
arctera™
Govern What's Next in AI Communications
Four core priorities for leveraging corporate knowledge through AI while establishing an authoritative record your enterprise can depend on
Research conducted by
HR
HANOVER RESEARCH

Executive Summary

Know What Information AI Can Use

Give Oversight a Record to Work From

Make Capture and Retention Work Together

Test the Answer Before You Need It

Choose the Next Improvement Together

Govern What's Next

Sources

Govern What's Next in AI Communications

Executive Summary

When an AI-assisted communication is questioned, someone will turn to you for answers. What information did it use? Who reviewed it? Can we produce the record?

As AI becomes embedded in everyday operations, Compliance is often the team expected to answer for it. Our benchmark found that 60% of organizations assign primary accountability for AI-governed communications to Compliance. Yet answering questions about that work can require records from tools and systems managed across the business. If you lead Compliance, you may be expected to explain what happened while relying on other teams to provide the evidence.

That's the Accountability Gap: responsibility lands with Compliance, but the ability to answer depends on evidence and support across the organization.

Arctera's State of AI Governance 2026 benchmark, conducted by Hanover Research, brought the policy-to-proof gap into focus. This deeper look explores what that means for the people accountable—and four practical priorities for getting the visibility, records, and coordinated support they need.

Recordkeeping is one measurable part of this challenge. Only 35% of organizations using AI report both tracking AI prompts and outputs and automatically retaining AI-generated content.

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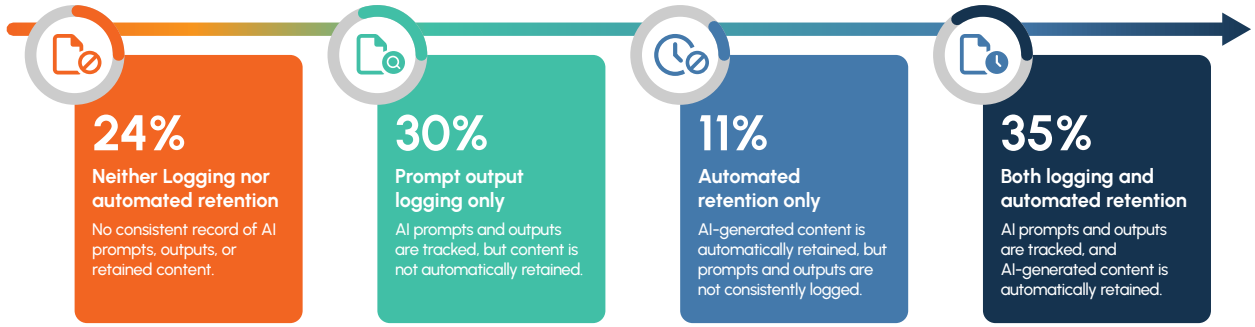
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How Organizations Use AI Logging and Automated Retention



For Compliance, these gaps raise a practical question: will the records be there when someone asks for an explanation? Closing the Accountability Gap takes coordination with the teams that manage AI access, review communications, and preserve the records. The four priorities below give those teams a place to start.

Four Strategic Priorities for Closing the Accountability Gap

1. Know what information AI can use.
Can we establish its permitted sources and access?

2. Give oversight a record to work from.
Can we explain the review and decision?

3. Make capture and retention work together.
Have we preserved the supporting communications?

4. Test the answer before you need it.
Can we produce an understandable record when asked?

Start with one important business workflow. The following pages pair a focused finding with a real example and an action your team can take.

Executive Summary
Know What Information AI Can Use
Give Oversight a Record to Work From
Make Capture and Retention Work Together
Test the Answer Before You Need It
Choose the Next Improvement Together
Govern What's Next
Sources

Research conducted by

HANOVER RESEARCH

PRIORITY 1

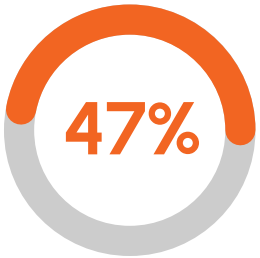
Know What Information AI Can Use

Corporate knowledge becomes far more powerful when employees can draw on it seamlessly. Past communications, historical decisions, and organizational archives provide critical context for AI-assisted work, but connecting these repositories to AI tools demands clear guidance from leadership regarding access, permissions, and oversight controls.

When an employee uses AI to retrieve information from corporate knowledge, leadership must be prepared to substantiate the answer if questioned. Work across teams to align on permitted sources, user permissions, and source verification.

The benchmark highlights the need to pair data access with recordkeeping: among organizations where enterprise data is mostly or seamlessly accessible through AI, 47% still lack prompt recording, automated archiving, or both.

Access Does Not Establish Control Coverage



of organizations where corporate data is mostly or seamlessly accessible within AI tools lack prompt/output logging, automated retention, or both.

Making corporate information easier to access through AI does not automatically mean those interactions are logged or retained. Your team needs to check both: what information AI can use, and whether a record of its use is preserved.

Executive Summary
Know What Information AI Can Use
Give Oversight a Record to Work From
Make Capture and Retention Work Together
Test the Answer Before You Need It
Choose the Next Improvement Together
Govern What's Next
Sources

Research conducted by

HANOVER RESEARCH

Make Corporate Knowledge Easier to Use—and Easier to Check

Morgan Stanley Wealth Management described an AI assistant designed to help financial advisers find answers within the firm's own knowledge. Its 2023 announcement paired responses drawn exclusively from internal content with controls and links to source documents. The approach illustrates two decisions leaders can make together: which information AI can use, and how employees can check the source behind an answer.[1]

Put the Finding to Work

Choose one AI use case. Have the business owner and IT identify the records it needs; ask Compliance and Legal to agree on access and evidence requirements. Test whether a user can inspect the source, recognize outdated information, and understand what the tool cannot access.

This is where a governed connection matters. Arctera AI Converge uses the Model Context Protocol (MCP) to connect supported AI applications to enterprise archive records. Arctera applies identity and access controls and returns source-linked results, helping teams work with corporate knowledge and check its origins. MCP supplies the connection standard; the governance comes from the implementation.

The accountability question: Can we show which corporate records this AI workflow can access—and who has permission to use them?

Executive Summary
Know What Information AI Can Use
Give Oversight a Record to Work From
Make Capture and Retention Work Together
Test the Answer Before You Need It
Choose the Next Improvement Together
Govern What's Next
Sources

Research conducted by

HANOVER RESEARCH

PRIORITY 2

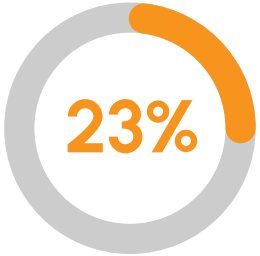
Give Oversight a Record to Work From

Human review provides essential oversight, judgement, and accountability for AI-assisted communications. However, without a clear, retained record, organizations cannot verify how decisions were made or demonstrate compliance after the fact.

Relying on memory or informal sign-offs is not enough. Effective oversight requires a clear record of what was reviewed, what was checked, and how concerns were resolved.

Most respondents with human review report strong audit-trail preparedness. But nearly one in four report only moderate preparedness or less. This does not show that their reviews failed; it gives leaders a reason to check whether a review can be explained and supported later.

An Approval Is Not the Whole Record



of organizations with human review for high-risk AI communications report being only moderately, slightly, or not at all prepared to produce a defensible audit trail.

When a communication is questioned, your team needs to explain what the reviewer saw, what they checked, and how concerns were resolved. Keeping that review history alongside the communication can help you provide a clear answer.

Executive Summary
Know What Information AI Can Use
Give Oversight a Record to Work From
Make Capture and Retention Work Together
Test the Answer Before You Need It
Choose the Next Improvement Together
Govern What's Next
Sources

Research conducted by

HANOVER RESEARCH

Keep Human Judgment in the Communication Workflow

At Stanford Medicine, clinicians reviewed and edited AI-generated patient-message drafts before sending them. A pilot reported in 2024 found reduced cognitive burden, although it did not demonstrate time savings. This offers a practical example of keeping professional judgment in the workflow. For governance teams, the next question is what record would explain the draft, review, and final response if needed later.[2]

Put the Finding to Work

Take one recent approval. Locate the material the reviewer saw, the checks required, any concerns raised, and the final communication. Decide where review actions and escalations should be recorded, and who will assemble that history if the communication is questioned.

Arctera Surveillance connects captured communications with policy-based review and escalation workflows, recording review actions and outcomes. That can give compliance teams a shared history of supervision. Source verification and professional judgment remain human responsibilities; retaining a decision is different from confirming it was correct.

The accountability question: Could a colleague understand what was checked, what was challenged, and why this communication was approved?

Executive Summary
Know What Information AI Can Use
Give Oversight a Record to Work From
Make Capture and Retention Work Together
Test the Answer Before You Need It
Choose the Next Improvement Together
Govern What's Next
Sources

Research conducted by HANOVER RESEARCH

PRIORITY 3

Make Capture and Retention Work Together

An AI prompt or conversation can influence a client message long before the final text reaches an inbox. Archiving that message records what was sent. Explaining how it was developed may also require preserving the AI conversation behind it.

Capturing records preserves the interaction at the source, whereas retention maintains it over its lifecycle. Teams using both controls must regularly verify that recording and archiving cover the same AI platforms, user groups, and communication channels.

Having the final email without the underlying AI conversation leaves a critical context gap. To properly defend a message, teams need visibility into where both records reside and confidence that they will remain available.

Make Preservation Part of the Workflow



of organizations using AI do not report automated retention or archiving of AI-generated content.

When Business Conversations Escape the Record

Business conversations can move beyond the channels an organization preserves. In September 2022, the SEC announced settlements with 16 firms over recordkeeping failures involving messages on employees' personal devices. The firms agreed to combined SEC penalties exceeding $1.1 billion. These were off-channel recordkeeping cases, not AI cases. The lesson for new AI workflows is to check preservation coverage wherever business communications occur.[3]

Executive Summary

Know What Information AI Can Use

Give Oversight a Record to Work From

Make Capture and Retention Work Together

Test the Answer Before You Need It

Choose the Next Improvement Together

Govern What's Next

Sources

Research conducted by

HANOVER RESEARCH

Put the Finding to Work

For one workflow, list the tools people actually use, including AI conversations and the channel carrying the final message. Check what is captured, which users are covered, where retention and legal holds apply, and how missing records are detected. A saved conversation and an automatically retained business record are different things.

Arctera Capture supports ingestion of AI communications, including ChatGPT prompts, responses, and available metadata. Arctera Archive provides retention and legal hold capabilities for governed records. Together, they give teams a way to bring supported AI communications into established recordkeeping processes. Verify the content and context available through each integration rather than assuming every interaction or edit is captured.

The accountability question: Can we retrieve the AI conversation as well as the final message—and keep each for the period required?

Executive Summary

Know What Information AI Can Use

Give Oversight a Record to Work From

Make Capture and Retention Work Together

Test the Answer Before You Need It

Choose the Next Improvement Together

Govern What's Next

Sources

Research conducted by

HANOVER RESEARCH

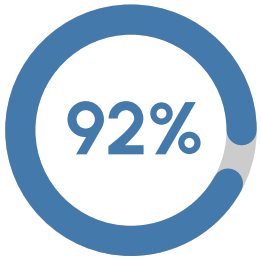
PRIORITY 4

Test the Answer Before You Need It

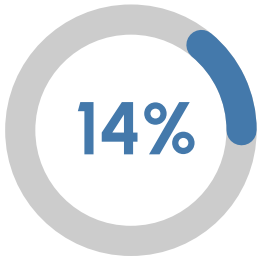
A mock retrieval exercise tests AI governance in practice. Reconstructing a complex AI-assisted workflow quickly exposes missing information, unclear responsibilities, or broken system connections.

When an inquiry reaches your desk, you need colleagues across the business to help assemble the answer. A retrieval exercise shows whether they can find the communications, explain the context, and deliver an understandable record before a real deadline puts that coordination under pressure.

Regulatory Inquiry Responses in Under 48 Hours



AI oversight fully integrated into surveillance / eDiscovery



AI oversight slightly integrated or not integrated into surveillance / eDiscovery

Organizations with fully integrated AI oversight report much faster inquiry responses than those with slightly or non-integrated oversight. This is an association, not proof that integration caused the difference. For leaders, it is a useful prompt to test the handoffs between systems before an inquiry arrives.

Executive Summary

Know What Information AI Can Use

Give Oversight a Record to Work From

Make Capture and Retention Work Together

Test the Answer Before You Need It

Choose the Next Improvement Together

Govern What's Next

Sources

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HANOVER RESEARCH

An Archive Assumption Became a Retrieval Failure

> *In a June 2023 order, the SEC found that approximately 47 million J.P. Morgan Securities communications had been permanently deleted after retention settings were not applied to one domain. Missing records could not be produced in at least 12 regulatory investigations. The firm settled without admitting or denying the findings and agreed to pay a $4 million penalty. This was a retention failure, not an AI incident.*[4]

Put the Finding to Work

Reconstruct one real AI-assisted communication across the systems involved. Measure elapsed time, staff effort, missing records, and handoffs. Check retention settings as well as search results. Assign the most consequential gap to an owner and repeat the exercise after it is addressed.

Arctera eDiscovery supports searching archived communications, organizing case material, applying legal holds, and exporting records with metadata and audit information. Use a retrieval exercise to test those capabilities against your actual evidence needs. Search can make preserved records usable; it cannot recover records that were never captured or have been lost.

The accountability question: Can we produce an understandable record within the time the business needs?

Executive Summary
Know What Information AI Can Use
Give Oversight a Record to Work From
Make Capture and Retention Work Together
Test the Answer Before You Need It
Choose the Next Improvement Together
Govern What's Next
Sources

Research conducted by

HANOVER RESEARCH

Choose the Next Improvement Together

You may be the person asked for an answer, but you should not have to piece it together alone. Bring the business owner, IT, Compliance, Legal, and Risk together around one important communication workflow. Agree on who provides access, who preserves the records, and who helps assemble the response when a question reaches your desk.

A useful starting point might be a client recommendation, a customer complaint response, or an internal risk briefing. Choose a workflow your team uses today and agree on what a satisfactory record would contain.

A Shared Agenda With Clear Responsibilities

Perspective	Question to explore together
Compliance	What needs review, and how will we show what was checked?
Risk	Where could missing information create the greatest risk, and what should we address first?
Legal	If this communication were questioned, what records would we need to explain it?
IT	Can the right people access, preserve, and retrieve those records with the systems we have?

Build the Business Case From the Work

Track the manual effort spent retrieving records, navigating access delays, and resolving incomplete disclosures during mock exercises. Re-evaluating these metrics after deploying technical controls provides concrete data to demonstrate ROI and justify governance investments. Grounding your business case in real workflow performance makes the value of automated compliance clear.

Leave the Discussion with Three Decisions

- **One priority gap:** the missing record, unclear handoff, or access issue to address first.
- **One accountable owner:** someone responsible for bringing the required teams together.
- **One date to test again:** a commitment to show whether the change worked.

Executive Summary

Know What Information AI Can Use

Give Oversight a Record to Work From

Make Capture and Retention Work Together

Test the Answer Before You Need It

Choose the Next Improvement Together

Govern What's Next

Sources

Research conducted by

HANOVER RESEARCH

Govern What's Next

You need room to support the next AI use case without losing the ability to answer for it. That takes two things working together: controlled access to corporate knowledge and a usable record of the resulting communications. Arctera's approach connects those needs across the workflow with a single unified platform.

Put Governed Knowledge to Work

Arctera AI Converge connects supported AI tools to governed enterprise archive records through MCP. Permission-aware retrieval and source references help employees find relevant corporate information while giving oversight teams a way to examine the supporting records.

Bring AI Communications Into Governance

Arctera Capture and Archive support preserving AI communications, including supported ChatGPT interactions, within recordkeeping workflows. Surveillance provides review and escalation history; Discover supports investigation and production. These capabilities address different steps in the work: capturing a conversation, retaining it, supervising it, and finding it when needed.

Governed access and communications capture need to be configured together for the chosen workflow. Connecting an AI application through MCP does not, by itself, mean its complete conversation is archived. Confirm supported integrations, coverage, and the context retained before extending the workflow to more users.

Start With One Workflow Worth Getting Right

Start with one AI workflow your team uses today. Together with an Arctera expert, explore what you would need to explain if a communication from that workflow were questioned. Work through:

- **The corporate records the AI tool should be able to access.**
- **The AI conversations and final communications that need preservation.**
- **The review actions and evidence your team needs to retrieve.**
- **The first gap to address and how to test the improvement.**

Work with an Arctera expert to identify where your workflow needs stronger support—from the information AI can access to the communications your team needs to preserve. Together, explore what fits your environment and agree on a practical next step.

EXPLORE MY AI WORKFLOW

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Know What Information AI Can Use
Give Oversight a Record to Work From
Make Capture and Retention Work Together
Test the Answer Before You Need It
Choose the Next Improvement Together
Govern What's Next
Sources

Sources

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4. SEC, In the Matter of J. P. Morgan Securities LLC, June 22, 2023, Exchange Act Release 97787, Administrative Proceeding 3-21502.

About Hanover Research

Founded in 2003, Hanover Research is a global research and analytics firm that delivers market intelligence through a unique, fixed-fee model to more than 1,000 clients. Headquartered in Arlington, Virginia, Hanover employs high-caliber market researchers, analysts, and account executives to provide a service that is revolutionary in its combination of flexibility and affordability. Hanover has been named a Top 50 Market Research Firm by the American Marketing Association every year since 2015. To learn more about Hanover Research, visit **hanoverresearch.com**.

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About Arctera

Arctera, a business unit of Cloud Software Group, is a leading global provider of compliance and governance solutions that enable firms to unleash game-changing technologies into their organizations while minimizing risk. Created in 2024 from Veritas Technologies, Arctera helps the biggest companies in the world monitor and control exactly how their information is being accessed, used and shared. The Arctera™ Unified Platform is able to capture data from over 130+ different content sources, and more than 280 AI policies help firms streamline compliance and adapt to evolving regulations.

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