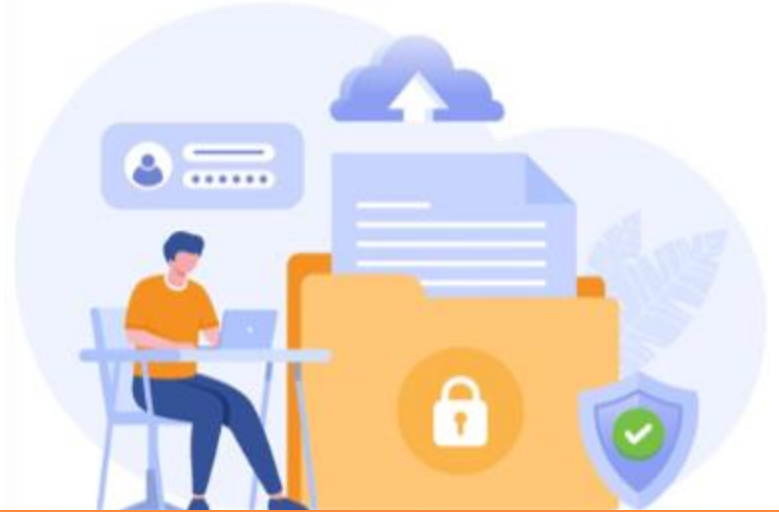




— WEBINAR SERIES —

Managing Data Privacy While Managing Records





— WEBINAR SERIES —



Sandra Serkes
Co-Founder & CEO



Jennifer Nelson
VP Strategic Solutions





ROT Remediation:
file share clean-up
February 12



AI & AC for Structured Data
Management & Disposition
May 14



Managing Data Privacy
while Managing Records
March 19



AutoClassifying the 3 Rs:
ROT, Records & Retention
September 17



Demo Day
November 12



The Role of InfoGov
in AI Readiness
April 16

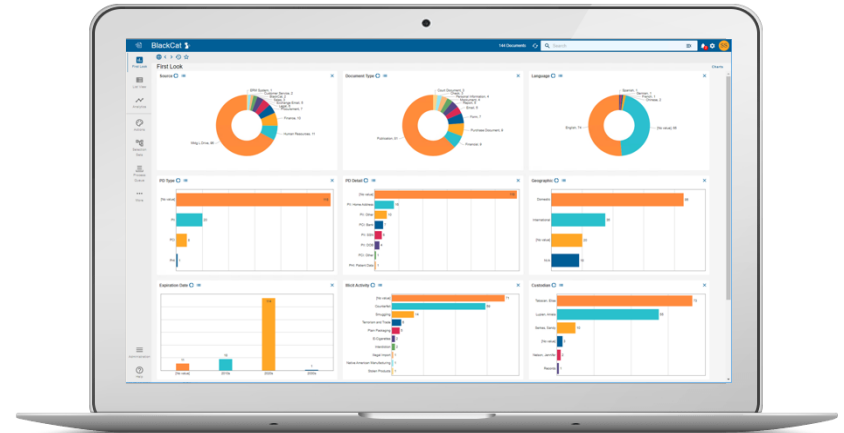


Getting Ready for
AutoClassification
October 15

www.ValoraTech.com



- Information Governance platform
- Automates **discovery**, **identification**, **classification** & defensible disposition
- Trusted by IG teams, Records & IM teams, Legal, Compliance, IT teams
- Brings multiple enterprise repositories into a single view

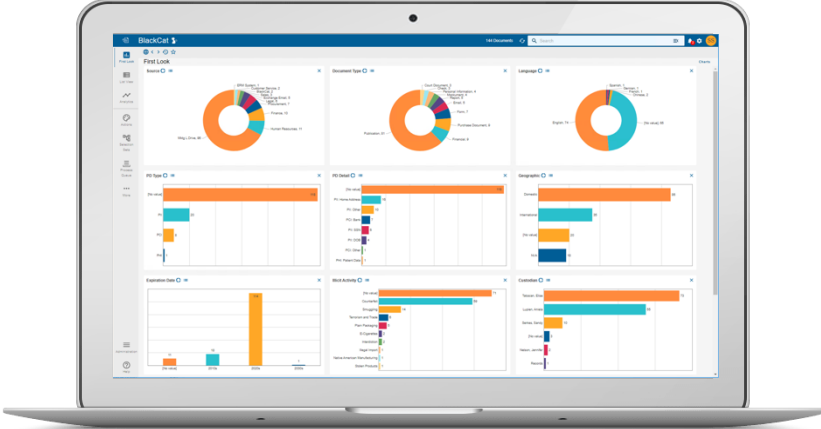




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Information Governance / Records Management

Classification ROT Retention Disposition Archive

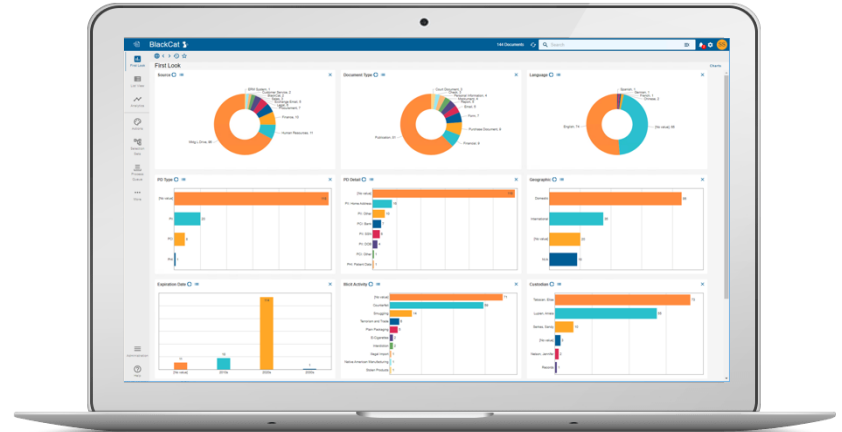




— WEBINAR SERIES —

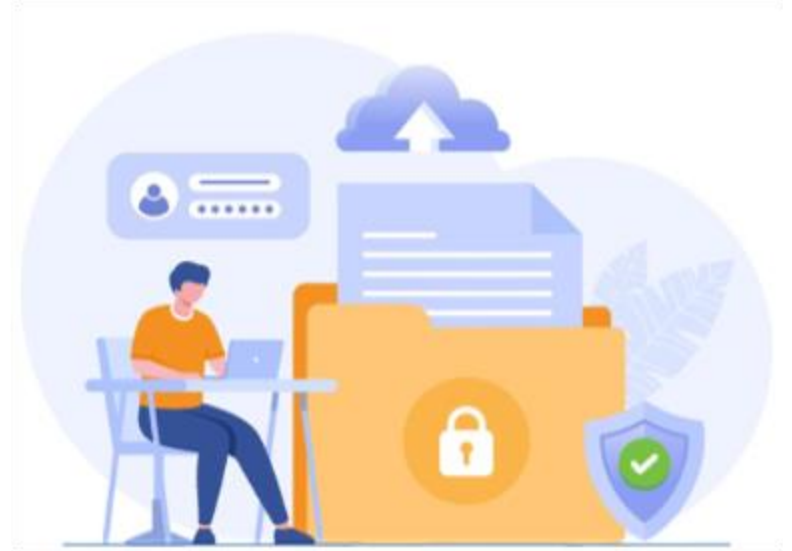
Enterprise-wide Data Governance

 Classification	 ROT	 Retention	 Disposition	 Archive
 eDiscovery	 Legal Hold	 Data Privacy	 Data Security	 Migration
 Compliance	 Minimization	 Provenance	 Lineage	 AI Readiness



Poll Results

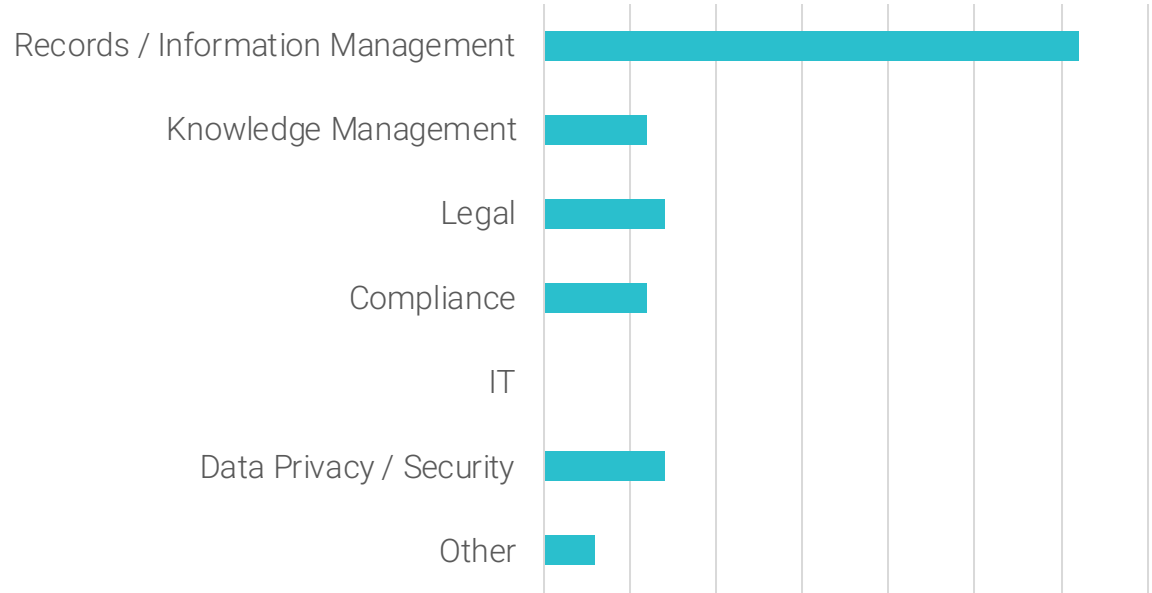
Who's here today
& what are your interests?



Who you are & what your challenges are



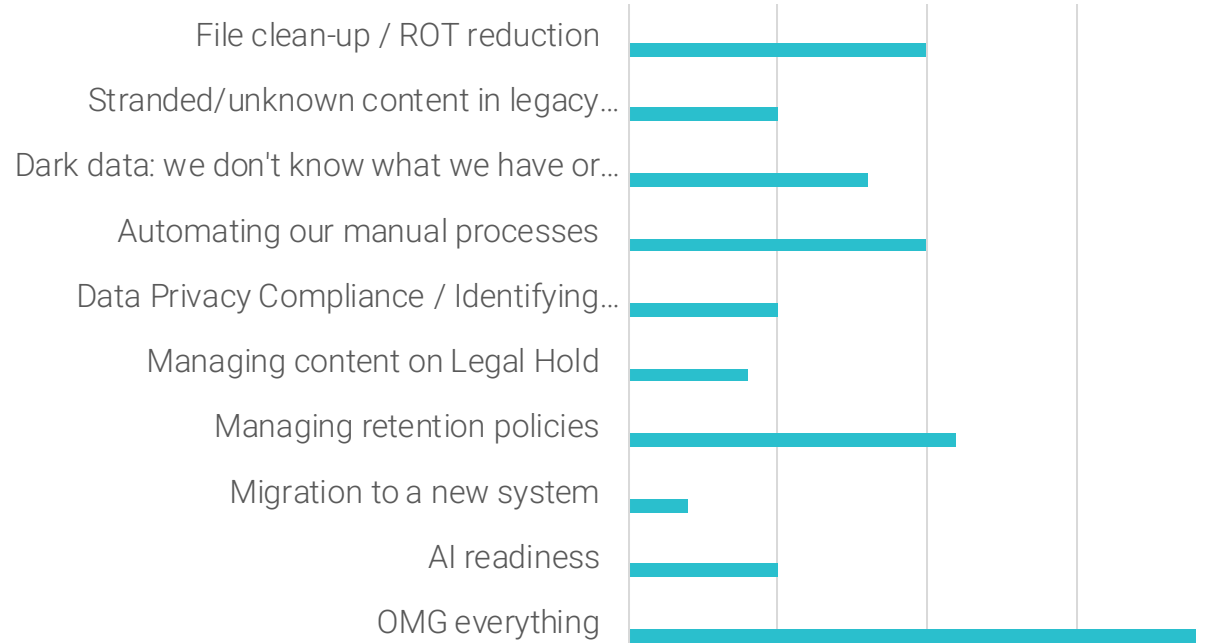
Who You Are



Who you are & what your challenges are



Your RIM & IG Challenges





Q&A



Recording

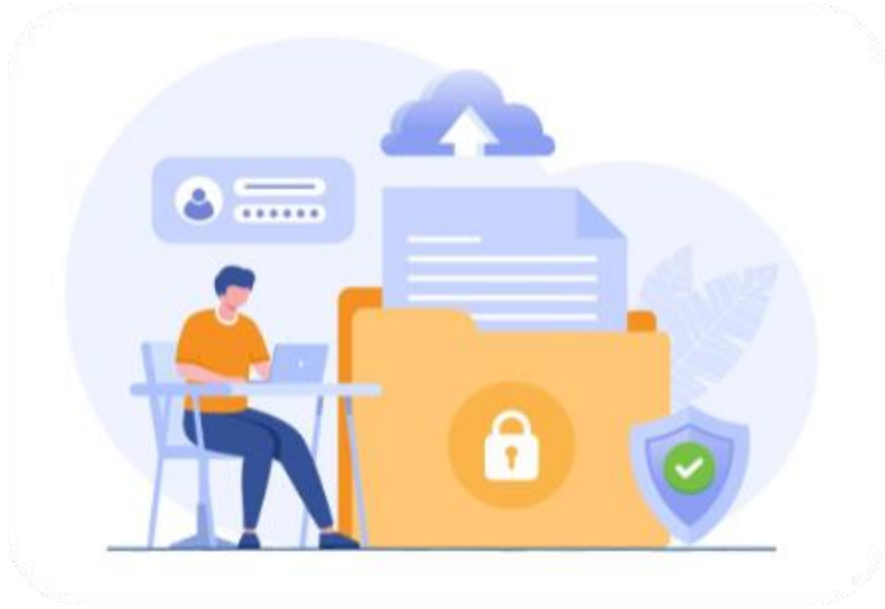


Slides



Feedback

Agenda



- What is Data Privacy & Why should I care?
- How to manage records and data privacy under one initiative
- DSARs: Data Subject Access Requests
- Spoiler Alert: AutoClassification is your friend
- How to advocate for an organization-wide collaborative approach to data privacy
- How to get started

What is Data Privacy?



Data privacy (in general) is the **right to have control** over **how your personal** information is gathered, used, kept, sold and exchanged. The primary thesis is that end-users should have the rights to know, edit, delete or direct how their information exists.



Data privacy (in the context of Information Governance) is the **proper handling of sensitive data** including personal data, financial data, health information and other confidential data to meet regulatory requirements while protecting confidentiality.



Data privacy covers: **personal data protection**, consent & notice, data minimization & purpose limitation, data provenance & lineage, **data subject access rights**, and security measures around sensitive information.

Data Privacy and Data Security are Different Things

Data Security

Encryption

Threat Monitoring

Authentication

Access Control

Breach Access and recovery

Data Loss Prevention

Data Privacy

Legislation

Policies

Best Practice

3rd party contacts

Data Governance

Global variations

	Data Security	Data Privacy
Focus	protect data from compromise by external attackers or malicious insiders	collection, use & disposal of data from or about individuals
Technical Focus	Firewalls, login/authentication, encryption, breach	Accurate & ethical data collection & management
Emphasizes	File folders & paths	File contents
Driven by	Standards & technology	Regulation & best practice
Primary Practitioners	IT & Cybersecurity	Legal, RIM & Compliance

The Four D's of Data Privacy



DATA PRIVACY

Does this information contain sensitive personal, health or credit/financial information?



DATA MINIMIZATION

Organizations should limit the data they collect to what is strictly required for a specific, legitimate purpose.



DATA PROVENANCE

What is the history, origin, context, usage and lifecycle of this information?
Is it regulated?



DATA LINEAGE

Where and how does this data flow through our organization? Is it trustworthy?

The Four D's of Data Privacy



DATA PRIVACY

Does this information contain sensitive personal, health or credit/financial information?



DATA MINIMIZATION

Organizations should limit the data they collect to what is strictly required for a specific, legitimate purpose.



DATA PROVENANCE

What is the history, origin, context, usage and lifecycle of this information?
Is it regulated?



DATA LINEAGE

Where and how does this data flow through our organization? Is it trustworthy?

What is a “lawful basis” under which you can collect/analyze/use/transform/report/manage data?

- “Lawful basis” means a legitimate reason or legal justification that allows an organization to collect, process, and use personal data, as established by regulations to ensure that privacy rights are respected and that personal data is handled in a transparent and appropriate manner
- Organizations are *required* to determine their appropriate lawful basis for collecting/having/processing personal data and to document this justification
- Below are GDPR’s defined lawful bases for processing personal data:



Consent



Contractual
Necessity



Legal
Obligation



Vital
Interests



Legitimate
Interests



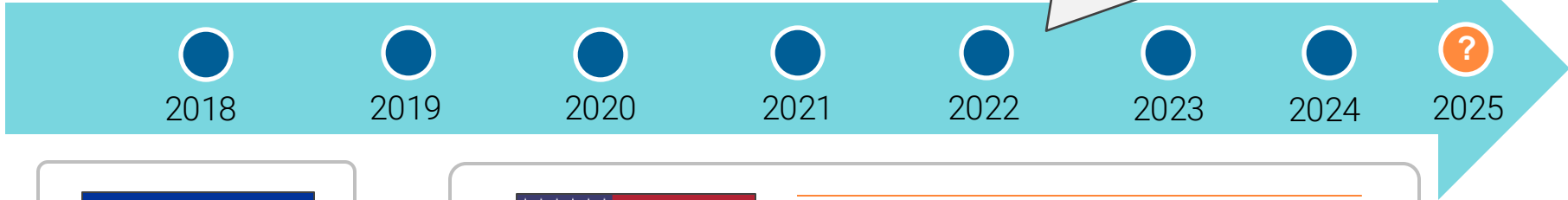
Public
Task



Special
Categories
of Data

Data Privacy Regulations

There were efforts to pass a comprehensive federal data privacy law, like the American Privacy Rights Act of 2024 (APRA), but they ultimately failed to advance.



GDPR
General Data
Protection Regulation



Federal laws that regulate industry-specific data, but no current federal data privacy law in the US

- HIPAA, Health Insurance Portability & Accountability Act: communication of health data
- FCRA, Fair Credit Reporting Act: information in your credit report, who can see it
- FERPA, Family Educational Rights & Privacy Act: who can request to see student records
- GLBA, Gramm-Leach-Bliley Act: how consumer financial products share data
- COPPA, Children’s Online Privacy Protection Rule: limits data collection for children under 13

Individual states are passing privacy bills in lieu of a federal law

Why is this important now?

Get to know IAPP

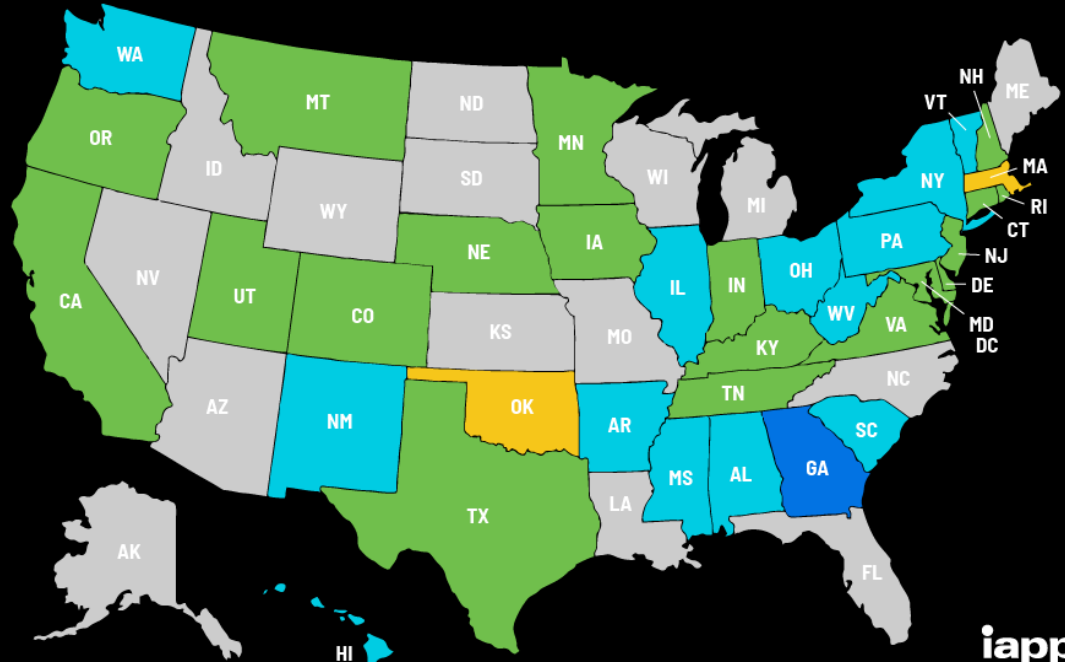
Status of data
privacy regulations
in the US
(March 2025)

<https://iapp.org/resources/article/us-state-privacy-legislation-tracker/>

US State Privacy Legislation Tracker 2025

Statute/bill in legislative process

- Introduced
- In committee
- In cross chamber
- In cross committee
- Passed
- Signed
- Inactive bills
- No comprehensive bills introduced



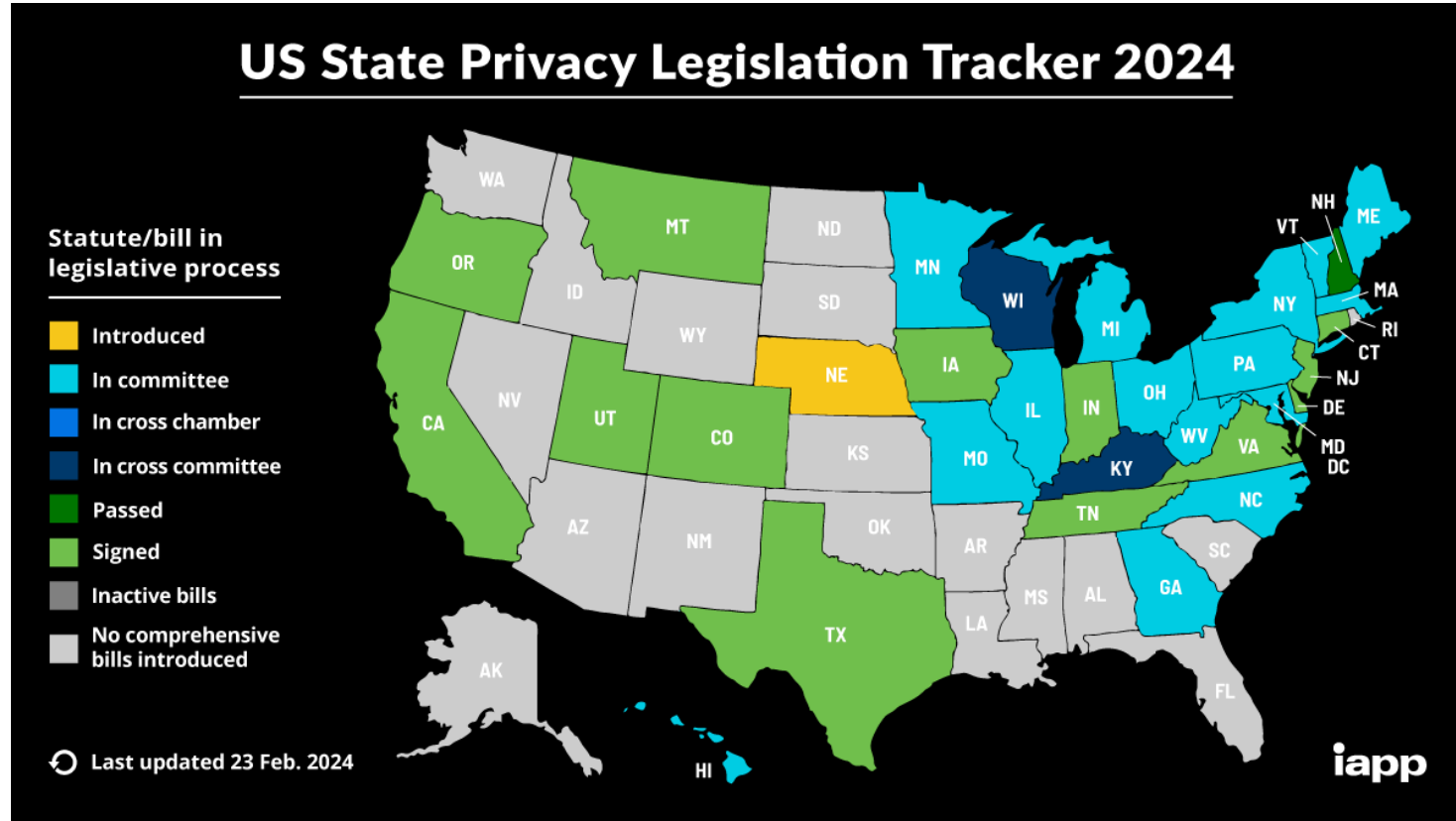
Last updated 10 Mar. 2025

Why is this important now?

Get to know IAPP

Status of data
privacy regulations
in the US
(Feb 2024)

1 year ago



Comprehensive Consumer Privacy Bills

Why is this important now?

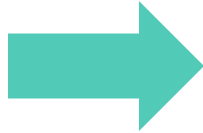
- Stop thinking data privacy is “someone else’s problem”
- Just like eDiscovery, this will become a RIM/IG “problem”
- Still time to get on top of it

https://iapp.org/media/pdf/resource_center/State_Comp_Privacy_Law_Chart.pdf

State	Legislative process	Statute/bill	Common name	Consumer rights								Business obligations				
				Right to access	Right to correct	Right to delete	Right to opt out of certain processing	Right to portability	Right to opt out of sales	Right to opt in for sensitive data processing	Right against automated decision-making	Private right of action	Opt-in default (requirement age)	Notice/transparency requirement	Risk assessments	Prohibition on discrimination (exercising rights)
LAWS SIGNED (TO DATE)																
California		CCPA	California Consumer Privacy Act (2018; effective 1 Jan. 2020)	X	X	X	S	X	X	X	L	16	X	X	X	X
Colorado		SB 190	Colorado Privacy Act (2021; effective 1 July 2023)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
Connecticut		SB 6	Connecticut Data Privacy Act (2022; effective 1 July 2023)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
Delaware		HB 154	Delaware Personal Data Privacy Act (2023; effective 1 Jan. 2025)	X	X	X	P	X	X	X	X	17	X	X	X	X
Indiana		SB 5	Indiana Consumer Data Protection Act (2023; effective 1 Jan. 2026)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
Iowa		SF 262	Iowa Consumer Data Protection Act (2023; effective 1 Jan. 2025)	X	X	X	X	X	X	X	X	S/13	X	X	X	X
Kentucky		HB 15	Kentucky Consumer Data Protection Act (2024; effective 1 Jan. 2026)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
Maryland		SB 541	Maryland Online Data Privacy Act (2024; effective 1 Oct. 2025)	X	X	X	P	X	X	X	X	13	X	X	X	X
Minnesota		HF 4757	Minnesota Consumer Data Privacy Act (2024; effective 31 July 2025)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
Montana		SB 384	Montana Consumer Data Privacy Act (2023; effective 1 Oct. 2024)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
Nebraska		LB 1074	Nebraska Data Privacy Act (2024; effective 1 Jan. 2025)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
New Hampshire		SB 255	(2024; effective 1 Jan. 2025)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
New Jersey		SB 332	(2024; effective 15 Jan. 2025)	X	X	X	P	X	X	X	X-	S/13	X	X	X	X
Oregon			Oregon Consumer Privacy Act													

“Traditional” Records Management; Historically, why were you unable to delete ROT?

- “No tools.” (Delete, delete, delete...)
- “Can’t find it, ROT is mixed in with the good stuff.”
- No one will let us delete things.



No real penalty to “just keep forever” (and violate our RRS, but ok)

Now, there are real consequences
to not deleting data that is supposed to be deleted (past retention), and that we
said we would delete/retain for only X purposes or time period.

We are now out of compliance (not just sloppy).

Meh, so we're out of compliance what's the big deal?

- Meta - \$1.4 billion
with the Texas Attorney General for unlawful collection of biometric data, **the largest ever privacy settlement in the U.S.**
- California Consumer Privacy Act (CCPA)
= \$2,500 - \$7,500 per individual violation
- Colorado Privacy Act (CPA)
= \$2,000 - \$20,000 per individual violation
= CPA violation is treated as a deceptive trade practice under another Colorado law: the Colorado Consumer Protection Act





Is it Privacy?
Is it RM/IG?

Organization's data ~~privacy~~ responsibilities



DATA PRIVACY

What sensitive data do we have?

Where is sensitive data located?

Who has access to sensitive data?

Are we **handling** sensitive data correctly?

What sensitive data is **accessible** that shouldn't be?

Can I **produce** the relevant information when a DSAR request is made?



RECORDS MANAGEMENT

What information do we have?

Where is our data located?

Who has access to what data?

Are we **handling** our corporate data correctly?

What corporate data is **accessible** that shouldn't be?

Can I **produce** the relevant information when a request is made?

ROT & Retention Classification Tags



ROT YES/NO

Simple umbrella classification Yes/No
Summary of ROT Detail



DUPLICATE TYPE

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



RECORD CLASS

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



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



RETENTION PERIOD

- Direct inherit from Record Class (Rules)



EXPIRATION DATE

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



EXPIRATION HANDLING

- Automatic Deletion
- Approval Required for Deletion
- Quarantine
- Permanent Record

Data Privacy Classification Tags



PERSONAL DATA YES/NO

Simple umbrella classification Yes/No
Summary of PD Detail



PERSONAL DATA TYPE

- PII, PHI, PCI
- SSN, DOB, Personal Address or Phone number
- Financial, CC, bank account info
- MRN, medical data, diagnoses, reports



SENSITIVITY

- Highly Confidential, Confidential, Private, Public



DOCUMENT TYPE

- Contract, Correspondence, Graphic, Financial, Transactional, etc.
- Record ID & Record Class
- Attachments and related files
- Source location
- Record holder or custodian



RETENTION PERIOD

- Direct inherit from Record Class (Rules)



EMPLOYEE INFORMATION

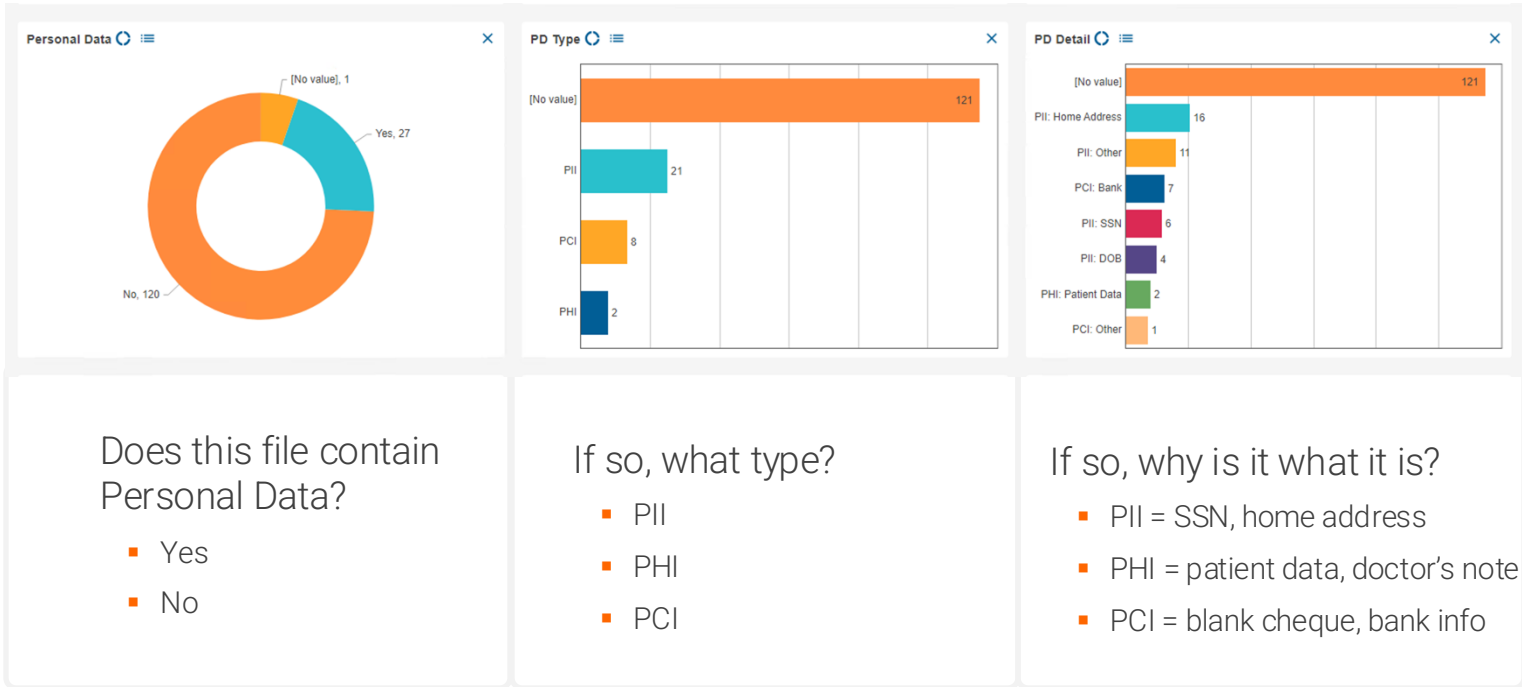
- Employee Name, Employee #
- Hire/Start Date, Termination Date,
- Compensation information



EXPIRATION HANDLING

- Automatic Deletion
- Approval Required for Deletion
- Quarantine
- Permanent Record

Personal data: know where it is & what it is



Does this file contain Personal Data?

- Yes
- No

If so, what type?

- PII
- PHI
- PCI

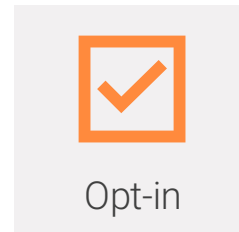
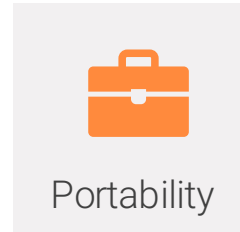
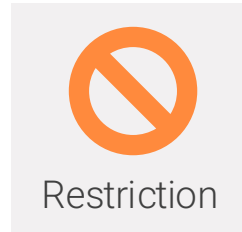
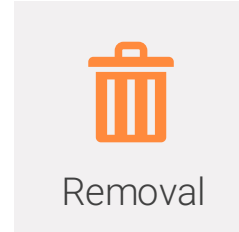
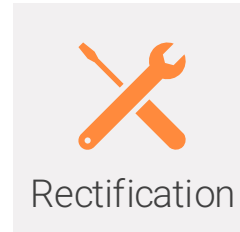
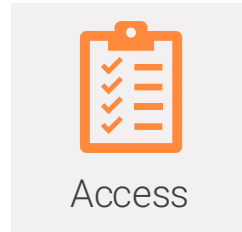
If so, why is it what it is?

- PII = SSN, home address
- PHI = patient data, doctor's note
- PCI = blank cheque, bank info

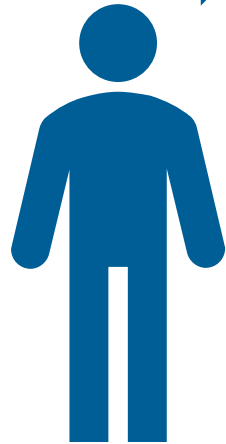


DSARs: Data Subject Access Requests

DSAR request



DSAR request



Delete my data

We need to delete this guy's data. We have 30 days to respond.



OK, gimme a sec. I'm going to search every system we have

Wait, some of these are records. We need to keep those for 7 years.

Wait, some are customer lists that have other customers' data

Wait, we can't delete this, some of this stuff is under legal hold

Privacy and Records must co-exist



How do DSARs effect (interfere with) RIM/IG?

- DSARs can mess up normal retention/disposition timing
- They supersede ROT removal and other time vs. value calculations?



Who wins? a potential boardroom brawl

- Records Retention
- Legal Hold
- DSAR



Resolution Outcomes are different in different jurisdictions

- Notably EU vs. US
- Setting up a lot of “it depends”



So how do you do it?
Enter: AutoClassification

How can tools like AutoClassification help establish, manage and maintain the principles of data privacy?

AutoClassification tools can play a significant role in establishing, managing, and maintaining the principles of data privacy within an organization. These tools use automated processes, machine learning, and predefined rules to categorize and classify data based on its content, context, and relevance.



Identification of Sensitive Data



Data Classification



Data Retention Policies



Access Control & Permissions



Data Minimization in Backup & Archives



Data Discovery & Mapping



Compliance with Privacy Regulations



Data Incident Response




Policy Enforcement



Regular Auditing & Monitoring

AutoClassifying Documents Goes From This..

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

To 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.

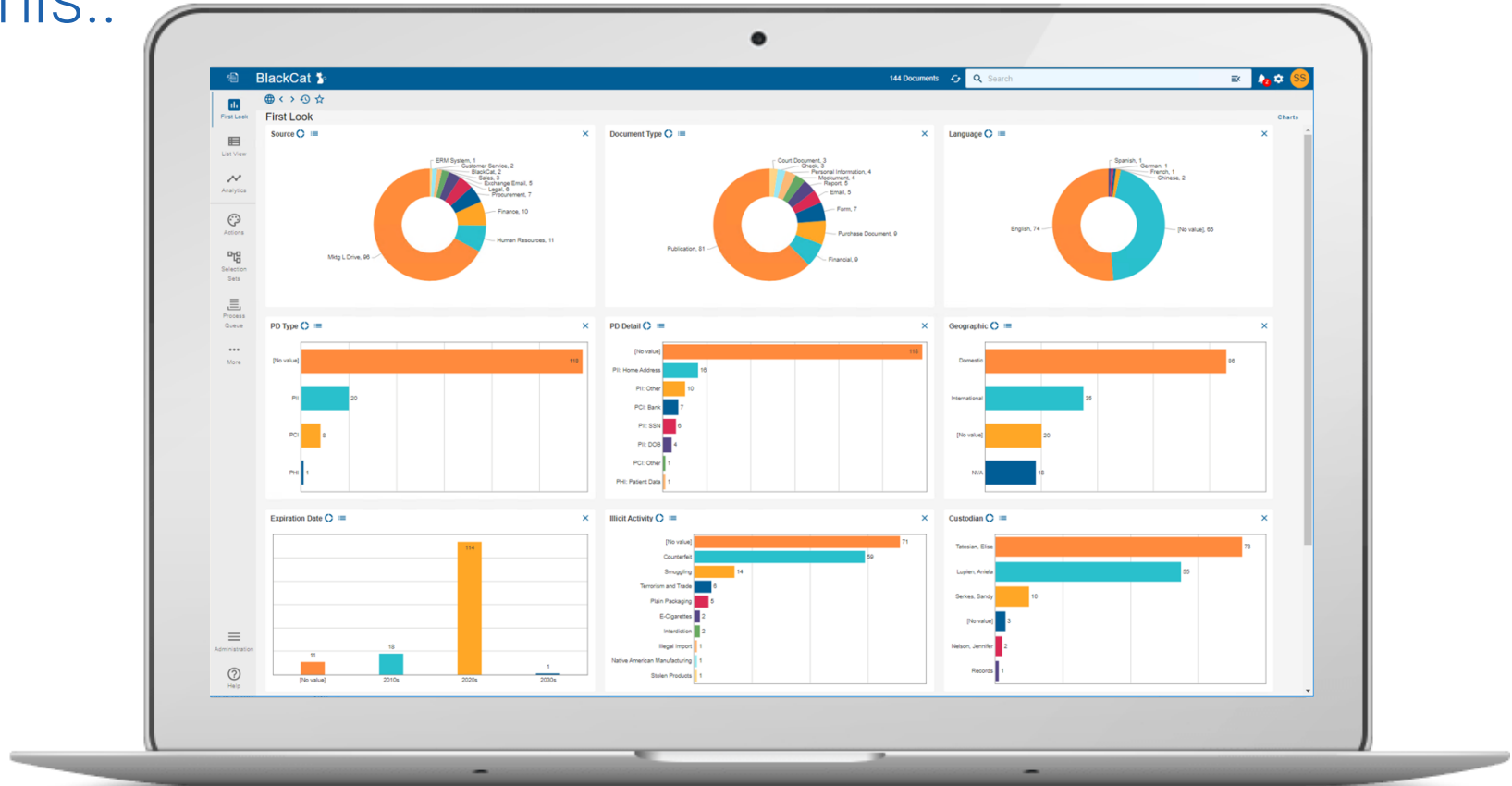
Term = 1 year
Renewals = two 1 year terms

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?

To This..



Auto Classifying a Contract (PII)

Uniform Residential Loan Application

This application is designed to be completed by the Applicant(s) with the Lender's assistance. Applicants should complete this form as "Borrower" or "Co-Borrower" as applicable. Co-borrower information must also be provided (and the appropriate box checked) when the income or assets of a person other than the Borrower (including the Borrower's spouse) will be used as a basis for loan qualification or the income or assets of the Borrower's Spouse will not be used as a basis for loan qualification, but his or her liabilities must be considered because the Borrower resides in a community property state, or the security property is located in a community property state, or the Borrower is relying on other property located in a community property state as a basis for repayment of the loan.

If this is an application for joint credit, Borrower and Co-Borrower each agree that we intend to apply for joint credit (sign below):

Borrower		Co-Borrower		Interest Only			
I. TYPE OF MORTGAGE AND TERMS OF LOAN							
Mortgage Applied for:	<input type="checkbox"/> V.A. <input type="checkbox"/> Conventional <input type="checkbox"/> Other (explain):	Agency Case Number		Lender Case Number			
	<input checked="" type="checkbox"/> FHA <input type="checkbox"/> USDA/Rural Housing Service						
Amount	Interest Rate	No. of Months	Amortization Type:	Other (explain):			
\$ 625,000.00	6.5%	360	<input checked="" type="checkbox"/> Fixed Rate <input type="checkbox"/> Other (explain):	ARM (type):			
			GPM				
II. PROPERTY INFORMATION AND PURPOSE OF LOAN							
Subject Property Address (street, city, state, ZIP)					No. of Units		
5421 Talahassee Place, Perry FL 32347							
Legal Description of Subject Property (attach description, if necessary)					Year Built		
					1984		
Purpose of Loan	<input type="checkbox"/> Purchase <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Other (explain):	Property will be:		Investment			
	<input type="checkbox"/> Refinance <input type="checkbox"/> Construction-permanent	<input checked="" type="checkbox"/> Primary Residence <input type="checkbox"/> Secondary Residence					
Complete this line if construction or construction-permanent loan							
Year Lot Acquired	Original Cost	Amount Existing Liens	(a) Present Value of Lot	(b) Cost of Improvements	Total (a + b)		
Complete this line if this is a refinance loan							
Year Acquired	Original Cost	Amount Existing Liens	Purpose of Refinance	Describe Improvements made	<input type="checkbox"/> made <input checked="" type="checkbox"/> to be made		
1996	\$ 375,000	\$ 402,500	Cash-Out/Home Improvement	Add-on two-car garage	Cost: \$20,000		
Title will be held in what Name(s)			Manner in which Title will be held	Estate will be held in:			
Brady and Wilma Schleshenger			Tenants in common	<input checked="" type="checkbox"/> Fee Simple <input type="checkbox"/> Leasehold (show expiration date)			
Source of Down Payment, Settlement Charges and/or Subordinate Financing (explain)							
Borrower			Co-Borrower				
III. BORROWER INFORMATION							
Borrower's Name (include Jr. or Sr. if applicable)			Co-Borrower's Name (include Jr. or Sr. if applicable)				
Brady G. Schleshenger			Wilma B. Schleshenger				
Social Security Number	Home Phone (not area code)	DOB (MM/DD/YYYY)	Yes School	Social Security Number	Home Phone (not area code)	DOB (MM/DD/YYYY)	Yes School
562-55-5594	(954) 986-9985	04/11/1969	2	548-32-9555	(954) 986-9985	02/16/1978	15
<input checked="" type="checkbox"/> Married <input type="checkbox"/> Single <input type="checkbox"/> Divorced, widowed	Dependents (not listed by Co-Borrower) no.	1	Age	17	<input checked="" type="checkbox"/> Married <input type="checkbox"/> Unmarried (include single, divorced, widowed)	Dependents (not listed by Borrower) no.	
<input type="checkbox"/> Separated				<input type="checkbox"/> Separated			

Clear PII: SSN

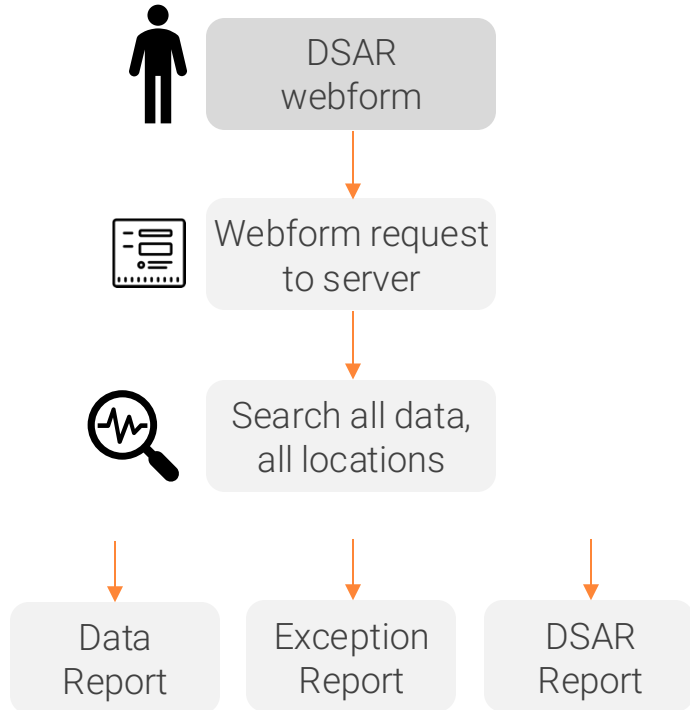
Likely PII: ("warning sign")

Clear PII: Home Phone Number

Not PII: Interest Rate

► Implied classification: Active PII, needs protection & redaction

DSAR Request Workflow



The screenshot shows the Stark Industries website header with the logo and navigation menu (Residential, Business, Pay Bill, See Schedule, Support, About). A search bar is visible in the top right. Below the header is a large image of several fighter jets in flight. The main content area is titled "Data Request Form" and contains the following fields and options:

First Name: _____ Email: _____
Last Name: _____ Phone: _____
Account #: _____
Service Address: _____

Select all that apply:

- Request for disclosure (tell me about my data)
- Request for access (give me my data)
- Request for deletion (delete my data)

Preferred way for feedback on the request:

- Email
- In writing at Service Address

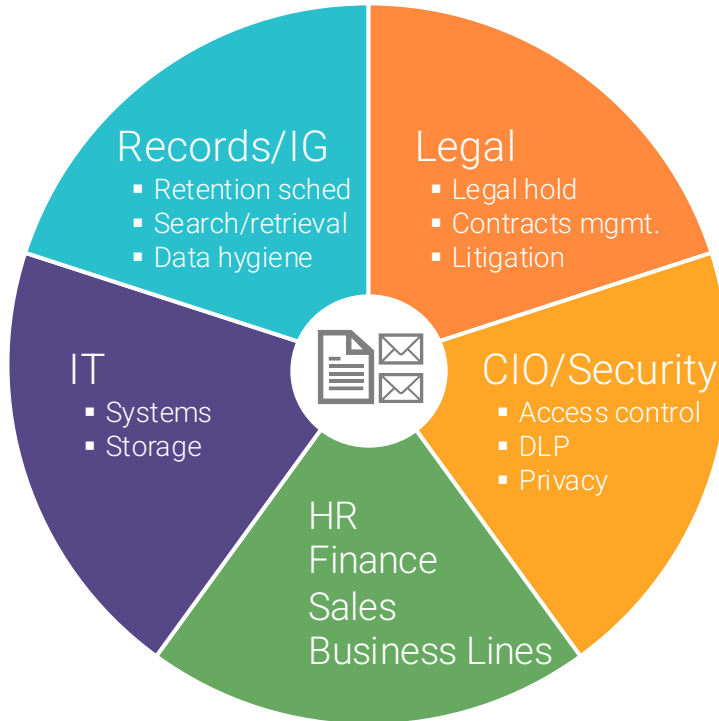
SUBMIT



Where & How to Start:

How to get
your org on board

Who will you need to get on board?

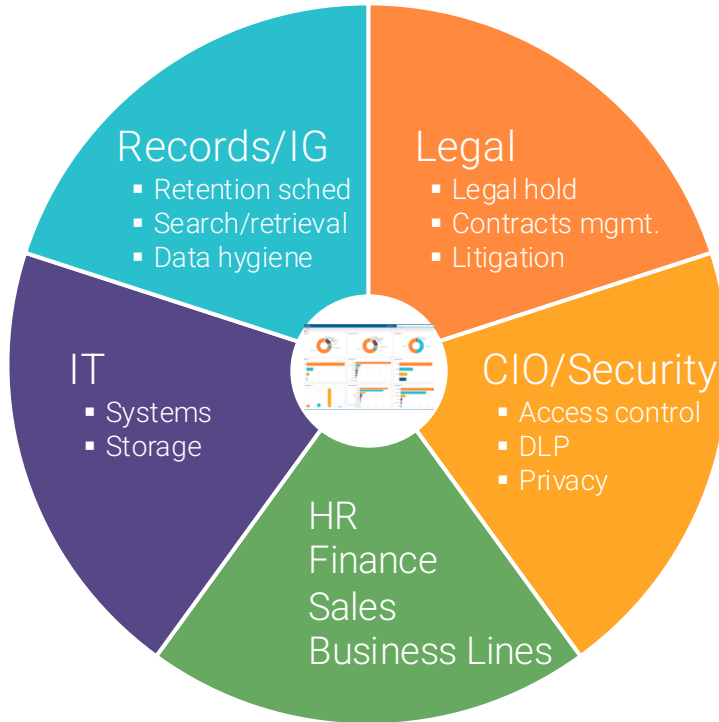


Every piece of content created has different value to each group

- ✓ 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 and data privacy within your organization is everyone's 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 stand up a data privacy program in 10 “easy” steps



What you'll 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](#)



What you'll get:

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)

Recommendations: How & where to start

Pilot Use Case

Start with a compelling use case

- Quick and easy that will prove ROI quickly
- Highest risk?
- 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



Cool. How long is that going to take?



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

Prioritize data environments, align stakeholders, set KPIs



Proof of Concept

Limited data set to benchmark and forecast scope/scale



Implementation

Implement scale to process all enterprise content



Delta Monitoring

Continuously look for and process new & edited content

Weeks

Months



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Q&A

Thank you



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