Sapient™

Welcome.
Today's webinar will begin shortly.

Helpful Hints

Questions

Handouts

Feedback

Recording

Agenda

- AutoClassification 101

- Automating records retention & lifecycle management with AutoClassification

- Tips on future-proofing retention policies & automated compliance

- Real-world Case Study

- Prioritizing IG - getting your gang onboard

- How to get started

Polls

Q&A

What is Classification?

Creating tags that tell us about a file

PDF

Created date

Contract

Expired
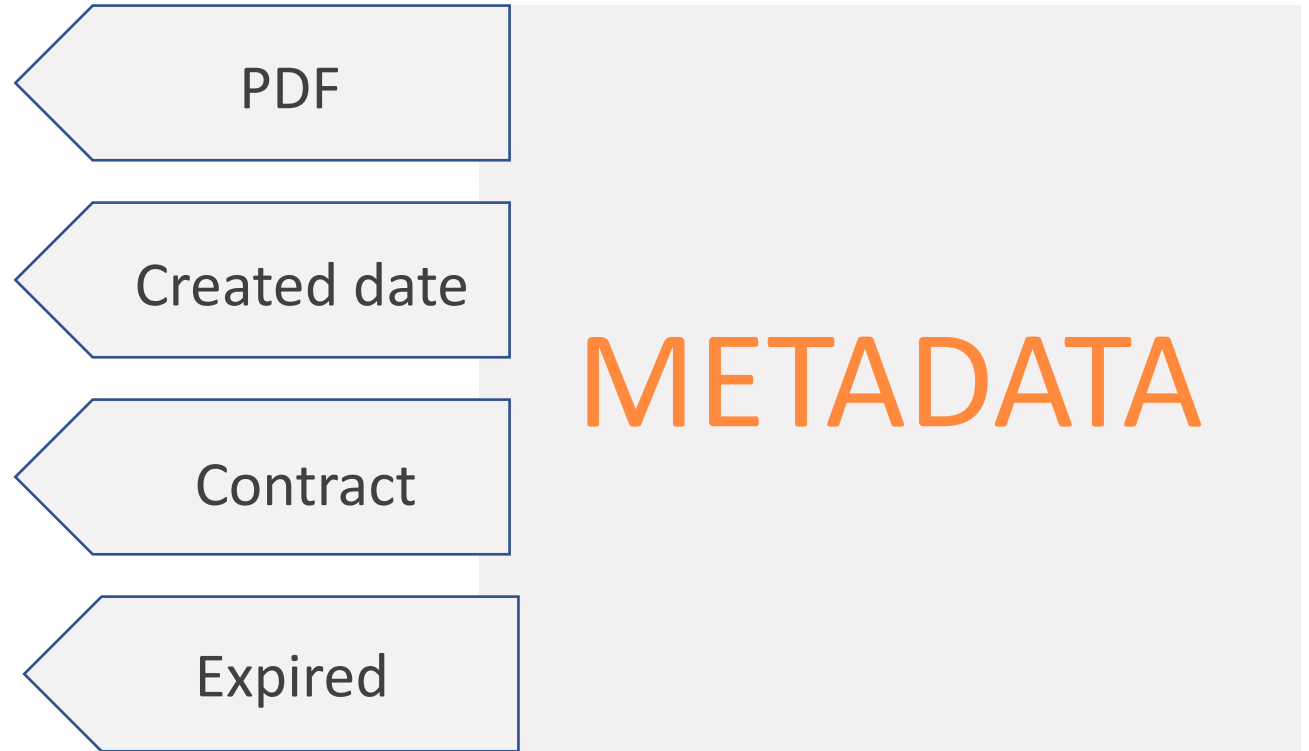
METADATA

Metadata's "love note to the future"
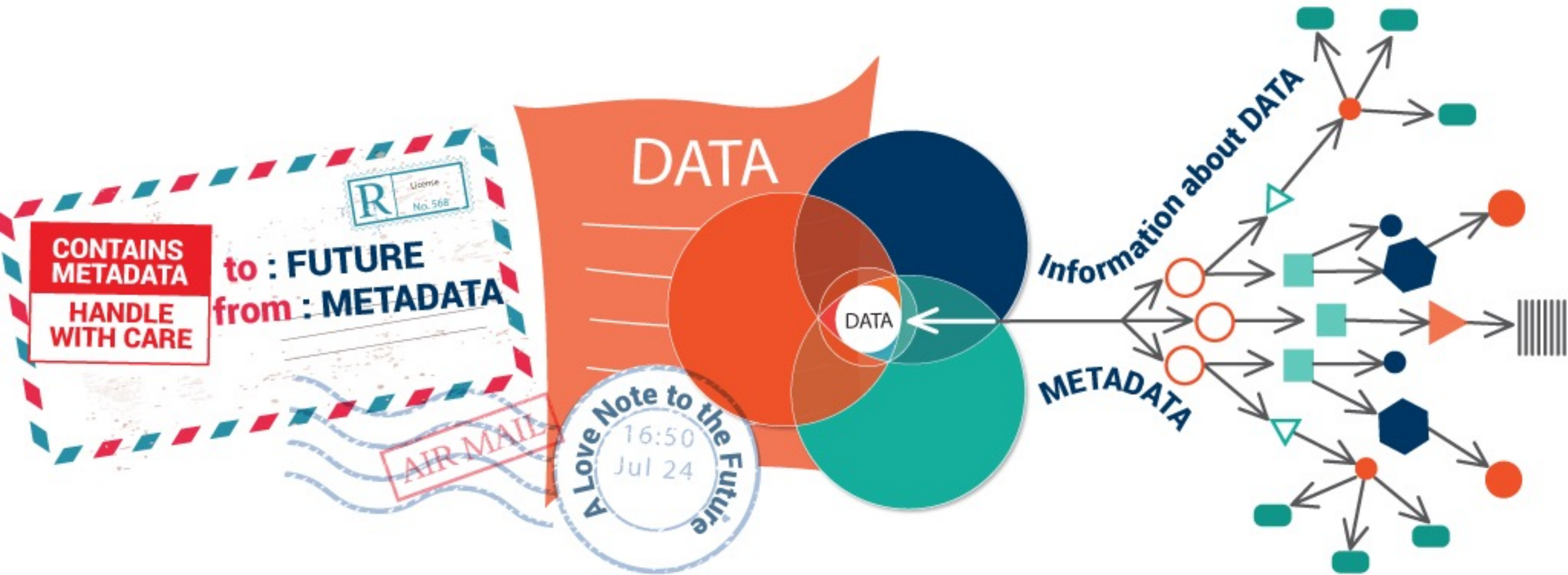
You CAN classify manually…

But is that the best use of
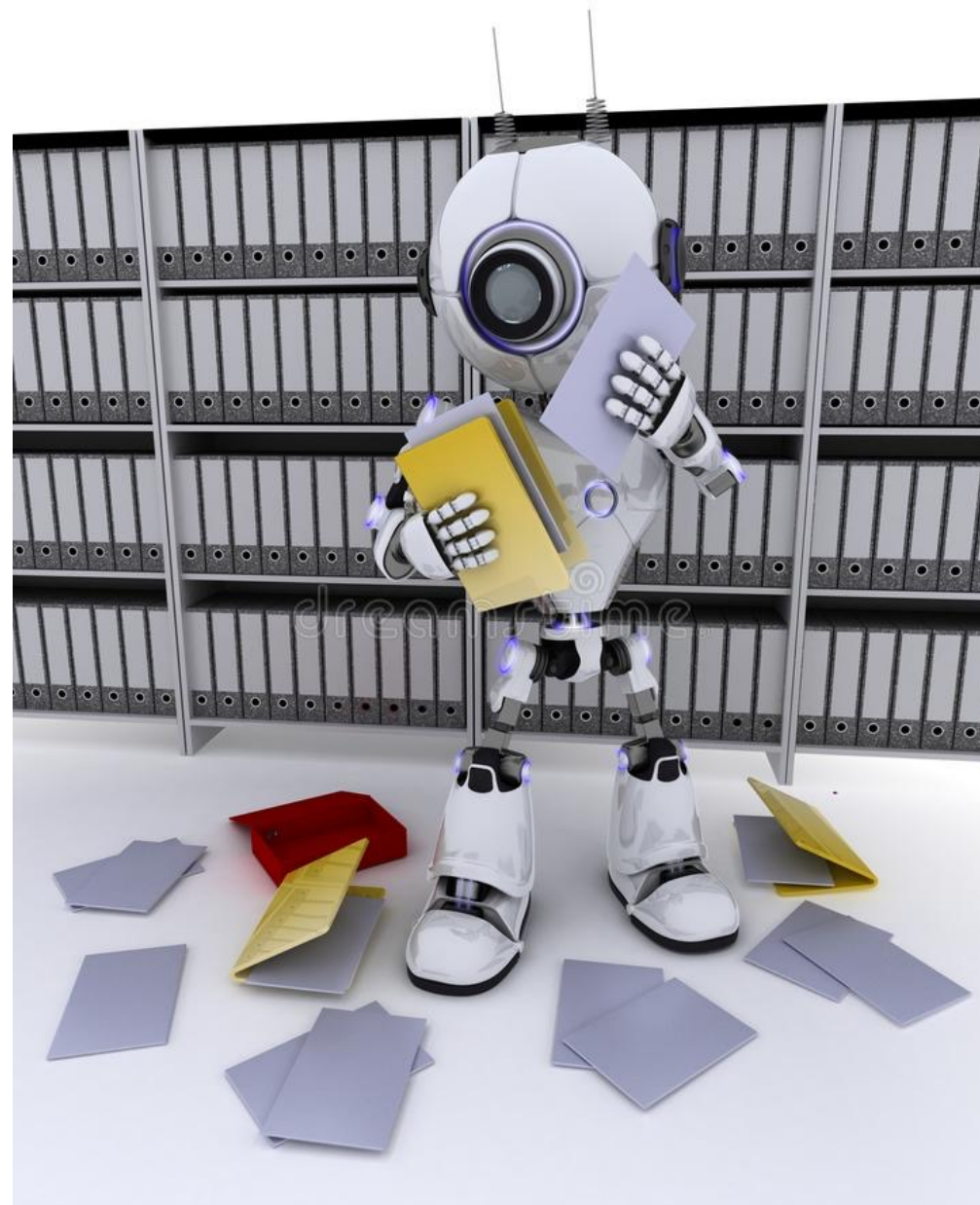your organization's time
and resources?

(And how will the quality be?)

AutoClassification

Software that performs
automated analysis
& disposition
of file/document content

A note about true
AutoClassification – if you
(or your colleagues) are doing
the work, it isn't AUTO! 🤔

"But what about Purview?"

MS Purview is not **true** AutoClassification.

- You must set up tags, labels and rules

- Then manually put tags on files and folders

- It *can* propagate tags, if you provide very specific rules.

However…

- Purview tags CANNOT BE CHANGED. Ever.

- One tag value per file (no multi-values)

- Only available with E5 licensing ($$$).

- Poor/no support for non-MS data stores and physical or scanned records

- To properly set things up you WILL need an outside consultant

- Audit history preserved for 1 year max

Valora is *true* AutoClassification

File & Rich Metadata
Attributes

+

Recognition Algorithms
Determine DocType

+

Disposition Algorithms
Rules & Actions

AutoClassification = Rich Metadata + Rules

Software that performs automated analysis & disposition of file/document content

Answers the questions:

What is this thing & what do I do with it?

AutoClassification is Tagging

File & Rich Metadata
Attributes

+

Recognition Algorithms
Determine DocType

+

Disposition Algorithms
Rules & Actions

Language
Personal Data
Word & page count
Tone/Sentiment
Attachment Range
Security Level

Author
Custodian
Content Owner
Recipient
Copyees (CC & BCC)
Assignee
Signatories
Patient Name

Brand
Legal Hold
Employee
Audience
Document Type

Creation Date
Signature Date
Effective Date
Last Activity Date
Expiration Date
Destruction Date

File type/extension
Created date
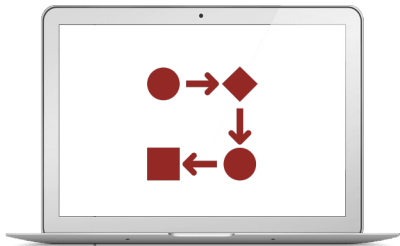Last modified date
Path name
Hash value
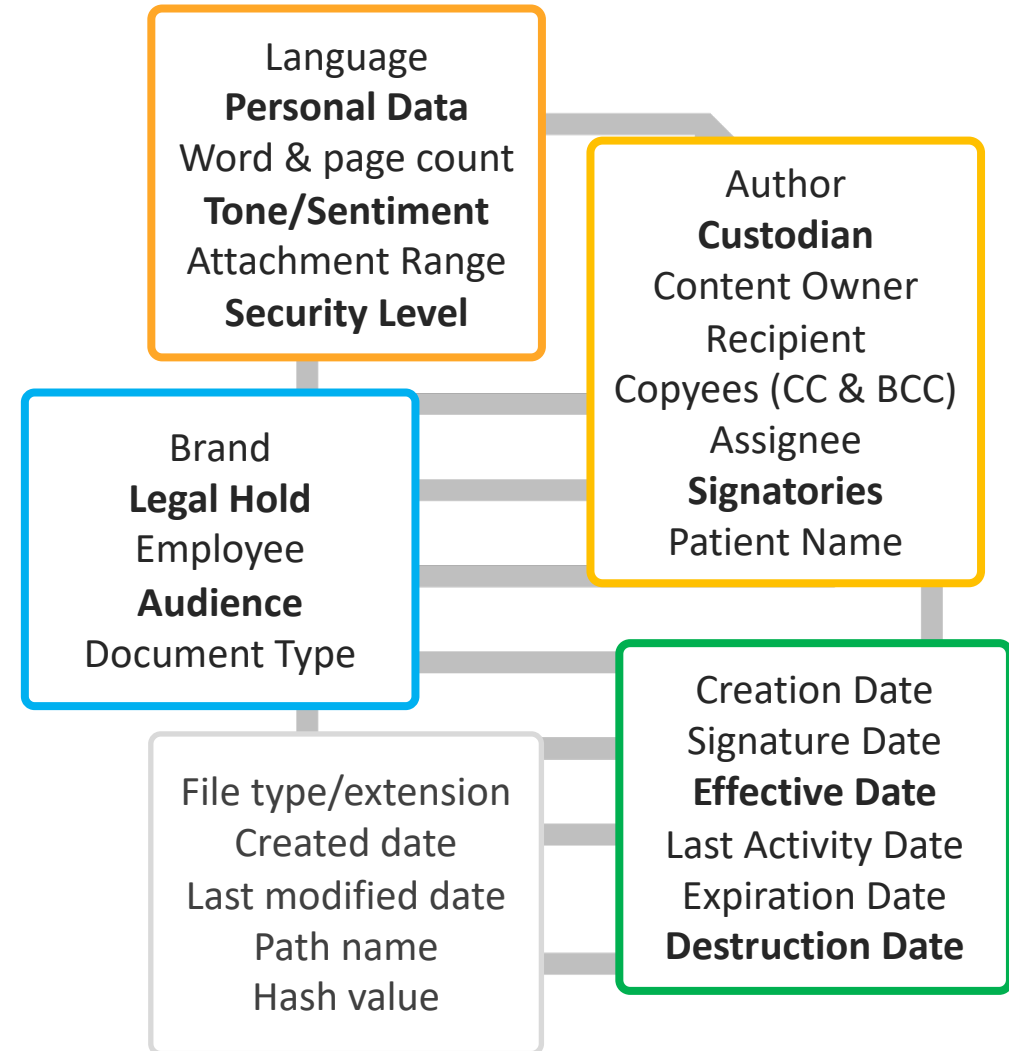
AutoClassification is Segmenting

File & Rich Metadata
Attributes

+

Recognition Algorithms
Determine DocType

+

Disposition Algorithms
Rules & Actions

Facet 1: Service

Facet 2: Effective Date

Facet 3: T&Cs

✓ Service Agreement

✓ Termination Letter

✓ Financial Report
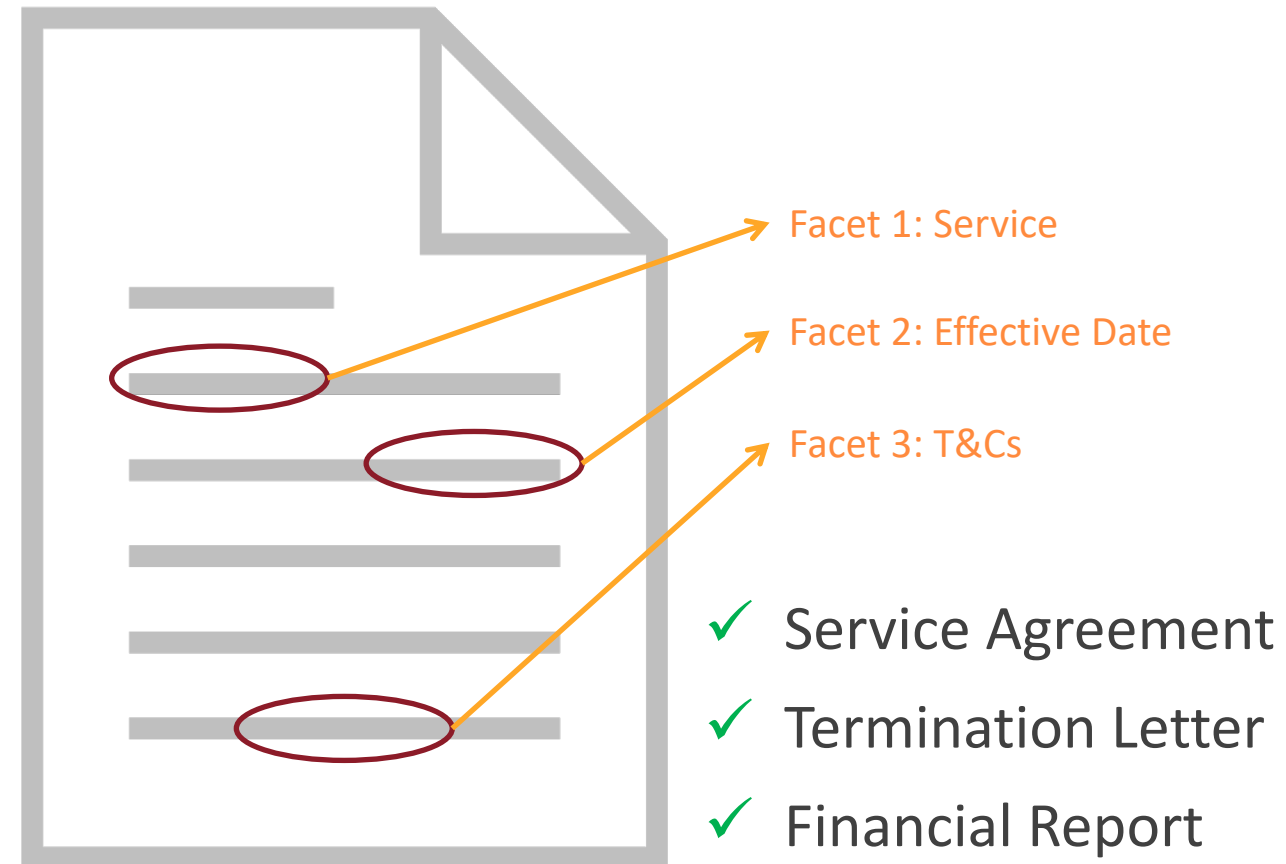
AutoClassification is Actioning

File & Rich Metadata
Attributes
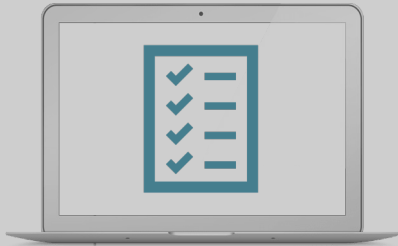
Recognition Algorithms
Determine DocType
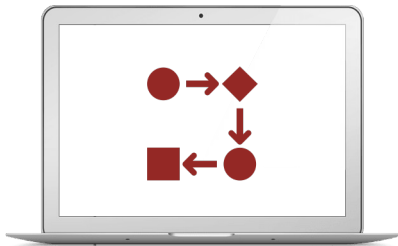
Disposition Algorithms
Rules & Actions

- Determine the disposition & handling of content
- Typically follow an IF-THEN format, often nested

Disposition Rule Example:
IF the *DocumentType* = Contract AND
            the *Date* < 1/1/2025, THEN
            Mark File as ACTIVE (Retain CY +7)

Disposition Rules dictate:

- Retention
- Access Security Level
  (down to content level)
- Legal Hold
- Organization & Location of Content
  (also Identification)
- ROT: Duplicates, Obsolete, Junk
- PII, PHI & Sensitive Info
- Compliance
- Migration, Promotion of Content
- Litigation Collection & Production

- Optimized Search Results
  (other apps also)
- Trends & Forecasts
- Routing & Removal of inbound
  (or outbound) content
- Transformation Needs
  (ex: language translation, offensive
  materials removal, routing removal, re-
  ordering, text creation, etc.)

AutoClassification turns this…

Name	Date modified	Type	Size
LGPIF Final.pdf	8/13/2016 9:26 AM	Adobe Acrobat Document	171 KB

Into this…

Local Government Property Insurance Fund
Actuarial Services Contract

THIS AGREEMENT effective this 1st day of February 2005 (the "Effective Date") by and between the Office of the Commissioner of Insurance (the "Agency" or "State of Wisconsin") and AMI Risk Consultants, Inc. hereinafter referred to as "Contractor"

The purpose of this Agreement for actuarial services is to assist the Agency to accurately assess rate and premium levels and establish loss reserves (incurred but not reported, IBNR) for the Local Government Property Insurance Fund (the "Fund") on an annual basis to ensure the financial stability of the Fund.

I.   **Term.** The term of this Agreement shall be for one (1) year, from the 1st day of February 2005, and expiring on the 31st day of January 2006. The contract may be renewed for two (2) successive one-year periods upon mutual written agreement of the parties. Contractor will notify the Agency six months prior to the annual expiration if it wishes to renew this Agreement and shall specify any amendments the Contractor wishes to propose.

II.   **Contact Persons.**   For purposes of administering this Agreement, the following representatives of each party are hereby designated as appropriate contact persons:

(a) For the Agency:

Danford Bubolz, Insurance Program Officer
Local Government Property Insurance Fund
125 South Webster Street, Madison, Wisconsin 53702

(b) For the Contractor:

Aguedo M. Ingco, President
AMI Risk Consultants, Inc.
11410 North Kendall Drive, Suite 208
Miami, Florida 33176-1031

III.   **Actuarial Services Required**

A. Assist the Fund in annually establishing rates and adequate incurred but not reported claims reserves for the Fund.

DocType = Contract

Effective Date = 2/1/2005

Party Two = AMI Risk Consultants, Inc.

Term = 1 year
Renewals = two 1 year terms

Keywords = Actuarial Services

Elsewhere: exhibits, amendments, signatories, jurisdiction, cover page, etc.

RecordType = Contract

RecordClass = AP/AR Contract

Retention = Expiration + 5Y

Handling = Delete after authorization

Sensitivity = Confidential (protection/redaction based on user access class)

Retain or Delete?

Into this…

"Single Pane of Glass" Dashboard View

AutoClassification: Technology + Methodology

CRAWL
Locate, ID content

- On-prem, cloud-based repositories
- Unstructured & structured repositories
- Info on who, what, where, why, how

TAG
Apply rich metadata

- Tag rich metadata, content/context
- Determine DocType, dupes/near dupes, ROT
- Tag for keywords, custom metadata

ACTION
Automate rules

- Simple/complex rules
- Apply retention schedules & legal hold
- AutoRedact PII, apply security access control

EMPLOY
Search & retrieve

- Records Retention
- Data/DSAR requests
- Legal hold
- Compliance
- Litigation
- M&A

MONITOR
For new data

- Automate processes for new & edited content (perpetual)
- Update/dynamic retention schedules
- Runs in background, no performance draw
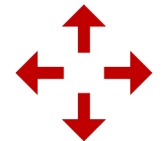
EXPAND
To other areas

- + Data repositories
- + Use cases
- + Departments
- + On-demand search & retrieval
- + Self-serve

The 6 big IG use cases

ROT REMOVAL

Full content remediation
Defensible deletion
Sophisticated Dupes handling
Integrated with records retention
Full audit & authorization history

RECORDS MANAGEMENT

All content tagged; records ID'ed
Record class & Expiration dates Retention & Disposition
Date & event triggers
Unified System of Record

DATA PRIVACY

Locate & lock down sensitive content
Respond to DSARs & RTBF
Data minimization & least privilege
Comply with sensitive/personal data management regulations

DATA BREACH

Full metadata stack for breached files
Identical/partial Dupe Detection
Rich reporting by breached party
AutoRedaction & Data anonymization

MIGRATION

Migrate to cloud data storage
Sunset old ECM & archive systems
Centralized/virtual data lake
Streamed or batch migration

DATA REQUESTS

eDiscovery/Litigation & Investigatory Legal holds
DSARs/SARs & RTBF
FOIA & KM
Contracts & customer Info

AutoClassification Examples

How it works

Auto Classifying a Contract

Local Government Property Insurance Fund
Actuarial Services Contract

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RecordType = Contract

RecordClass = AP/AR Contract

Retention = Expiration + 5Y

Handling = Delete after authorization

Sensitivity = Confidential (protection/redaction based on user access class)

Retain or Delete?

Auto Classifying ROT (junk)

"Watch list" terms

Date

+ No further content

+ Heavy graphics

+ 4,000 ID copies

RecordType = ROT

RecordClass = [None]

Retention = [None]

Handling = Delete

Sensitivity = [None]

Auto Classifying an Employee Termination Letter

Employee Termination Letter for Attendance

January 8, 2016

Mr. Eric Jacobson
Sales Representative
M & Co
20 E Utica Street
Oswego, NY 12236

Dear Mr. Jacobson:

This letter is being written to inform you of your termination as Sales Representative at M & Co owing to your poor attendance. We have sent you three written warning (copies enclosed) detailing how your behavior may eventually affect your work but you have paid no heed to any of them. Mr. Leslie Neal (Sales Supervisor) has also spoken to you personally about your tardiness but we have not seen any change in your routine.

Please understand that M & Co is a team environment and any team member who is not delivering his work brings down the efficiency of the entire company. Since you make it to work barely three times a week, teamwork is not possible. We observed that the sales campaign that you were assigned to has not produced any results – the entire team was effected due to its failure.

It is my understanding that Mr. Neal offered you an unpaid leave so that you could sort out any issues that you may be facing which have resulted in poor attendance on your part. Your refusal to accept this offer confirms that you are non-serious to your work.

Please note that this termination is effective immediately. Mr. Neal will be with you after lunch so that you can hand over your tasks and any company information that you may have in your possession.

Regards,

Primary DocType = Correspondence
Secondary DocType = Termination Letter

Employee Name = Jacobson, Eric
Employee ID = 44701 (via HRM/DB lookup)

Effective Date = 2016-01-08

Keywords = "poor attendance," "three written warnings," "tardiness"

RecordType = Termination

RecordClass = Personnel Record

Retention = Termination Date + 7Y

Handling = Delete after authorization

Sensitivity = Business Confidential

Personal Data = Yes

PD Detail = Home Address

Typical ROT & Retention Classification Tags

ROT YES/NO

- Simple umbrella classification Yes/No
- Summary of ROT Detail

ROT DETAIL

- Redundant: Identical Dupe
- Obsolete: File Extension, Past Retention, Temporary, Draft
- Trivial: Auto-Reply, Low Business Value, Non-Record, Code or Executable, Thumbnail, Logo, File Path, File Type, Logo

DUPLICATE TYPE

- Identical (Hash) Duplicate
- 99% (Functional) Duplicate
- 75-98% (Near) Duplicate
- Unique

EXPIRATION DATE

- Calculated from Date Hierarchy (differs by Records Type)
- Creation Date, Hire/Start Date, Termination Date,
- Often triggered by events

RECORD CLASS

- Based on Document Type, Source, Custodian/Author, Jurisdiction, Keywords, Personal Data/Sensitivity

RETENTION PERIOD

- Direct inherit from Record Class (Rules)

EXPIRATION HANDLING

- Automatic Deletion
- Approval Required for Deletion
- Quarantine
- Permanent Record
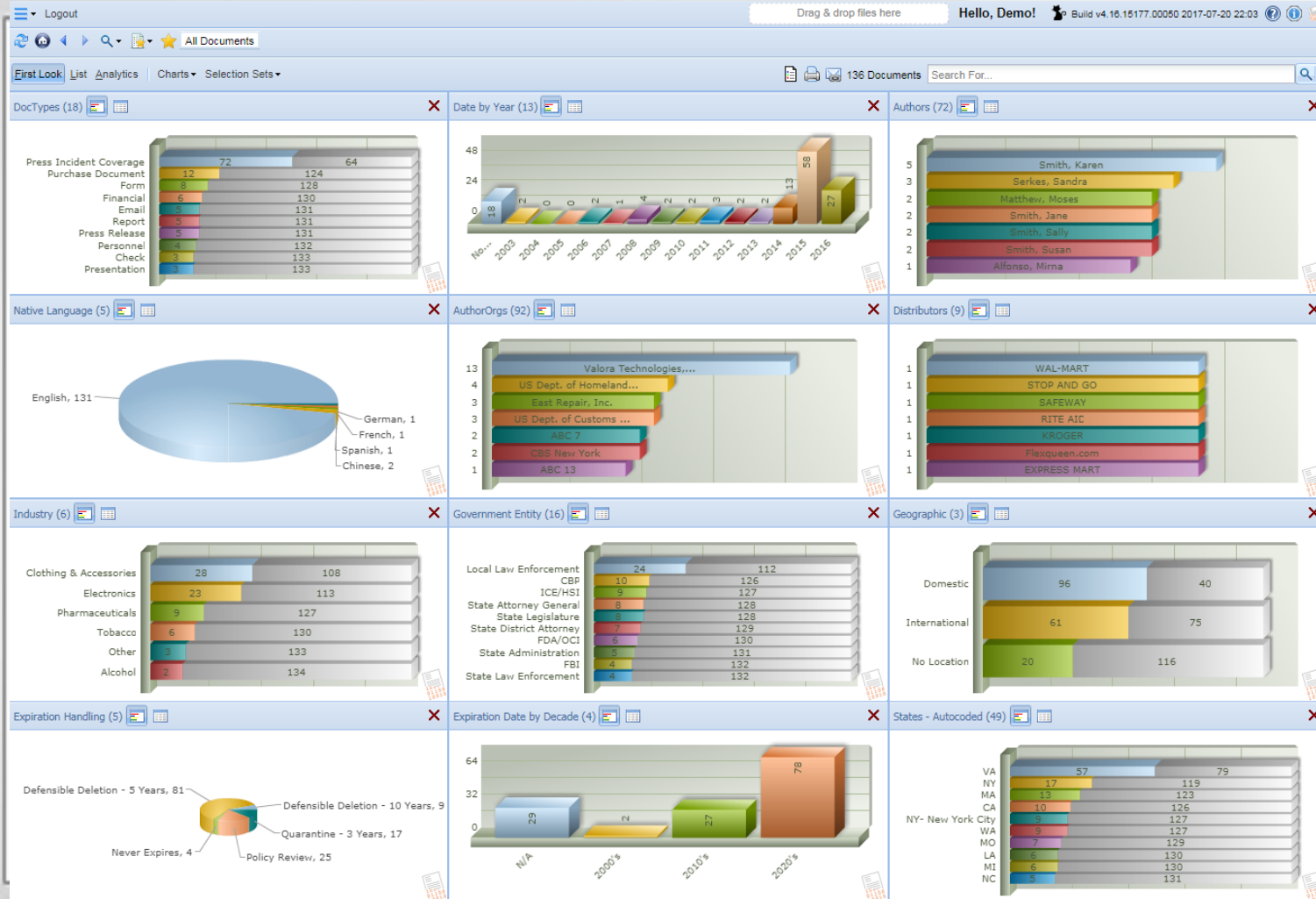
Sets up a "Single Pane of Glass" Dashboard View across all data sets

Automated Retention Handling

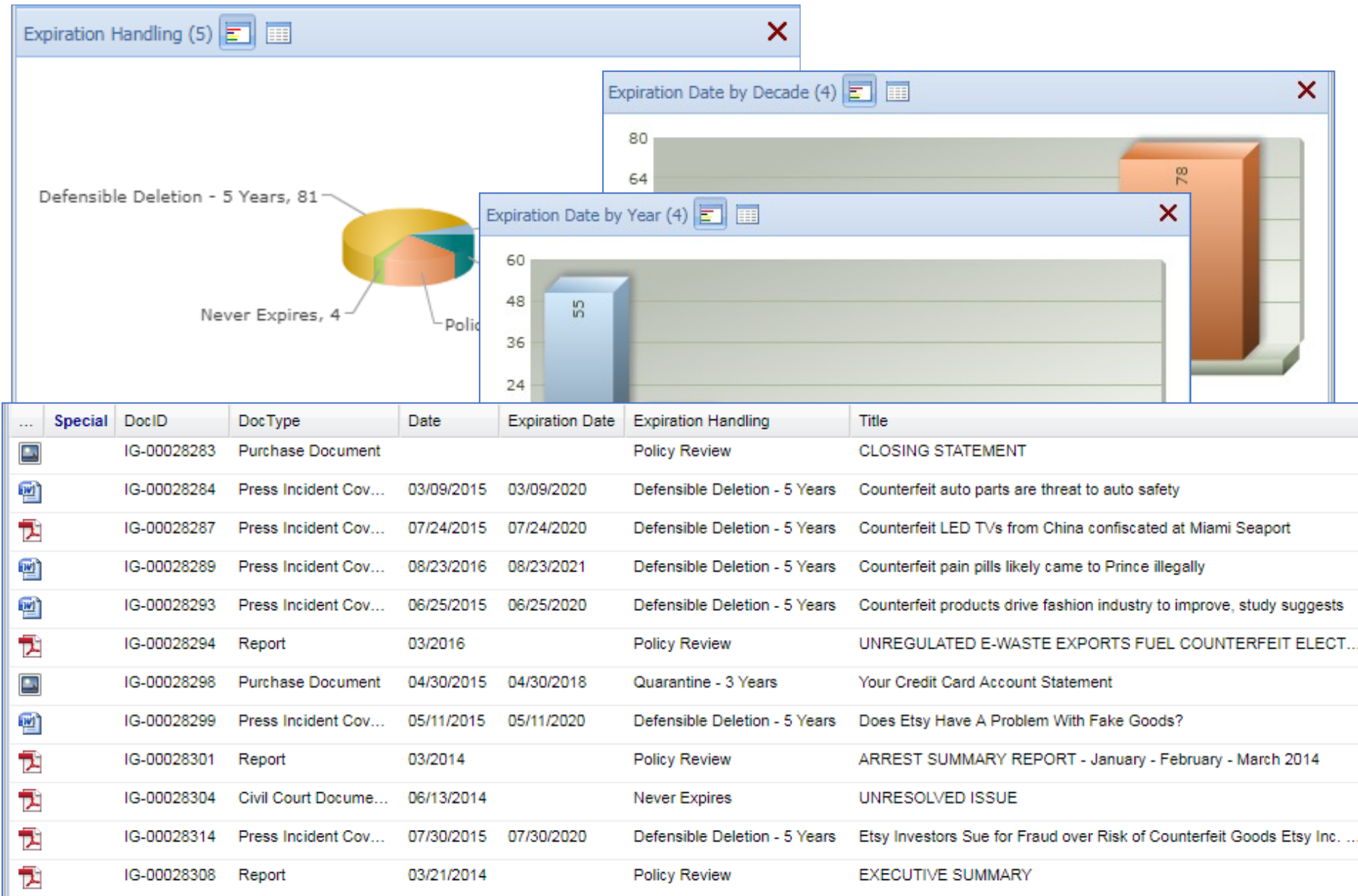| ...	Special	DocID	DocType	Date	Expiration Date	Expiration Handling	Title
		IG-00028283	Purchase Document			Policy Review	CLOSING STATEMENT
		IG-00028284	Press Incident Cov...	03/09/2015	03/09/2020	Defensible Deletion - 5 Years	Counterfeit auto parts are threat to auto safety
		IG-00028287	Press Incident Cov...	07/24/2015	07/24/2020	Defensible Deletion - 5 Years	Counterfeit LED TVs from China confiscated at Miami Seaport
		IG-00028289	Press Incident Cov...	08/23/2016	08/23/2021	Defensible Deletion - 5 Years	Counterfeit pain pills likely came to Prince illegally
		IG-00028293	Press Incident Cov...	06/25/2015	06/25/2020	Defensible Deletion - 5 Years	Counterfeit products drive fashion industry to improve, study suggests
		IG-00028294	Report	03/2016		Policy Review	UNREGULATED E-WASTE EXPORTS FUEL COUNTERFEIT ELECT...
		IG-00028298	Purchase Document	04/30/2015	04/30/2018	Quarantine - 3 Years	Your Credit Card Account Statement
		IG-00028299	Press Incident Cov...	05/11/2015	05/11/2020	Defensible Deletion - 5 Years	Does Etsy Have A Problem With Fake Goods?
		IG-00028301	Report	03/2014		Policy Review	ARREST SUMMARY REPORT - January - February - March 2014
		IG-00028304	Civil Court Docume...	06/13/2014		Never Expires	UNRESOLVED ISSUE
		IG-00028314	Press Incident Cov...	07/30/2015	07/30/2020	Defensible Deletion - 5 Years	Etsy Investors Sue for Fraud over Risk of Counterfeit Goods Etsy Inc. ...
		IG-00028308	Report	03/21/2014		Policy Review	EXECUTIVE SUMMARY

How does AutoClassification help?

IDENTIFIES & TAGS
Separates the ROT from content of business value

NO GUESSWORK
Remove inconsistencies, drudgery of manual efforts

COST SAVINGS
Storage costs, human costs

CREATES INSTRUCTION
at the content level, based on metadata & rules

PRODUCTIVITY
Maximizes human effort, increases productivity

EVERGREEN
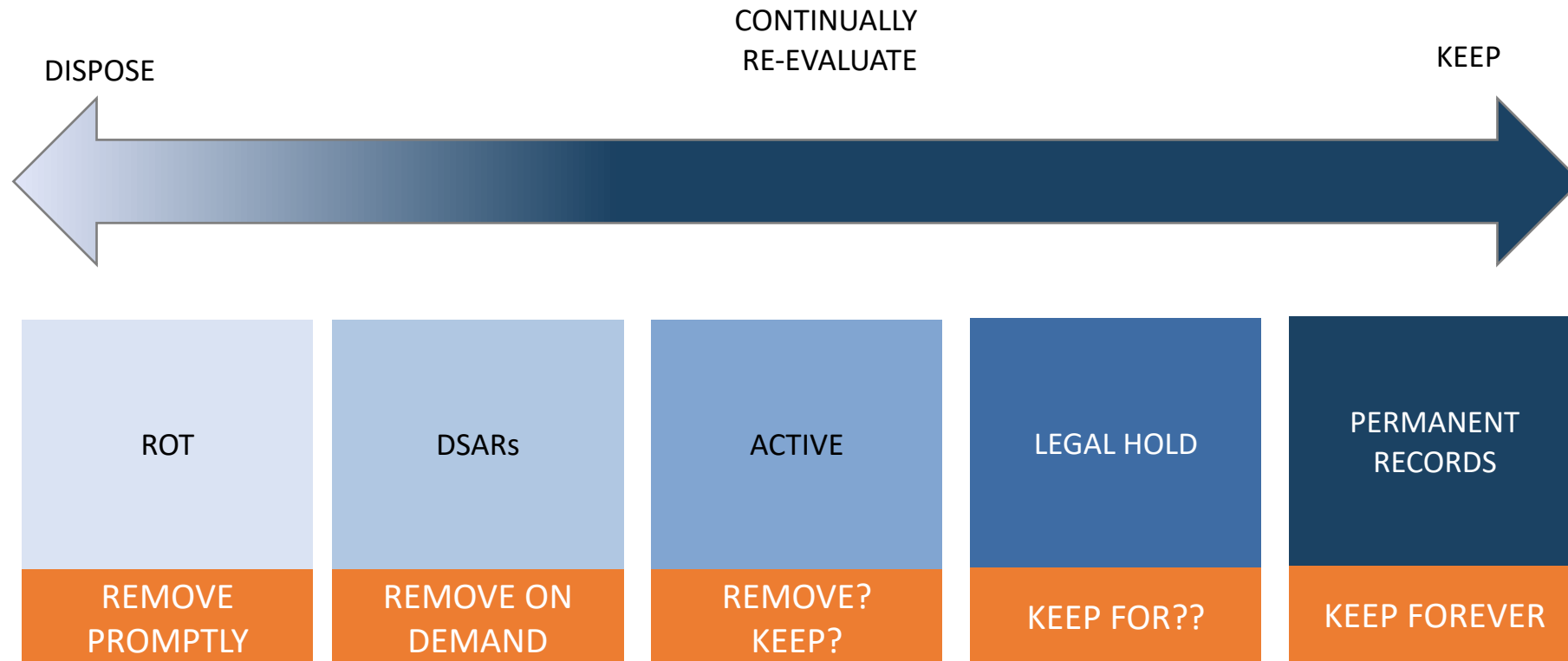*Future-proofs your data. Content is always current, clean*

DEFENSIBLE
Actions, decisions, movement & access is logged

SET IT & FORGET IT
STOP: "we really should…" it will actually get done

Retention as a Spectrum

DISPOSE ← CONTINUALLY RE-EVALUATE → KEEP

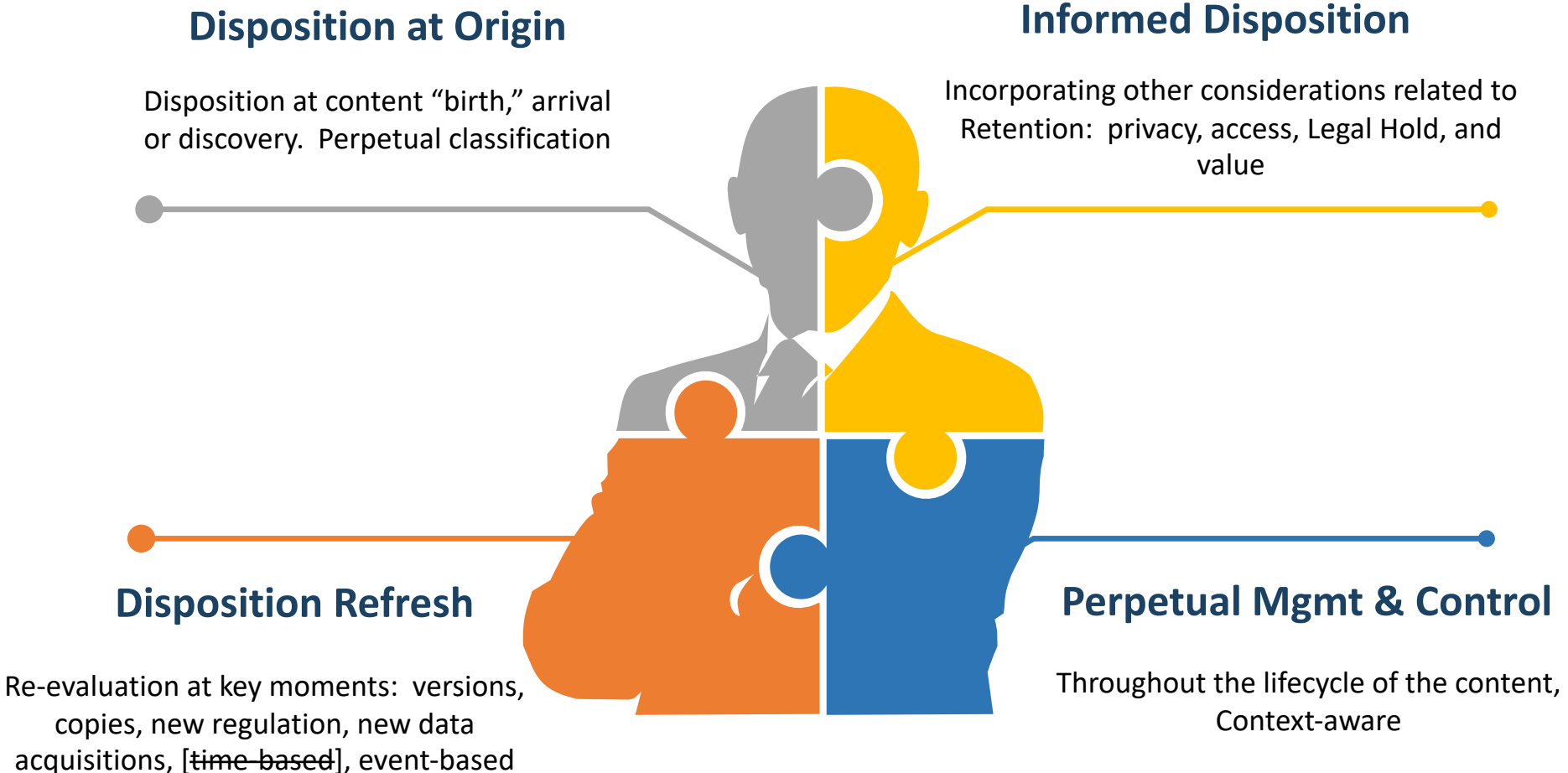| ROT	DSARs	ACTIVE	LEGAL HOLD	PERMANENT RECORDS
REMOVE PROMPTLY	REMOVE ON DEMAND	REMOVE? KEEP?	KEEP FOR??	KEEP FOREVER

Orphaned Data is a GREAT place to start:
departed employees, archives & repositories, unclassified/unknown content, collaborative worksites, paper records, email, prior litigation, M&A, breach, PII, etc.

Always On: Data Under Management

Ongoing
Constant
Perpetual
Recurring
Evergreen
Always

Disposition at Origin

Disposition at content "birth," arrival or discovery. Perpetual classification

Informed Disposition

Incorporating other considerations related to Retention: privacy, access, Legal Hold, and value

Disposition Refresh

Re-evaluation at key moments: versions, copies, new regulation, new data acquisitions, [~~time-based~~], event-based

Perpetual Mgmt & Control

Throughout the lifecycle of the content, Context-aware

Who is leading the way?

Healthcare

Managing patient records, medical images & research data. Ensuring compliance with HIPAA

Financial Services

Responsible for vast amounts of sensitive & regulated data. Compliance & data privacy are critical

Legal Services

Law firms & corporate legal departments organizing contracts, HR files, fileshares and email

Pharma & Life Sciences

Employing AutoClassification to manage research data, clinical trial documents & regulatory submissions

Govt & Public Sector

Managing public records & ensuring transparency. FOIA compliance

Energy & Utilities

AutoClassifying vast amounts of technical documents, compliance records & safety data

Case Study

Automated Records Retention for files from 100+ M&A Transactions

Case study: Oracle

- **Number of employees**: 164,000 (2023)

- **Revenue**: US$42.44 billion (2022)

- **Countries Operating in**: 175

- **Number of Customers**: 430,000

- **Acquisitions per year**:   5 – 10, 140 since 1994, Cerner 2023

- **Challenges:**

  - Organize and control millions of Personnel files received from acquired organizations

  - Execute on formal records retention polices

  - Ensure compliance going forward

Project Overview: Organize Files from 100+ M&A Transactions

The HR M&A Universe

- Over 25 years of stored files (600 GB and growing)
- From hundreds of deals, many long-past
- Stored in separate folders in on-prem repository
- Files migrated "as is" from acquired companies

Its Impact

- No centralized content controls
- Inconsistent Attribute Tagging
- Searches dependent on dedicated staff and tribal knowledge
- Challenges enforcing retention policies
- High volumes of duplicate and expired records

Why Now?

- Mass migration of content to cloud
- Loss of tribal knowledge
- Compliance requirements
- Demand for faster and easier search results
- Set the stage for Content Lifecycle Management

Phased Implementation

Phase 1
Expand
- Build Knowledge Fast -

- Core samples from 1-3 content stores
- Quick, easy analysis – what do we have?
- Limited tags: inventory, taxonomy, governance, search
- Benchmark & Forecast scope/scale
- ~ 3 months

Phase 2
Bridge
- Increase Scale & Scope -

- Process in final location w/API & network connectors
- Data from all repositories, build a baseline
- Full tagging & Rules refinement
- Scale up processing

Phase 3
Go-Forward
- Ongoing & Delta Monitoring -

- Process by priority, in final locations w/ API & network connectors
- All content: new, old, changed
- Run searches/data requests by attributes
- Actively monitor performance

Phased Implementation

Phase 4

Expand

Extend Best Practices Out

- From HR M&A to ALL of HR

- Incorporate ALL files as they arrive

- Consistent tagging, disposition, approach

- Expand ROI to entire business unit

- Timeframe = perpetual

Success with HR M&A project

- Benefits & Improvements
  - MANAGED content
  - Reduce manual effort by **95%**
  - Searches in seconds. Not days.
  - Rapid response to stakeholders

- Centralized compliance enabled

- Build once, measure and promote the benefits, refine and repeat process with other content in the organization

- Team became company role model for global RIM compliance across the board

Preaching to the Choir

Convince the masses that IG is a priority

Who will you need to get on board?

Every piece of content created has different value to each group
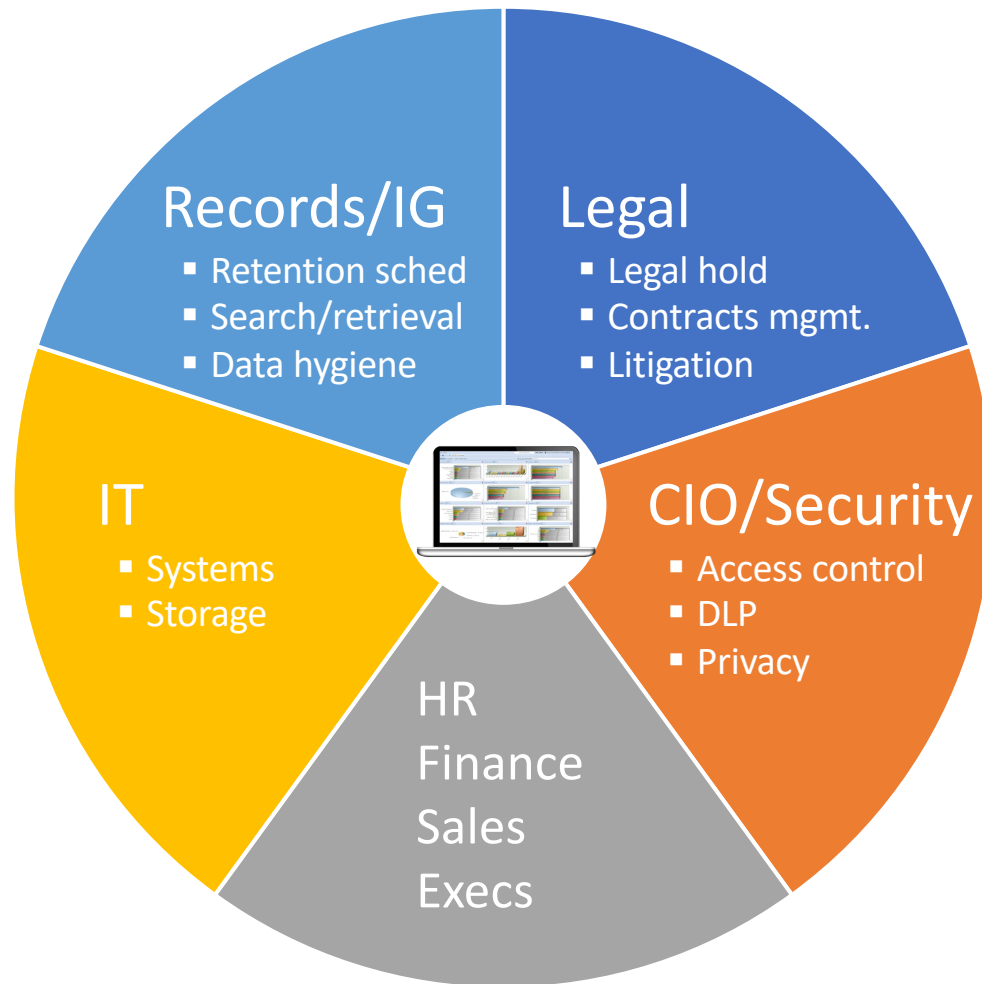
Who owns the content?

Whose goal is most important?

What poses the greatest risk?

Who owns the budget?

Common Goal: each group needs to be compliant with their mandate

"Shared content, shared goals"

Content management is <u>everyone's</u> issue

Organization and control are for the greater good

Should be a shared resource

Shared responsibility, shared cost

Common Goal: centralized management with distributed benefits

How to Get Started (how to get internal buy-in)

Pilot Use Case

Start with a compelling use case

- Quick and easy that will prove ROI quickly
- 1 content owner/ROT?
- Prove ROI

Look Forward

Always have an eye on future use cases

- What do you need for this application or use case?
- What will you need for future use cases?

Measure Results

Benchmark results and accuracy of pilot

- Accuracy of results?
- Increase guidance or seek SME?
- What reporting was useful? What else is needed?

Build on Success

Build business case on pilot alone then expand

- Prove ROI functioning system
- Where to next?
- Additional use cases running on same platform

Spread the Word

Sharing is caring, expand internally

- Host internal showcases for mgmt & other departments
- Design pilots that highlight important content, results or exposure points

How to stand up AutoClassification for Records in 10 "easy" steps

You will need:

1. An understanding of the regulations and legal basis for your requirements
2. Policies documenting how you will operate and comply
3. Executive support to implement, maintain and enhance these programs
4. Appropriate tools to execute and ensure compliance
5. Ongoing diligence and management

You will do:

1. Data inventory (aka discovery, mapping)
2. Establish tagging/retention criteria
3. Baseline tagging & disposition
4. Remove low hanging fruit (ROT, dupes, past retention, etc.)
5. Implement automated retention that is data privacy-aware (ensures data minimization)

How long does it take to set up or configure an AutoClassification tool to perform this work?

Complexity

Of your data environment: cloud, on-prem, structured, unstructured data environments

Goals & Requirements

Input from stakeholders for enterprise-wide approach to data governance.

Amount of Data

Smaller organizations with less data will be faster to process than large enterprise.

Weeks → Months

Phased Implementation

Planning	**Proof of Concept**	**Implementation**	**Delta Monitoring**
Prioritize data environments, align stakeholders, set KPIs	Limited data set to benchmark and forecast scope/scale	Implement scale to process all enterprise content	Continuously look for and process new & edited content

Weeks

Months

Q&A

Thank you

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