Records Management Readiness Checklist

This operational checklist is designed for IT leads and compliance officers to assess data health before deploying a new system. Complete each phase to ensure zero compliance gaps.

Phase 1: ROT & Data Discovery (The "Clean-Up" Stage)

☐ **Locate All Repositories:** Map out every digital and physical filing cabinet, cloud drive, local server, and messaging channel (e.g., Slack, Teams).

☐ **Run ROT Analysis:** Identify Redundant, Obsolete, and Trivial files that can be legally purged immediately.

☐ **Perform PII Scan:** Locate all files containing Personally Identifiable Information (PII) to apply strict encryption and access levels.

Phase 2: Classification & Schedule Mapping

☐ **Align with Standards:** Define your document types based on the ISO 15489 framework and regional regulatory acts (e.g., GDPR, HIPAA, SOX).

☐ **Establish Retention Schedules:** Assign fixed lifecycles and exact destruction dates to each category of record.

☐ **Designate Legal Holds:** Document the specific workflow for freezing the disposition of records in the event of an audit or litigation.

Phase 3: Infrastructure & Security Setup

☐ **Segment Storage Tiers:** Separate high-access documents into hot storage and archive legacy data into cold storage (e.g., AWS Glacier).

☐ **Enforce WORM Compliance:** Configure your archival systems with Write Once, Read Many (WORM) controls to prevent unauthorized alterations.

☐ **Create Retrieval Metrics:** Test that any authorized user can securely locate a specific record within exactly 10 seconds.

Phase 4: Adoption & Governance

☐ **Draft the Master PDF:** Compile your new guidelines into a clear, one-page records management policy and distribute it to all department heads.

☐ **Deploy Role-Based Training:** Launch interactive training modules and testing tools tailored to departmental needs.