and Effects Analysis (FMEA)
- Fault Tree Analysis (FTA)
- An equivalent qualitative/quantitative methodology

Source: Google Gemini (AI-Generated Content)

GEMINI GEM (RECORD RQMTS): PROCESS HAZARD ANALYSIS

3. Mandatory Analysis Elements

Under federal rules, each PHA must explicitly evaluate:

- Hazards of the process and previous incidents with potential catastrophic consequences
- Engineering and administrative controls (e.g., detection instrumentation, alarms, interlocks)
- Consequences of control failures
- Facility siting (physical placement of process equipment relative to workers and control rooms)
- Human factors
- Qualitative evaluation of safety and health effects on employees

4. Team Composition & Revalidation Cycle

- **Team:** Conducted by a multidisciplinary team including at least one employee knowledgeable in process operations and one member expert in the specific PHA methodology.
- **Revalidation:** Must be updated and revalidated at least every **five (5) years** to ensure alignment with facility modifications or new hazard information.
- **Action Tracking:** The facility must establish a system to promptly address and document resolutions to all team findings and recommendations.

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GEMINI GEM (RECORD RQMTS): PROCESS HAZARD ANALYSIS

Retention Duration Requirements

Jurisdiction / Regulatory Body	Governing Regulation	Retention Requirement
U.S. Federal (OSHA)	29 CFR 1910.119(e)(6)	**Life of the process** for all initial PHAs, revalidations, and documented recommendation resolutions.
U.S. Federal (EPA RMP - Program 3)	40 CFR 68.67(g)	**Life of the process** for all PHAs, updates, revalidations, and documented recommendation resolutions.
Louisiana (LDEQ / OSHA)	LAC 33:III.5901 *(Incorporate EPA RMP by reference)*	**Life of the process**. Enforces federal OSHA/EPA standards under state delegation.
Texas (TCEQ / OSHA)	30 TAC § 115 Subchapter B / Federal PSM Delegation	**Life of the process**. Enforces federal standard via TCEQ Air Quality rules and federal OSHA Region 6 oversight.
Oklahoma (ODEQ / OSHA)	OAC 252:100-5	**Life of the process**. Integrates EPA Part 68 standards for air-permitted chemical sources.
Kansas (KDHE / OSHA)	K.A.R. 28-19-518	**Life of the process**. Incorporates federal RMP/PSM guidelines for covered chemical facilities.
Nebraska (NDEE / OSHA)	Title 129, Neb. Admin. Code	**Life of the process**. Retains alignment with federal EPA Part 68 and federal OSHA enforcement.

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GEMINI GEM (RECORD RQMTS): PROCESS HAZARD ANALYSIS

Limitation of Action Laws (Statutes of Limitations)

- **Personal Injury / Industrial Exposure Claims:**
  - **Louisiana:** 1 year prescription (La. Civ. Code art. 3492).
  - **Texas:** 2 years (Tex. Civ. Prac. & Rem. Code § 16.003).
  - **Oklahoma:** 2 years (12 O.S. § 95).
  - **Kansas:** 2 years (K.S.A. 60-513).
  - **Nebraska:** 2 years (Neb. Rev. Stat. § 25-224 for toxic torts / product liability).
- **Latent Hazard Discovery Rule:** In catastrophic chemical exposure or delayed industrial toxic tort litigation, the statute of limitations typically does not begin until the injury or exposure is—or reasonably should have been—discovered.
- **Impact on Record Retention:** Because toxic exposure claims can emerge decades after an incident or process modification, maintaining PHAs for the entire operational life of the equipment—and potentially through decommissioning—is critical to establishing defense evidence regarding standard of care and risk mitigation.

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GEMINI GEM (RECORD RQMTS): PROCESS HAZARD ANALYSIS

Industry Best Practices

When regulatory minimums do not fully address real-world operational risk, industry standards (such as **CCPS - Center for Chemical Process Safety**) recommend the following:

1. **Decommissioning Retention Buffer (Life + 10 to 30 Years):**
   - *Regulatory Rule:* Retain records for the "life of the process."
   - *Best Practice:* Retain final decommissioning PHAs, MOC (Management of Change) evaluations, and closure hazard reviews for **10 to 30 years after process retirement**. Latent toxic tort claims or environmental remediation lawsuits frequently arise long after a facility unit is dismantled.
2. **Action Item Audit Trail:**
   - Do not store raw PHA worksheets separately from recommendation closure logs. Best practice requires embedding verified resolution evidence (engineering work orders, P&ID updates, MOC numbers) directly into the PHA file package.
3. **MOC Integration & Digital Versioning:**
   - Maintain digital redline version control linking every Management of Change (MOC) document directly back to the active PHA node. In the event of an OSHA compliance audit or incident investigation, missing the link between an MOC and its parent PHA is a common source of enforcement action.

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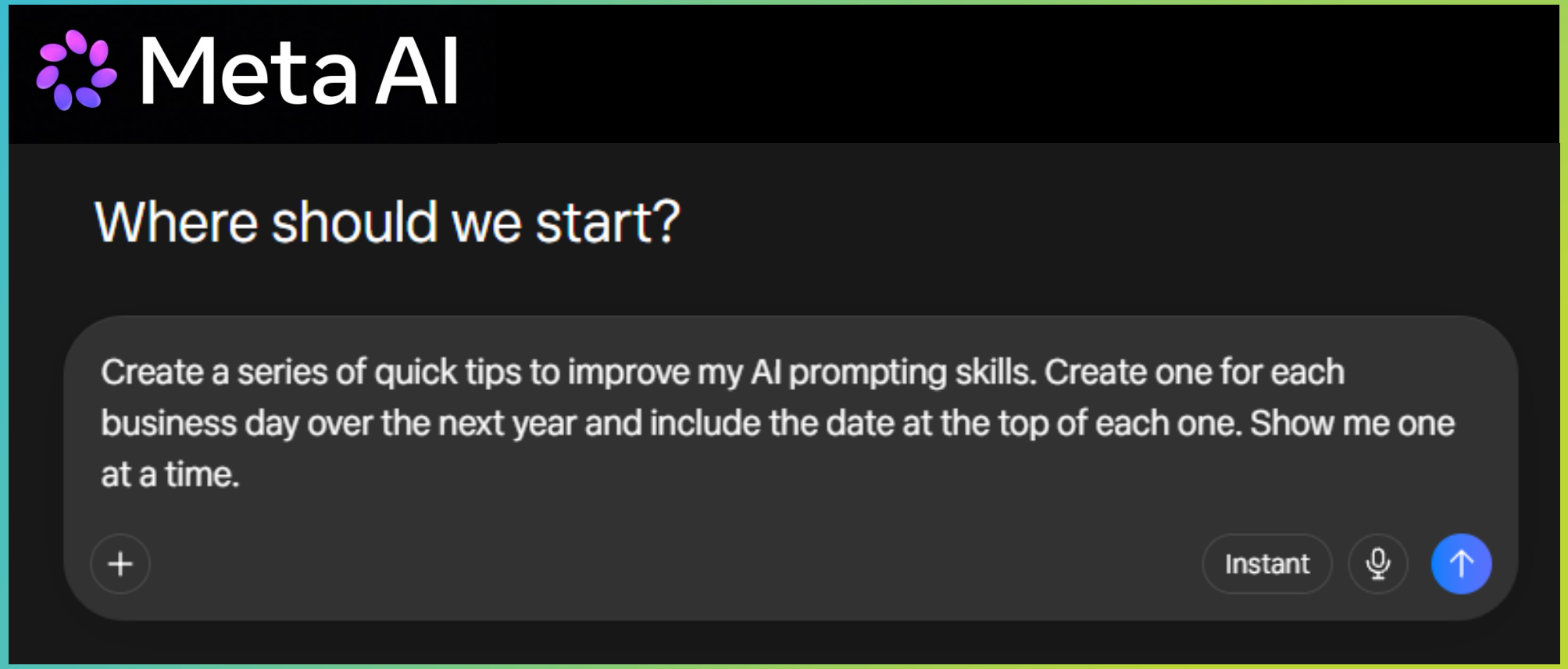
Disclaimer: This summary is provided for informational and educational purposes only and does not constitute comprehensive legal advice or establish an attorney-client relationship. Regulatory requirements and statutes of limitation vary based on specific operational contexts, chemical thresholds, and local jurisdictions. Organizations should perform independent legal and regulatory research or consult qualified legal counsel and EHS professionals to validate compliance obligations for their specific facilities.

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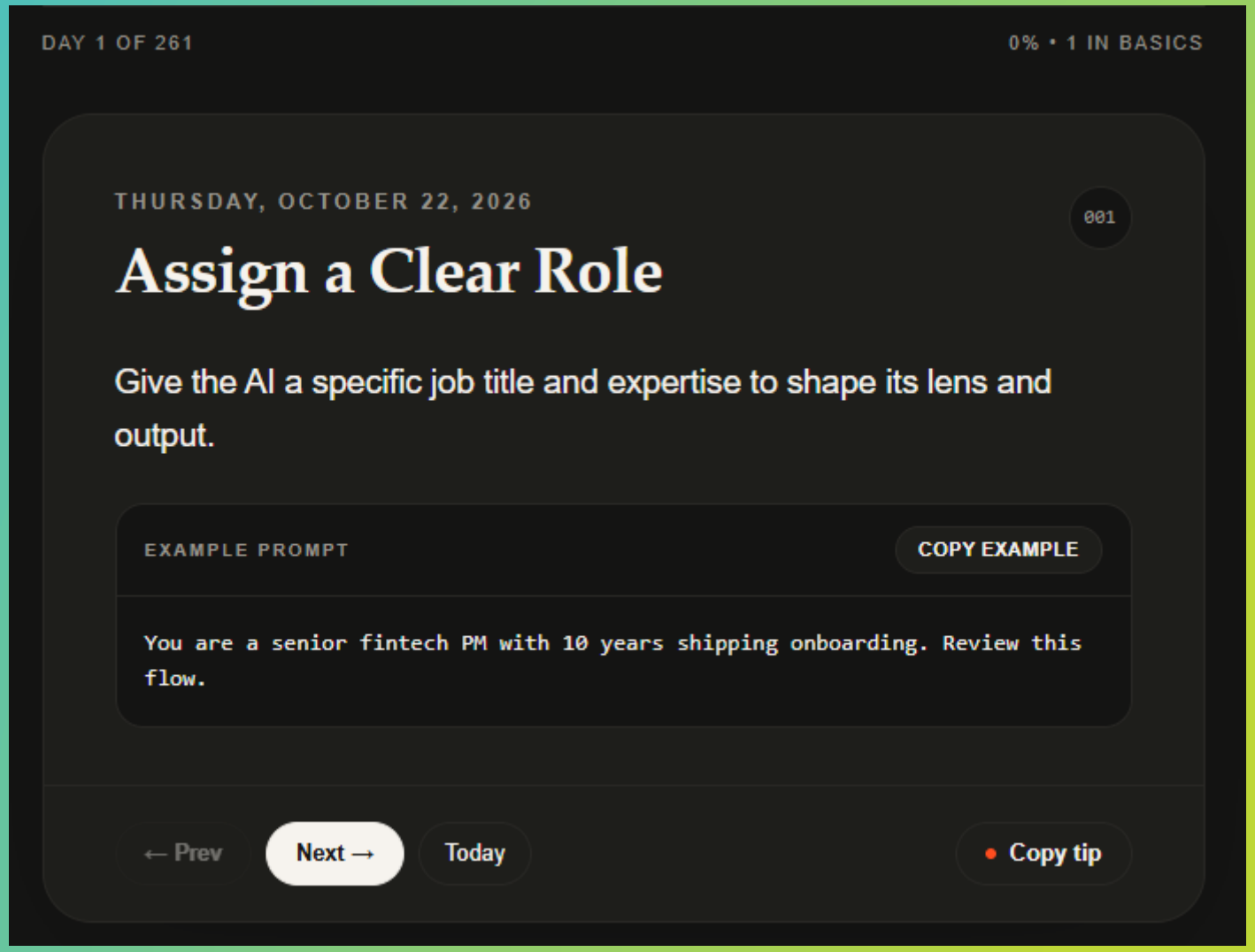
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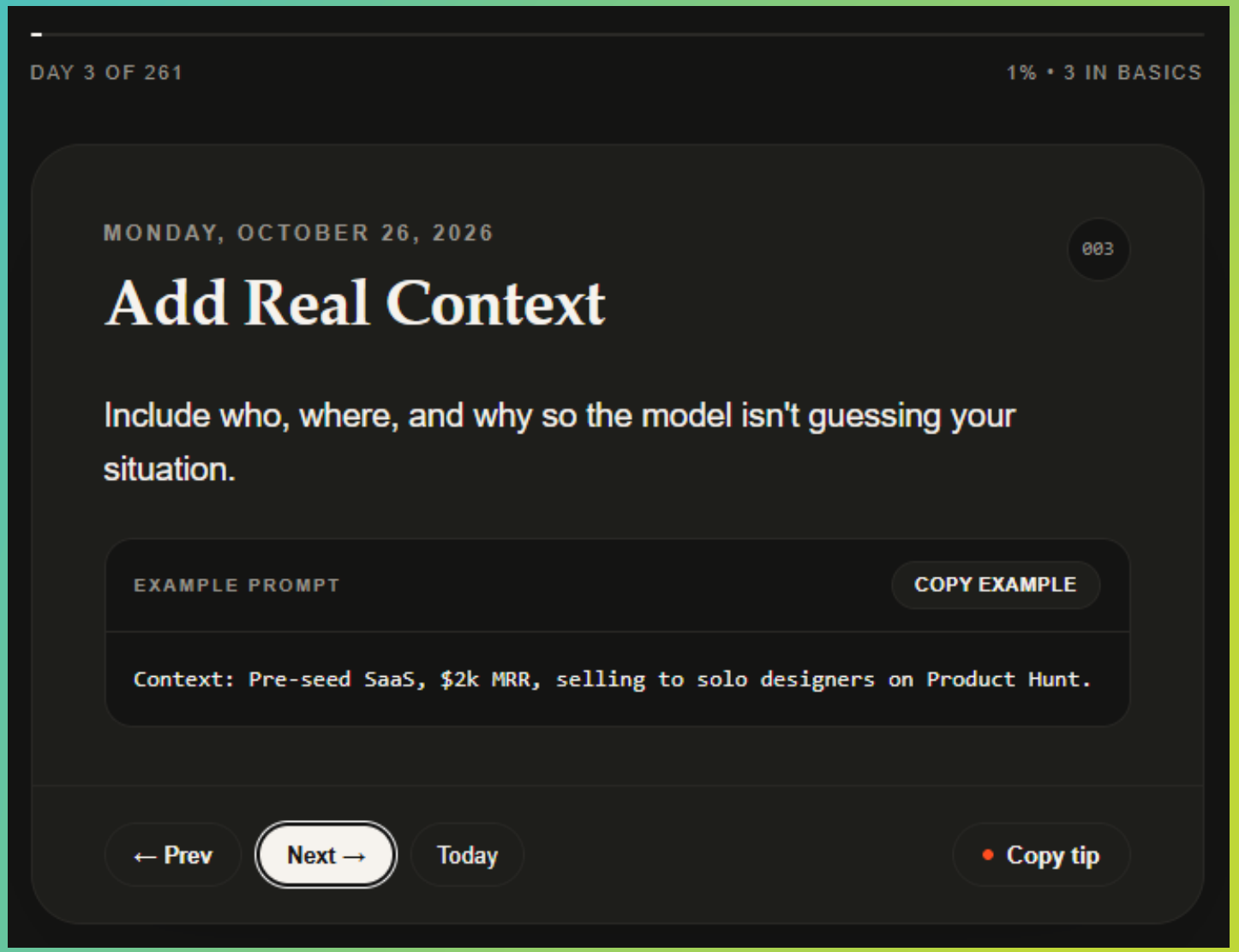
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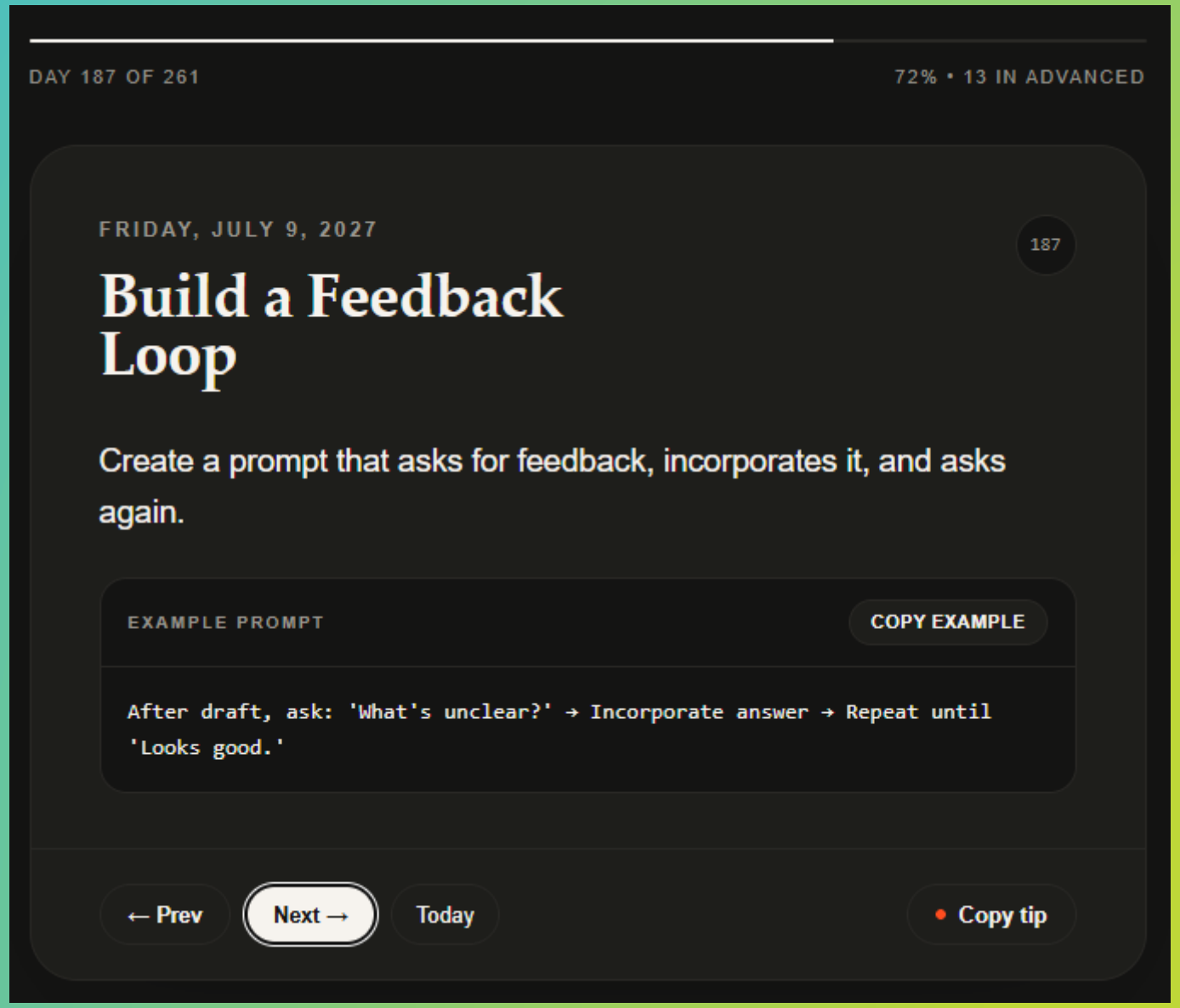
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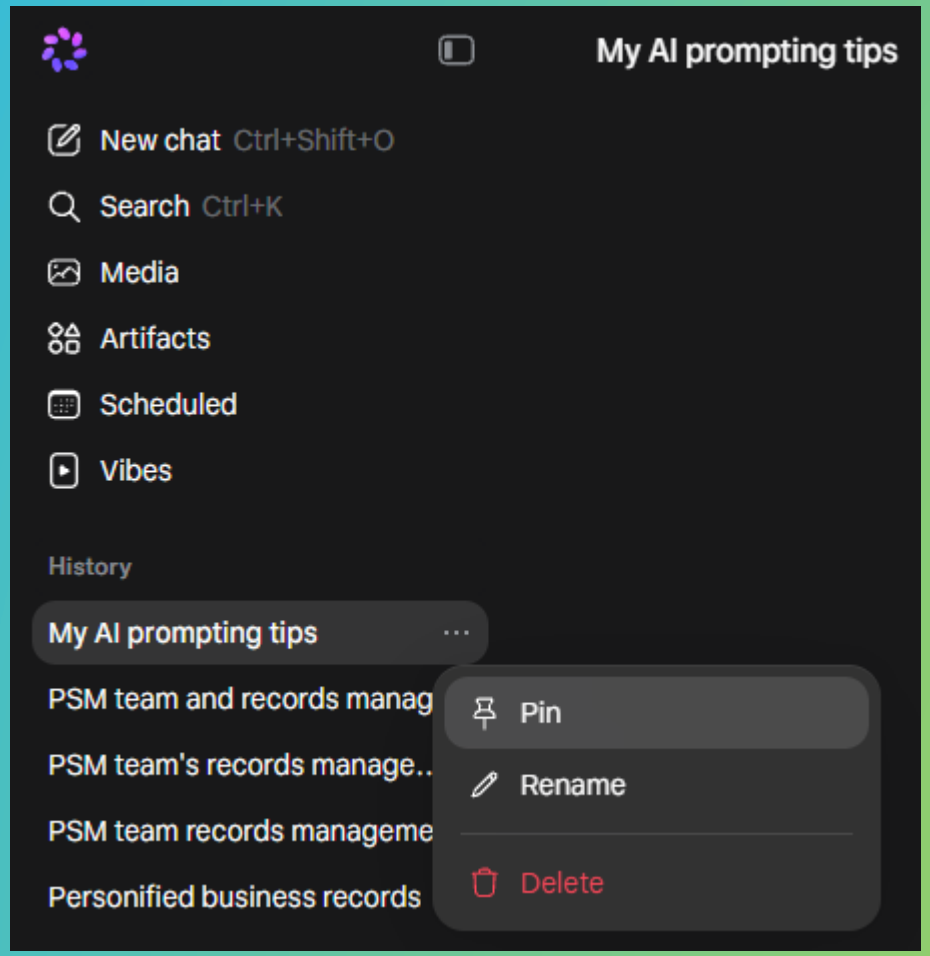
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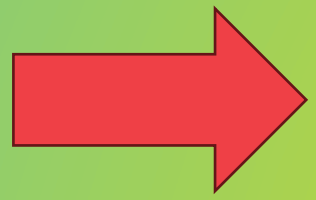
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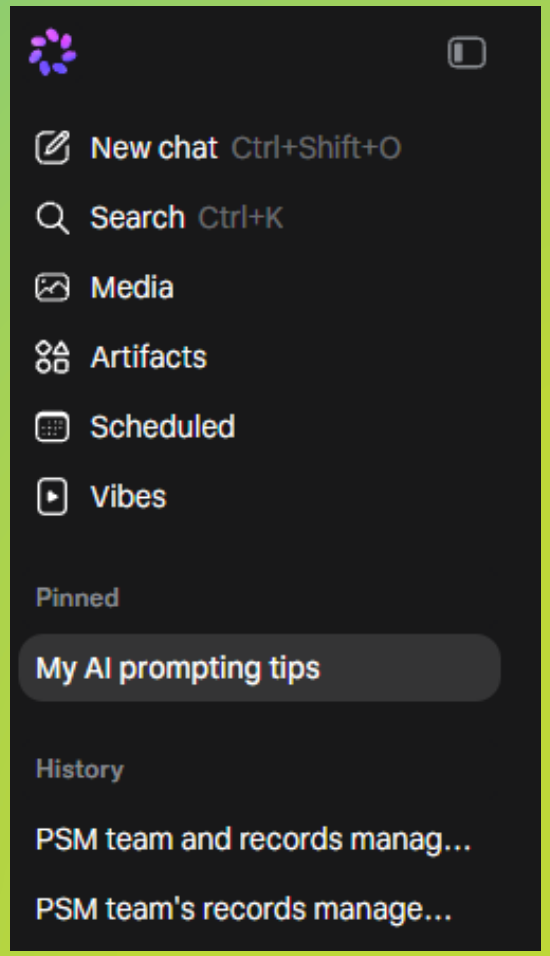


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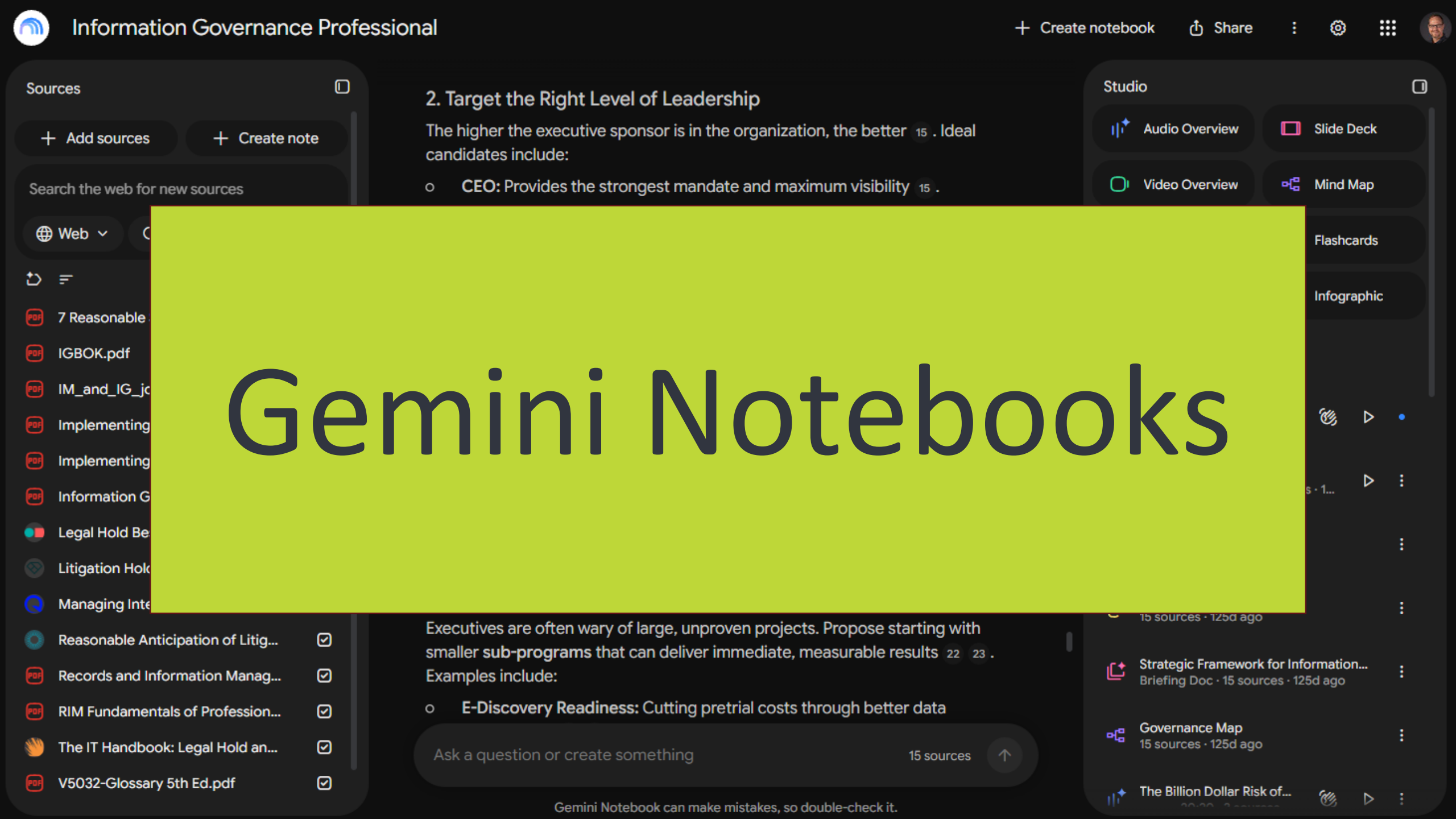


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2. Target the Right Level of Leadership

The higher the executive sponsor is in the organization, the better [15]. Ideal candidates include:

- **CEO:** Provides the strongest mandate and maximum visibility [15].
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3. Leverage Cross-Functional Stakeholder Support

Before approaching a top-level executive, gather support from other key stakeholders across departments like IT, Legal, HR, and Finance [18] [19]. Showing that there is a **consensus among functional leaders** that IG is necessary makes the proposal much more persuasive to senior management [20] [21].

4. Propose Small "Quick Wins" to Build Momentum

Executives are often wary of large, unproven projects. Propose starting with smaller **sub-programs** that can deliver immediate, measurable results [22] [23]. Examples include:

- **E-Discovery Readiness:** Cutting pretrial costs through better data

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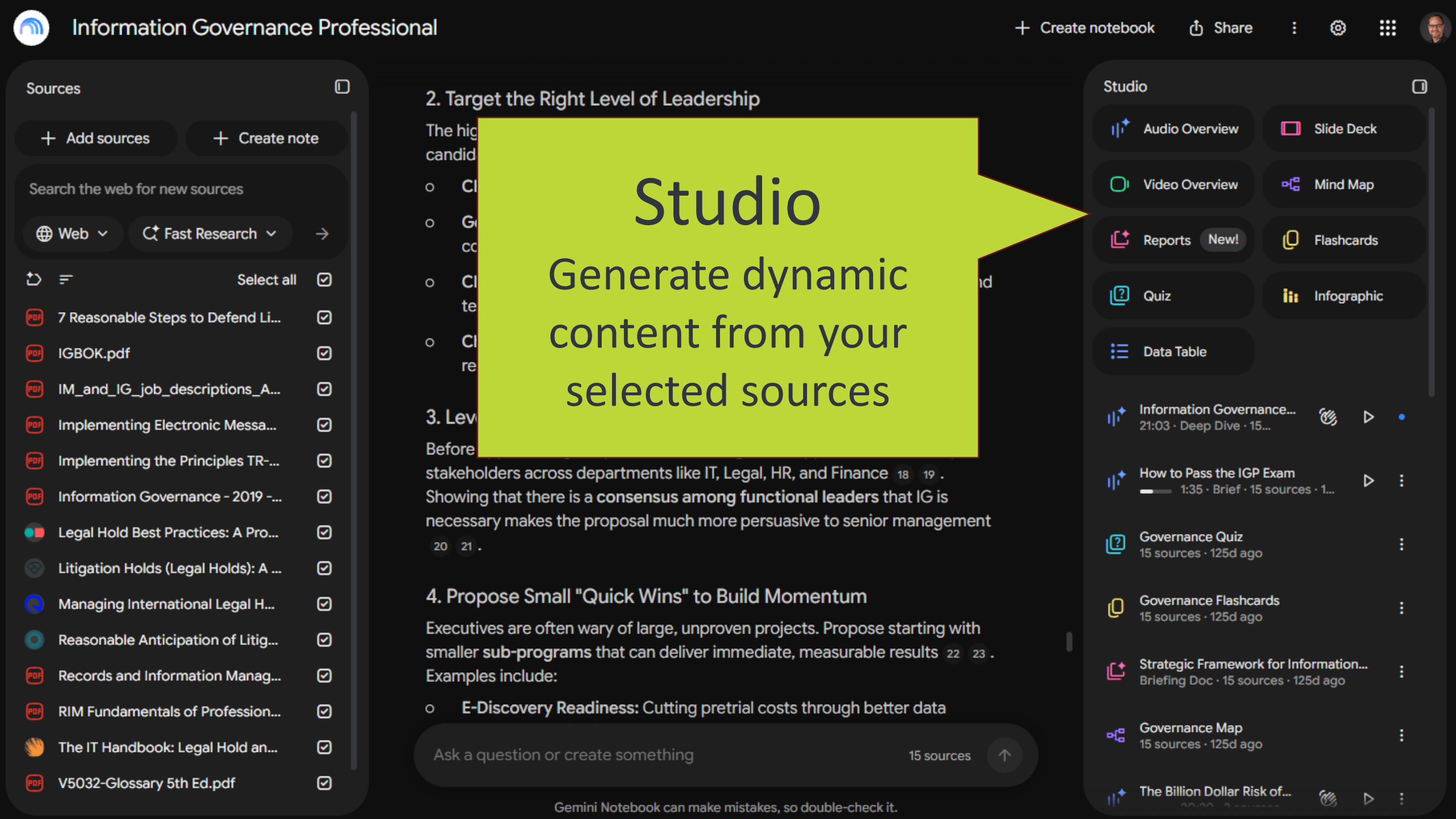
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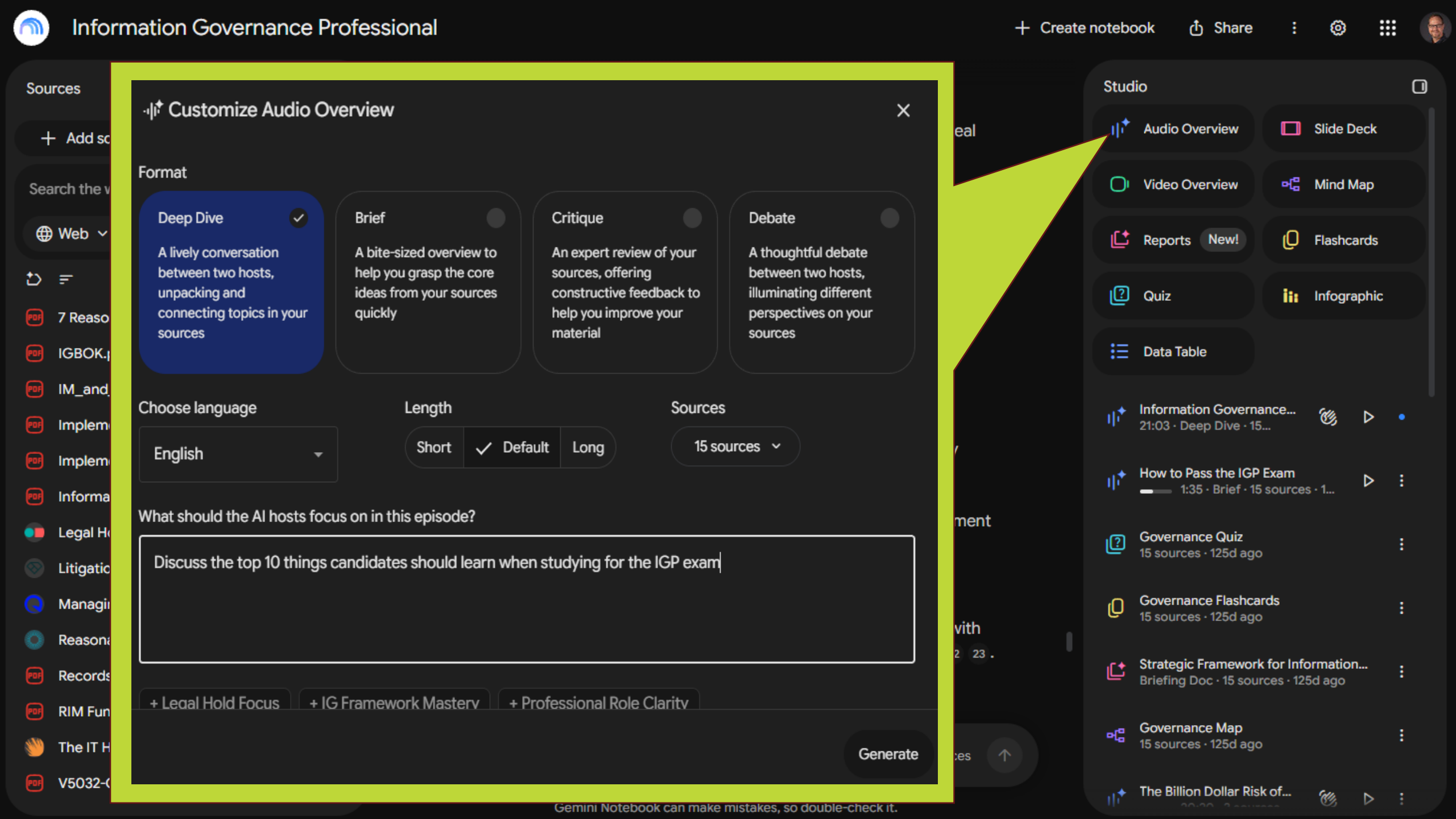
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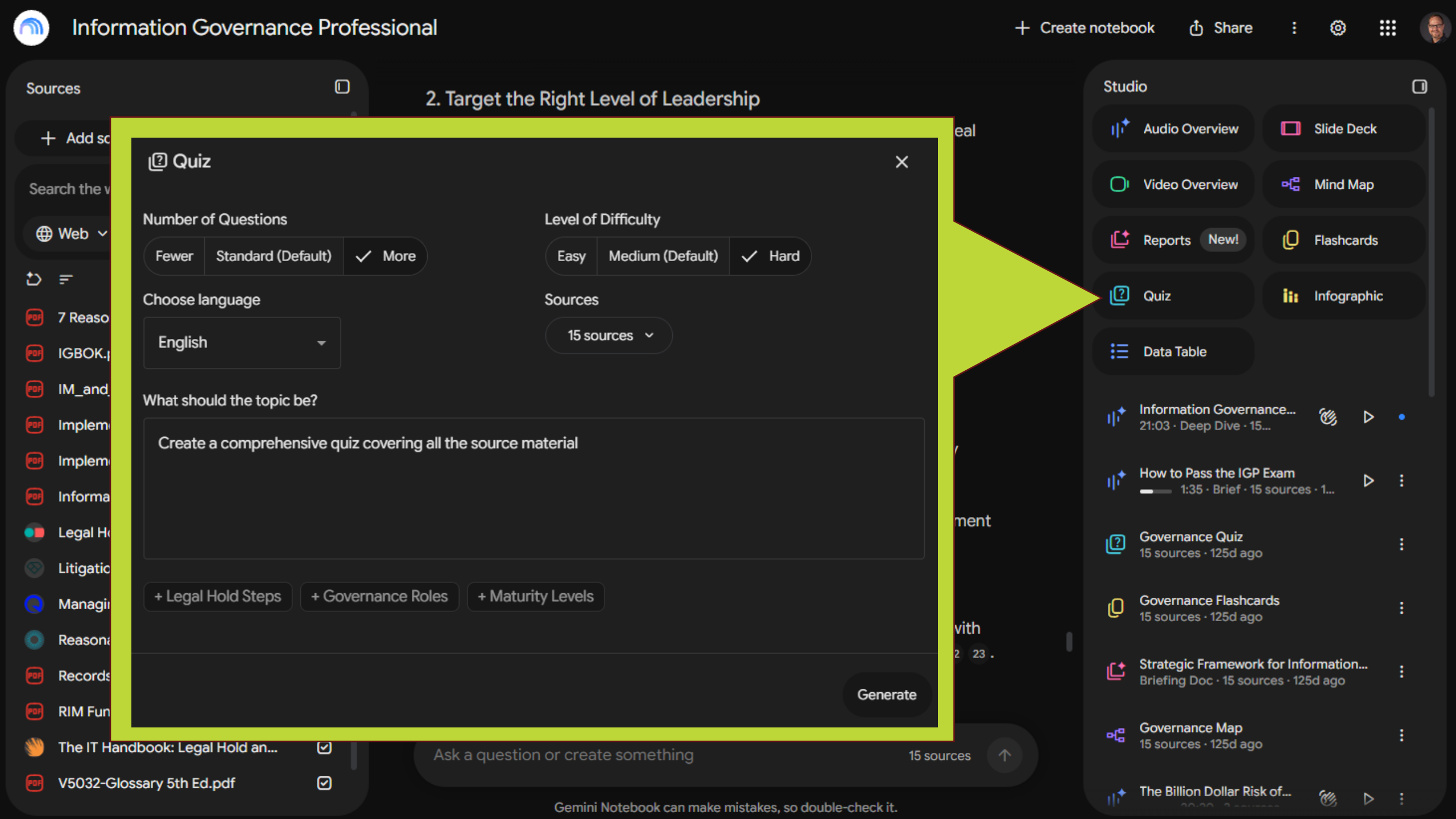
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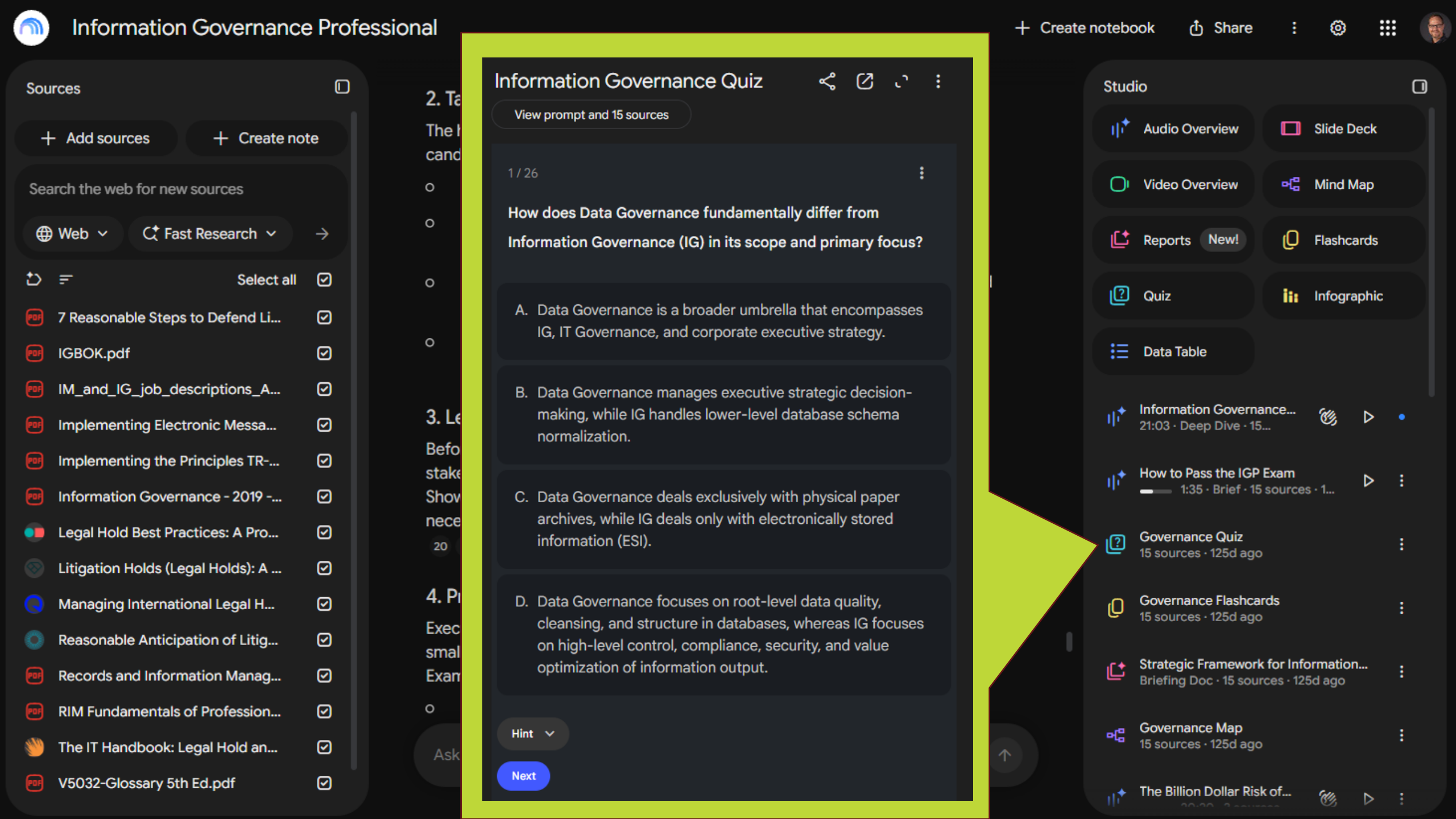
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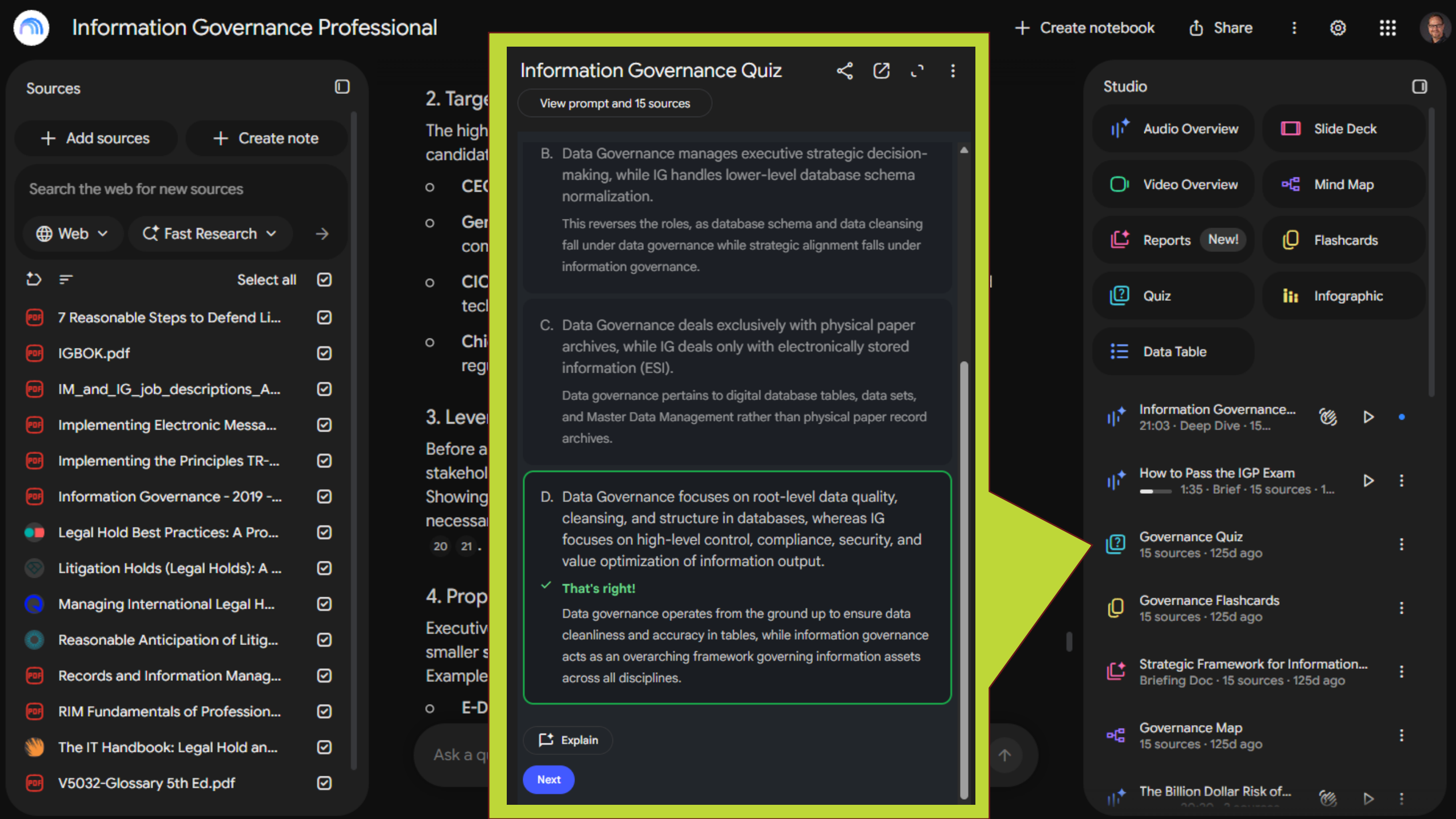
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+ Governance Roles
+ Maturity Levels
Generate
Ask a question or create something
15 sources
Gemini Notebook can make mistakes, so double-check it.
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Audio Overview
Slide Deck
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Mind Map
Reports
New!
Flashcards
Quiz
Infographic
Data Table
Information Governance...
21:03 · Deep Dive · 15...
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Litigation Holds (Legal Holds): A ...
Managing International Legal H...
Reasonable Anticipation of Litig...
Records and Information Manag...
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The IT Handbook: Legal Hold an...
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Information Governance Quiz
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1 / 26
How does Data Governance fundamentally differ from Information Governance (IG) in its scope and primary focus?
A. Data Governance is a broader umbrella that encompasses IG, IT Governance, and corporate executive strategy.
B. Data Governance manages executive strategic decision-making, while IG handles lower-level database schema normalization.
C. Data Governance deals exclusively with physical paper archives, while IG deals only with electronically stored information (ESI).
D. Data Governance focuses on root-level data quality, cleansing, and structure in databases, whereas IG focuses on high-level control, compliance, security, and value optimization of information output.
Hint
Next
Studio
Audio Overview
Slide Deck
Video Overview
Mind Map
Reports
New!
Flashcards
Quiz
Infographic
Data Table
Information Governance...
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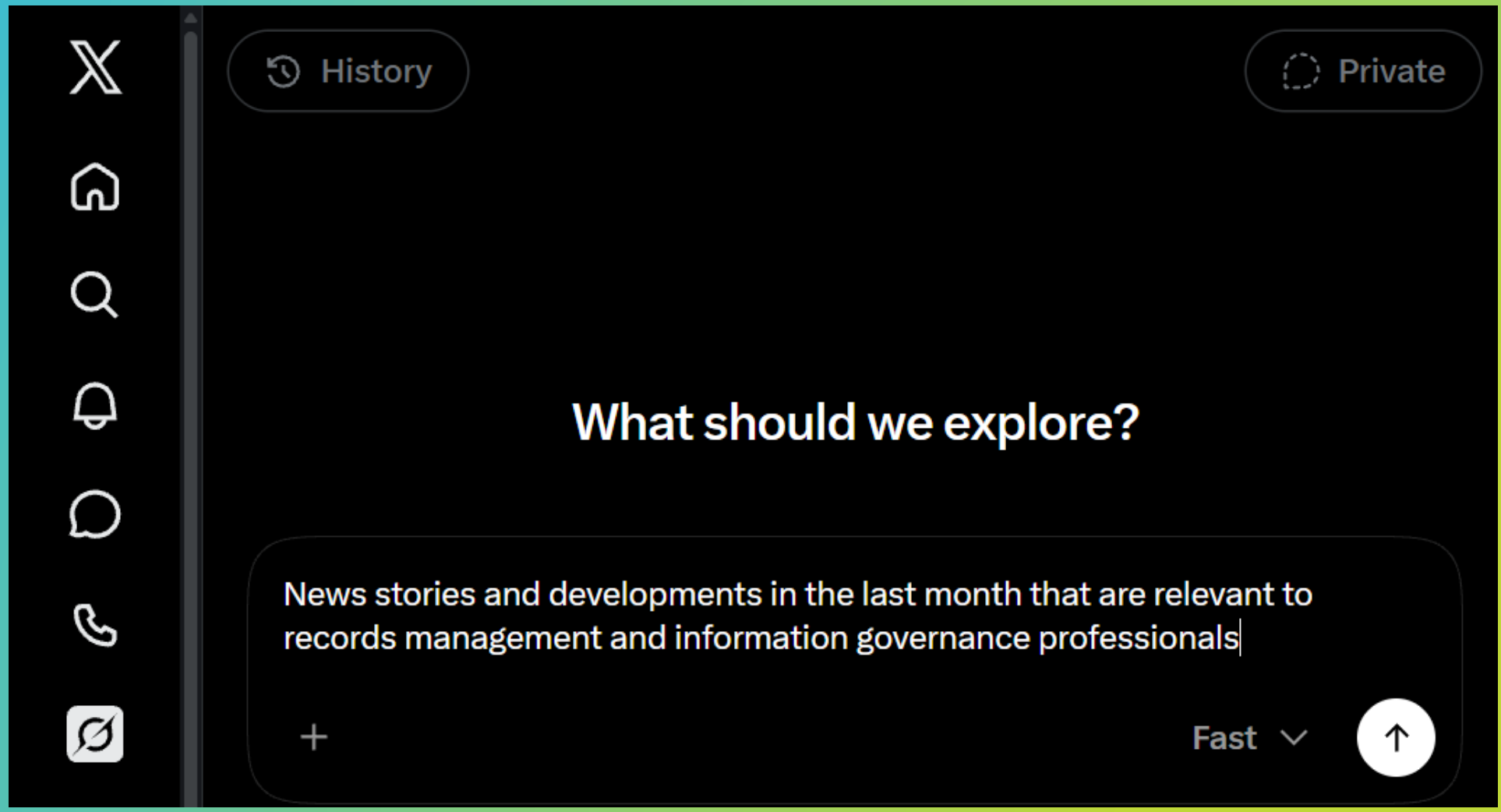

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Information Governance Quiz
View prompt and 15 sources
B. Data Governance manages executive strategic decision-making, while IG handles lower-level database schema normalization.
This reverses the roles, as database schema and data cleansing fall under data governance while strategic alignment falls under information governance.
C. Data Governance deals exclusively with physical paper archives, while IG deals only with electronically stored information (ESI).
Data governance pertains to digital database tables, data sets, and Master Data Management rather than physical paper record archives.
D. Data Governance focuses on root-level data quality, cleansing, and structure in databases, whereas IG focuses on high-level control, compliance, security, and value optimization of information output.
That's right!
Data governance operates from the ground up to ensure data cleanliness and accuracy in tables, while information governance acts as an overarching framework governing information assets across all disciplines.
Explain
Next
Studio
Audio Overview
Slide Deck
Video Overview
Mind Map
Reports
New!
Flashcards
Quiz
Infographic
Data Table
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1

Monitor Industry News

Source:

GROK: RIM/IG NEWS IN THE LAST MONTH



Source: Grok

GROK: RIM/IG NEWS IN THE LAST MONTH

Key recent developments (roughly mid-September to mid-October 2026) center on AI readiness intersecting with records/information governance, federal self-assessments, vendor partnerships, privacy/retention rule updates, and professional resources. Todaysgeneralcounsel

AI, ROT data, and the critical role of information governance

Multiple pieces stress that poor records practices and "ROT" (redundant, obsolete, trivial) data are major barriers to effective AI adoption:

- An Above the Law article (Oct 16) highlights research showing only 26% of legal leaders feel confident their information is ready for AI analysis, and only 37% know where all legal information is stored. ROT data degrades AI outputs, and only about one-third of senior legal professionals trust AI-assisted results. Information governance is positioned as essential before scaling AI tools. Abovethelaw
- A podcast episode (Sept 22) titled "Everybody Wants AI. Nobody Wants Records Management. Until It Breaks" discusses how AI surfaces forgotten information, the need for defensible disposal, Microsoft Purview for retention/disposition, and risks as AI agents act on data. Podscan
- AIIM noted in mid-October that only 6.5% of organizations have Information Governance owning AI governance (ownership is scattered), framing this as an opportunity; it pointed to its 2026 Industry Watch. X
- Related commentary covers boards underusing digital governance records (minutes, materials, decisions) and how AI can surface institutional history more effectively (OnBoard survey data on rising AI use by directors). Governance-intelligence
- An AIIM blog post (Oct 8) discusses shifting from traditional information management toward "aspect management" to make content AI-ready while keeping it governed in place. Info.aiim

Source: Grok

GROK: RIM/IG NEWS IN THE LAST MONTH

Federal records management and FOIA

- The Office of Government Information Services (OGIS) published its annual report assessing FOIA compliance via the National Archives and Records Administration's 2025 Records Management Self-Assessment (RMSA; administered March–May 2026). Key findings include ~20.6% of agencies using AI to assist FOIA (slight increase), rising use of e-discovery tools (to 80%), over 42% finding responsive records past their disposition date, and nearly half of Agency Records Officers collaborating with Chief FOIA Officers on complex requests. Foia.blogs.archives
- A mid-September virtual event focused on rethinking email records management in government (challenges with unmanaged email, compliance/public records impacts, Microsoft 365 classification/retention strategies). Carahsoft
- NYC Department of Records held (or promoted) a cross-departmental discussion on AI's impact on records management, archival practice, digital preservation, and public research services (around Oct 21). X

Vendor, partnership, and technology developments

- RecordPoint signed Informotion as a delivery partner for Australia/New Zealand (announced late September/early October). The focus is govern-in-place records and data (classification, retention, disposal, legal hold, privacy) rather than migration to a central repository—aimed at regulated sectors and AI projects stalled by ungoverned data. RecordPoint notes strong public-sector uptake (e.g., >80% of Victorian government departments). Itbrief Idm
- NIST has revived discussions on a Data Governance and Management (DGM) profile to integrate its cybersecurity, privacy, and AI risk-management frameworks (after a pause due to resources). Insidecybersecurity

Source: Grok

GROK: RIM/IG NEWS IN THE LAST MONTH

Professional resources, definitions, and international notes

- A new third edition of the benchmark text *Records and Information Management* (ALA Neal-Schuman, Patricia C. Franks) was highlighted; it adds coverage of data governance, automation, and AI while updating the records lifecycle for electronic/new media formats. Ala
- An opinion piece (Oct 15) argues that distinguishing "unofficial records" undermines data cleanup and retention consistency; organizations should centrally define what has legitimate business value (alongside legal/regulatory requirements) as a record and dispose of it when retention expires. Todaysgeneralcounsel
- Indonesia's Ministry of Communication and Digital Affairs emphasized a "T3" (connected, growing, protected) framework for digital archiving and governance amid expanding digital government and AI. Opengovasia
- South Africa's SAICA released an updated Retention of Records Guide covering mandatory periods across 37 statutes (companies, tax, employment, etc.). Acts
- Other notes include university consolidation of records retention schedules (IPB University, Indonesia) and various AIIM community events/forums on AI + information management (e.g., London regional forum, discussions on trust and cross-team language between IT/data/RIM). Ipb Aiim

Source: Grok

GROK: RIM/IG NEWS IN THE LAST MONTH

Privacy, retention, and related regulatory updates

State and sector privacy rules continue to expand deletion, retention, and access obligations that intersect with records programs:

- California's Expanding Privacy Rights Act (SB 923, signed late September) strengthens CCPA deletion rights to cover personal information obtained from third parties/data brokers (effective Jan 1, 2027) and eases submission of privacy requests. Commlawgroup
- Delaware lowered thresholds under its Personal Data Privacy Act (effective 2027) and added vendor oversight duties. Mslawgroup
- HIPAA Notice of Privacy Practices updates related to substance use disorder records remain relevant (compliance deadline noted in coverage as February 2026 in some alerts). Kaufcan
- Broader commentary covers growing complexity of state privacy laws, data-broker registration/requirements, and retention challenges under GDPR-style rules (including practical difficulties deleting from backups). Alstonprivacy Privacy-daily

EDRM's mid-October community letter touched on related legal-tech and cybersecurity incidents affecting court records/noticing systems, underscoring defensibility themes. Edrm

These stories reinforce a consistent theme for RIM/IG professionals: clean, governed, disposition-ready information is foundational to AI success, FOIA/public records compliance, privacy obligations, and organizational defensibility. Monitoring NIST's data governance profile work, state privacy expansions, and AIIM/ARMA-style industry research will be particularly useful in the coming months.

Source: Grok

Conclusions

Source:

WHY DOES THIS MATTER TO US?



Person laying in a pile of corn and shrugging with a curious/why expression on their face - Google Gemini

Source: Google Gemini

Are prompts & responses business records?

WHY DOES THIS MATTER TO US?



Same person with the same expression but driving a farm tractor - Google Gemini

Source: Google Gemini

Should we be concerned with retention, disposal, and ROT?

WHY DOES THIS MATTER TO US?



Same person, same expression standing next to a grain silo - Google Gemini

Source: Google Gemini

Do we have enterprise controls to manage the data?



Same person, same expression sitting in a chair on the front porch of her house - Google Gemini

Source: Google Gemini

QUESTIONS?

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QUESTIONS?

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