Valora Technologies

— WEBINAR SERIES —

Beyond Policy:

Principals & Guardrails for AI Governance



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Perfect Policies

Webinar Series



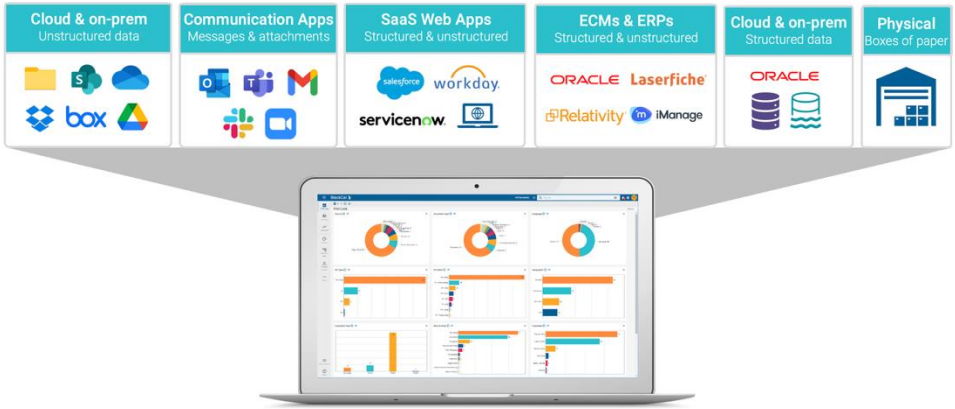
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- ROT Remediation: File Share Clean-up — January 21
- Letting the Robots Classify: Automating IG — February 18
- AutoClassifying the 3 Rs: ROT, Records & Retention — March 18
- Structured Data Management & Disposition — April 15
- 10 Ways AutoClassification Can Impact AI — May 13
- How AC Transforms Enterprise Search — June 17
- From Observational to Operational Governance — July 23
- Unhostaging Your Data: Reclaiming Control — August 19
- Managing Data Privacy & While Managing Records — September 23
- What Happens When the AI Model Collapses — October 21
- AI Policy & Governance with Lewis Eisen — November 18
- AutoClassification & AI Trends in Enterprise — December 16

About Valora



- Information Governance platform / IG layer
- 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, and multiple IG use cases under one umbrella



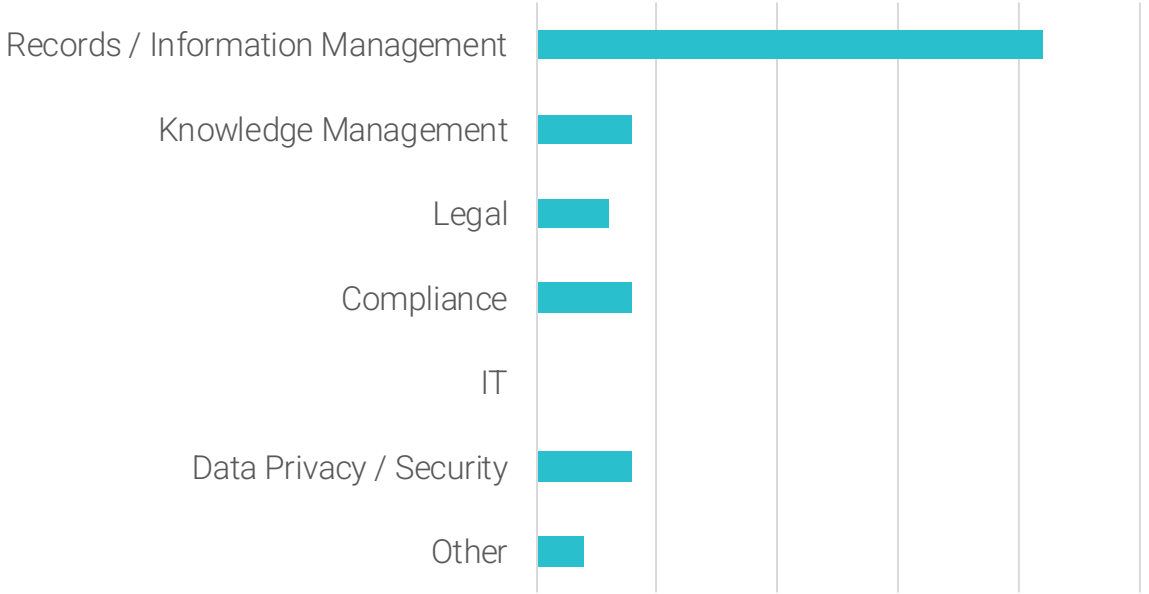
Poll Results

Who’s here today
& what are your interests?



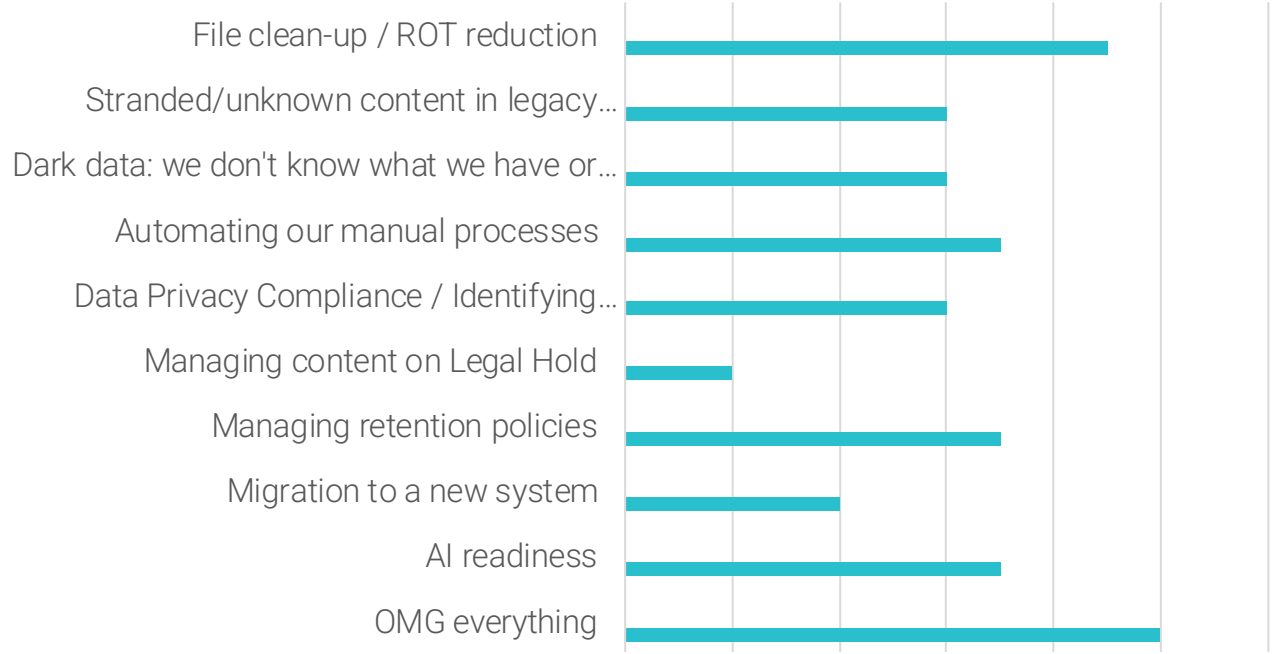
Who you are & what your challenges are

Who You Are



Who you are & what your challenges are

Your RIM & IG Challenges



Housekeeping



Q&A

Recording

Slides

Feedback

Today’s Conversation



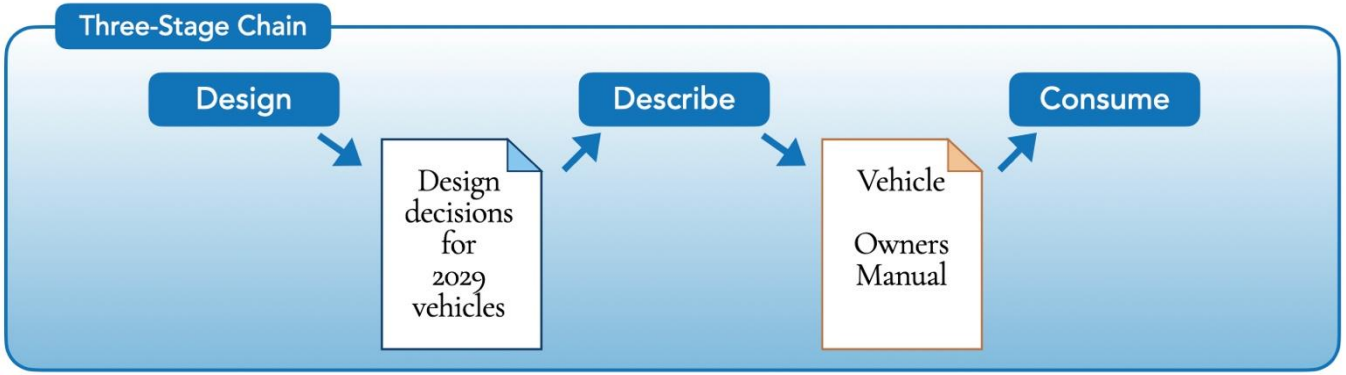
- What AI reveals about existing governance
- Why strategy comes before policy
- How principles become practical guardrails
- What meaningful oversight and evidence look like
- Where to begin

AI Puts Existing Governance to the Test

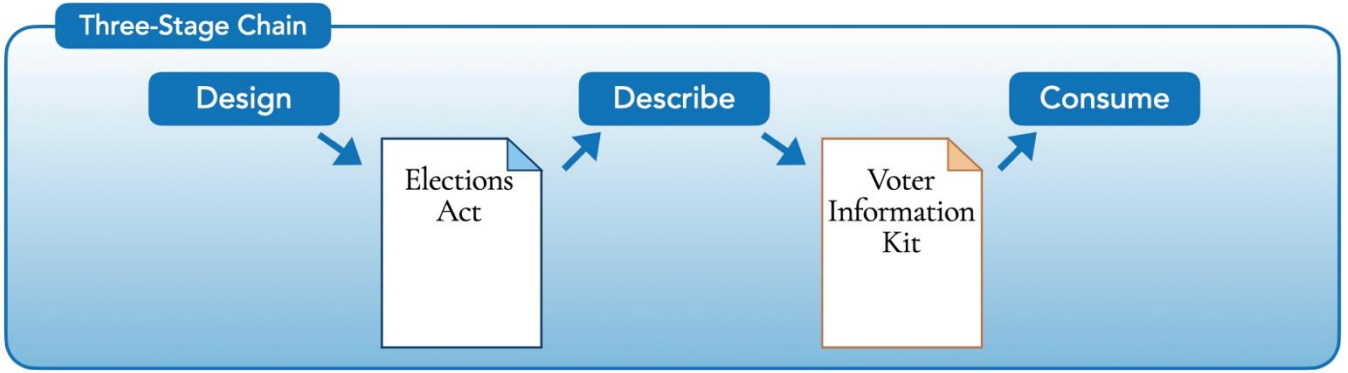


- Can we trust the information going in, and coming out?
- AI amplifies gaps in ownership, quality, and accountability.
- Autonomous action raises the stakes.

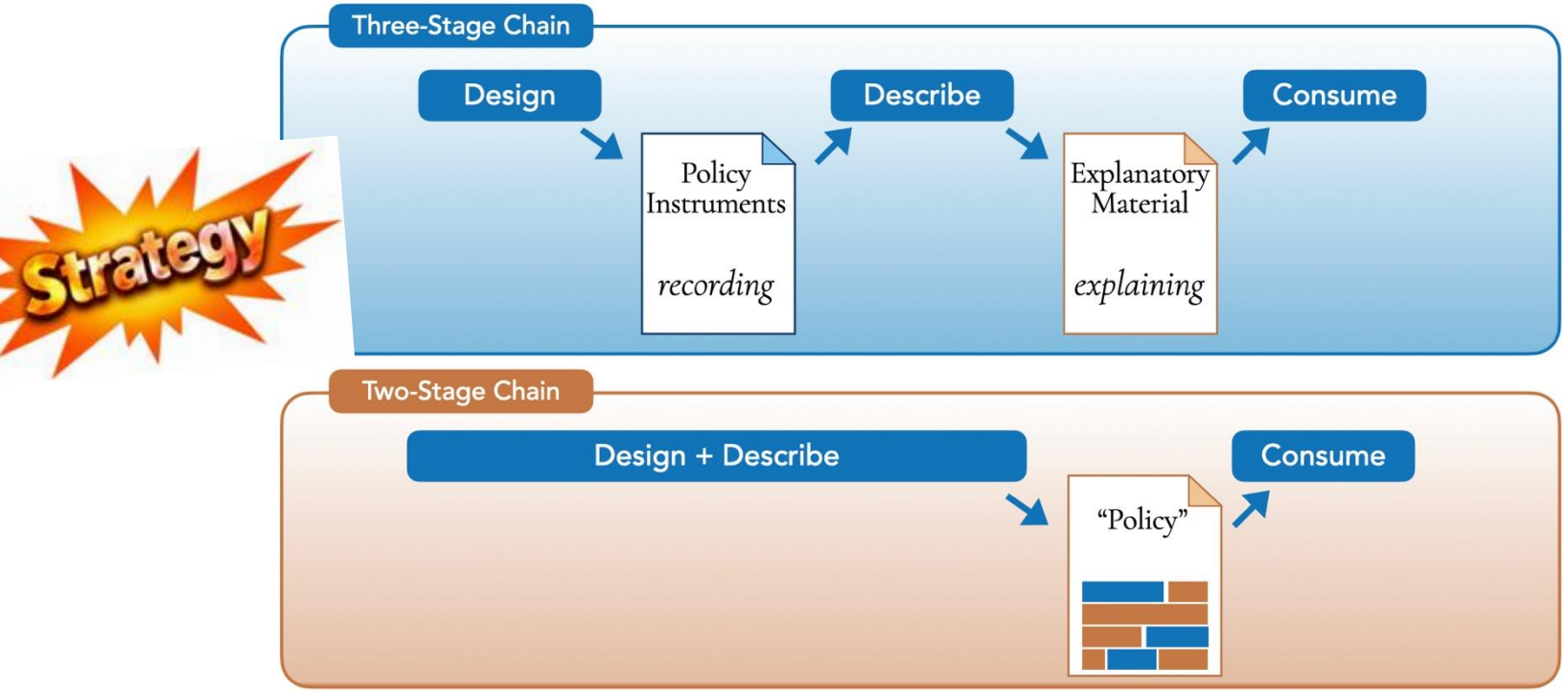
Creating Policy



Creating Policy

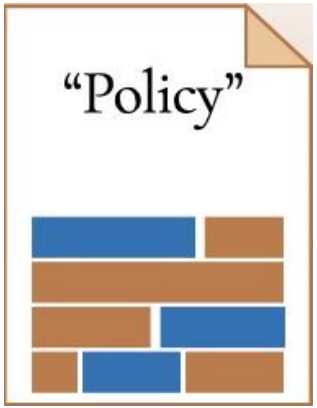


Creating Policy



A Policy Document Cannot Do Every Job

Capture the strategy → Establish the policy instrument → Communicate for end users



- Record the decisions and their rationale.
- Establish clear direction and accountability.
- Translate that direction into guidance people can use.

Before You Write a Policy, Solidify Your Strategy

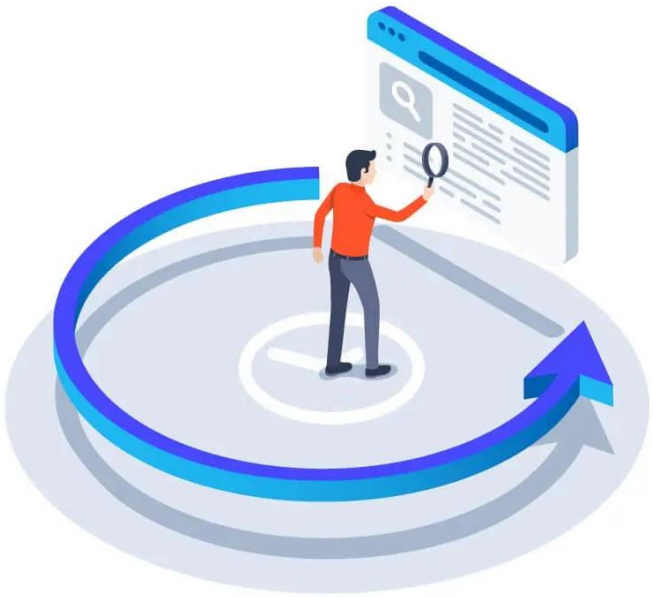


- What are we trying to achieve?
- What principles guide our decisions?
- What risks and impacts are acceptable?
- Who has authority to decide?

Turn Principles into Guardrails and Controls

Principle	Practical guardrail or control
Use reliable information	Validate source quality and suitability before use.
Match AI to its purpose	Define required accuracy, tolerable errors, and consequences of failure.
Maintain accountability	Assign an owner and specify when human approval is required.
Limit autonomous action	Set boundaries on access, actions, and escalation.
Verify results	Test outputs against defined acceptance criteria.

Human Oversight Needs Authority



- Set boundaries: Define parameters and acceptable behavior.
- Monitor performance: Check results and detect exceptions.
- Intervene: Give someone the authority and means to stop the activity.

What Evidence Supports Your Commitments?



- Decisions and rationale
- Configuration choices and exceptions
- Testing and validation results
- Monitoring, interventions, and corrective action

Start Here: Who Do We Aspire to Be as an Organization?



- What are our core values?
- How do these translate to corporate strategy?
- How do we define policies to execute that strategy?
- What controls do we have to ensure that we are meeting our values?
- Agree on acceptable outcomes and boundaries.
- Assign ownership and intervention authority.
- Test, document, and revisit.

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Thank You!



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