



CONFIRM. NYC

The Conference on Information
and Records Management

Digital Information Governance – Implementing Tools

*Approaches & experience implementing tools for
assessment, remediation, retention, disposition*

Mary Sherwin, Consultant

David Smythe, Sr. Consultant, Epiq

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AGENDA

- ❑ Scoping this topic
- ❑ Strategic issues
- ❑ Technology & Process Capabilities
- ❑ Foundational Requirements
- ❑ Implementation
- ❑ Trends & Takeaways

Presenters

Mary Sherwin

Consultant

Independent

[linkedin.com/in/marysherwin/](https://www.linkedin.com/in/marysherwin/)

- Seasoned professional in Records Management, Information Governance, and Privacy, with over 20 years of experience
- Experience spans diverse domestic and international environments including international organizations, media, and financial services
- Extensive background also encompasses years of expertise in information technology
- Fellow of ARMA International (FAI) and a former president of ARMA Metro NYC, showcasing her leadership and commitment to advancing industry standards
- CRM, IGP, CIPP/US
- [Mary Sherwin, FAI, CRM, CIPP, IGP | LinkedIn](#)

David Smythe

Sr. Consultant

Epiq Global

david.smythe@epiqglobal.com

- Sr. Consultant, Epiq Global
- Developed and managed information governance (IG), eDiscovery, business research and related functions in major global banks, 20+ years
- Led data protection and eDiscovery programs at large global bank
- Engaged in multiple professional association and networking leadership roles
- IGP certification, cyber-risk certificate and MBA
- Additional biography: [David Smythe](#)
- Epiq Global - <https://www.epiqglobal.com/en-us>

Scoping the Topic – Poll & Perspective

Poll

What is your interest in this topic?

1. Data risk assessment, concern about dark / unknown data
2. ROT remediation
3. Data, information, records disposition
4. Regulatory compliance – Privacy, Cybersecurity
5. Effective operations
6. Other

A Perspective

Common Drivers

- Data risk assessment
- ROT remediation
- Electronic records management
- Legal holds
- Privacy – DSARs, right to be forgotten
- Cybersecurity
- FOIA requests

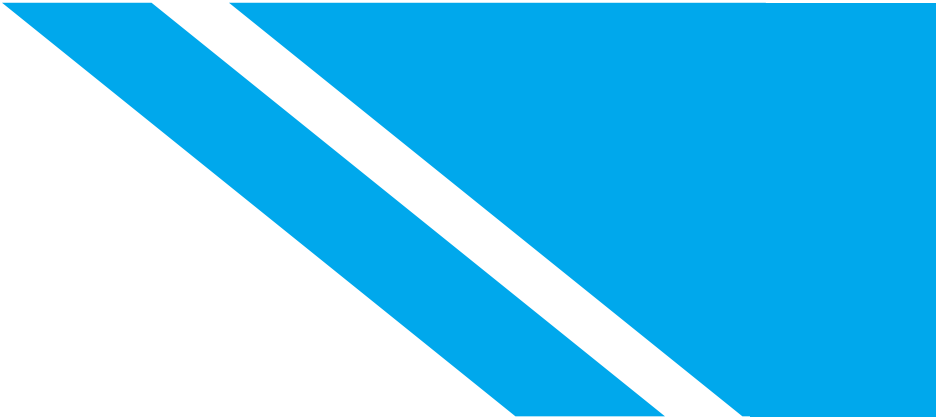
Strategic

- Business enablement
- Employee productivity
- Operational Excellence
- Cost – inefficiencies, re-work, resource drain, storage

Scoping the Topic – Learning Objectives

Virtually every organization is realizing that their digital environment is over-run with excessive, potentially risky data that is unknown (dark) or at least uncontrolled.

- The critical need for a strategic program objective (concern: scope creep)
- Process capabilities, not just technology
- Major challenges
- Foundational requirements
- Project preparation & implementation
- Future trends
- Key takeaways



Strategic Program Overview

Ensuring business partners clearly define the problem to be solved, the target state and terms used in discourse.

Strategic Perspective

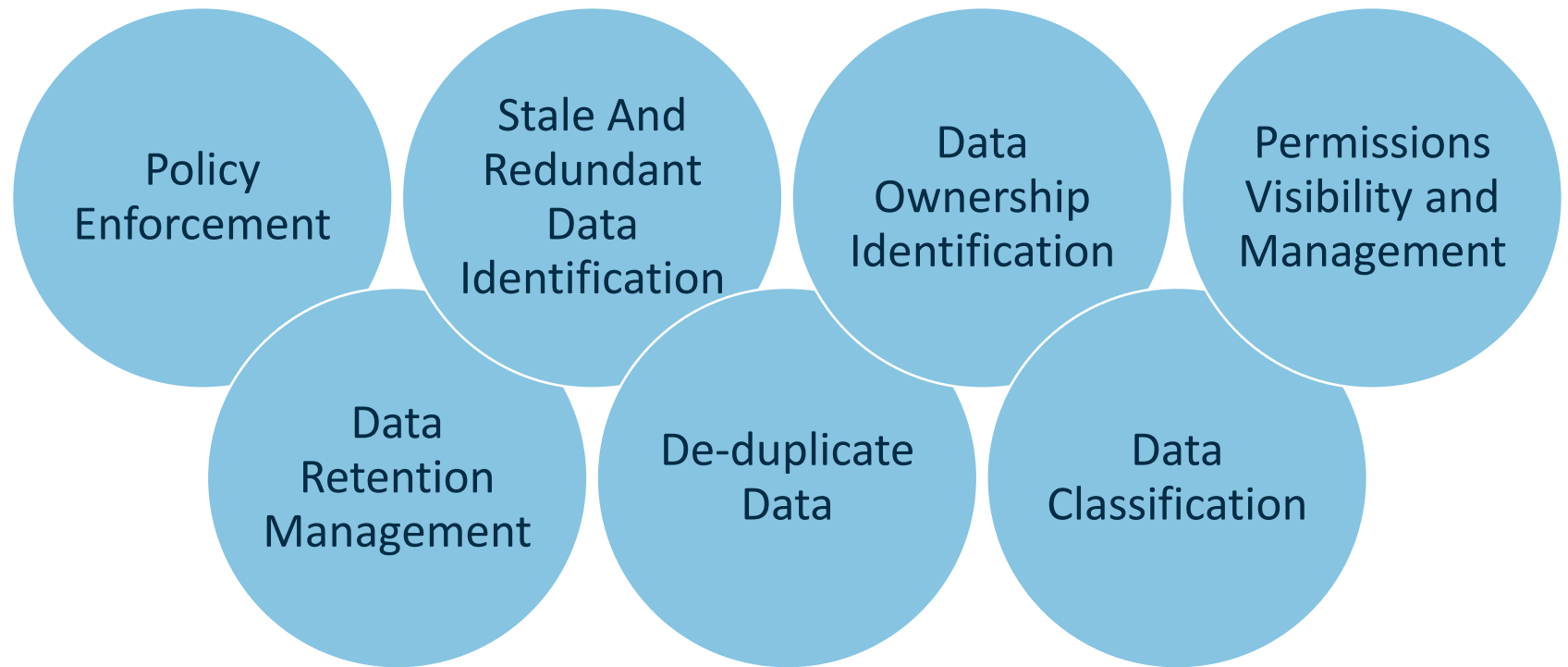
Firm Goals

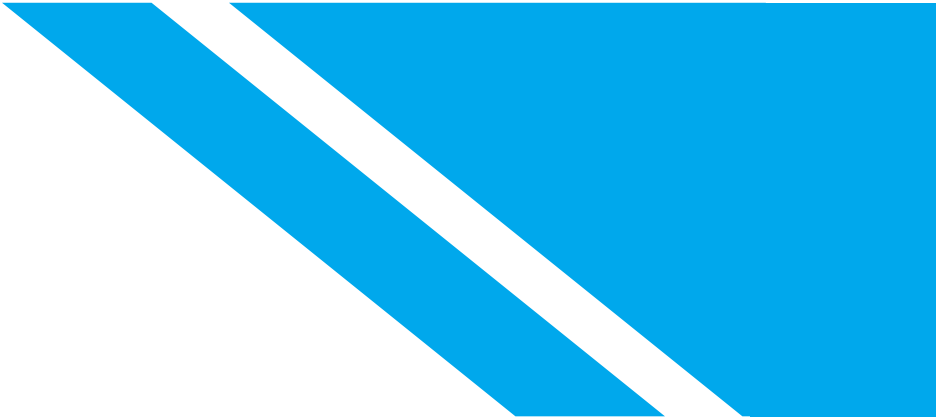
- Enable retention policies/processes
- Automate data request workflows
- Create tracing and trackability for all data requests
- Aid migration and de-duplication
- Manage preservation, notifications

Digital Information Governance

Information governance (IG) helps organizations innovate by making information more accessible, secure, and reliable.

- Drives data quality for AI-powered use cases
- Improves cost efficiencies, facilitates business, minimizes valueless content





Primary Program Capabilities

Critical Success Factors – Process & Technology together

Drivers & Considerations

Analyze Risk and Compliance

- Sensitive Data / HIPAA / PII
- CCPA/CPRA/GDPR
- ISO Audit and Certifications

Government and Regulatory

- FOIA and Public Records Requests
- Legal Holds
- Audit and Litigation Support
- State, Local, Government

Corporate Data Discovery/eDiscovery

- Investigations & Legal Holds
- Commercial Litigation
- Claims and Disputes
- IP Litigation
- Customer, Vendor and Leasing
- Partner Transaction Support
- Employment Law Counseling
- Employment Litigation and Claims
- Corporate Governance
- Mergers & Acquisitions

**UNSTRUCTURED, SEMI-
STRUCTURED AND SOME
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**UNSTRUCTURED, SEMI-STRUCTURED
AND SOME STRUCTURED DATA.**

The Goals & Opportunity

The What and How



Comprehensive End-to-End Solutions

Combining software innovation with tailored professional services to provide law firms, corporations, and government entities with fully integrated, scalable solutions that address complex legal and compliance needs.



Efficiency and Automation

Offering enhanced automation of legal processes, from governance and eDiscovery to compliance tracking and reporting, resulting in improved operational efficiency and reduced costs for clients.



Expertise and Industry Knowledge

Leveraging industry expertise with the technology to provide solutions that meet the specific regulatory and operational challenges faced by legal teams and government agencies.



Improved Compliance and Risk Management

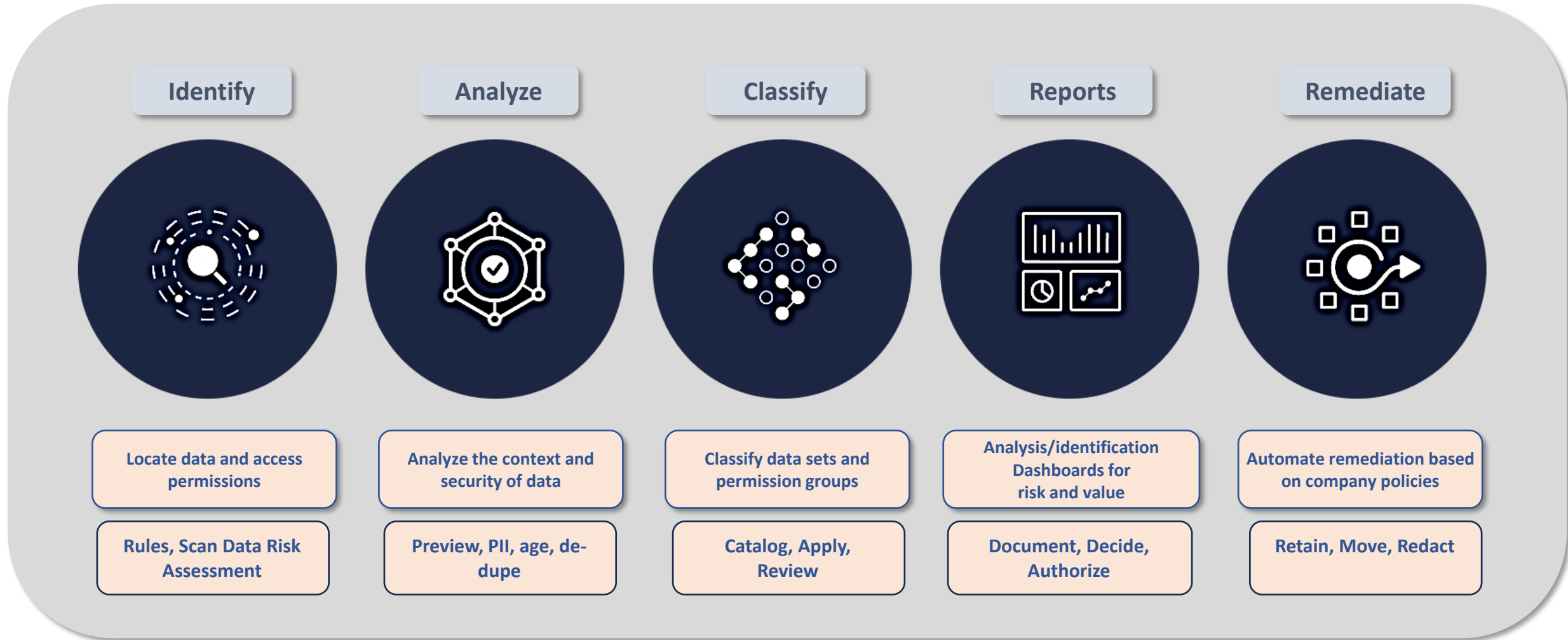
Delivering solutions that help clients manage and mitigate risk, ensuring compliance with legal standards, privacy laws, and government regulations through advanced data management and legal hold capabilities.



Unified Support and Implementation

Providing clients with a single point of contact for software implementation, ongoing support, training, and managed services, ensuring smooth adoption and long-term success of the solution.

Capabilities – the Process

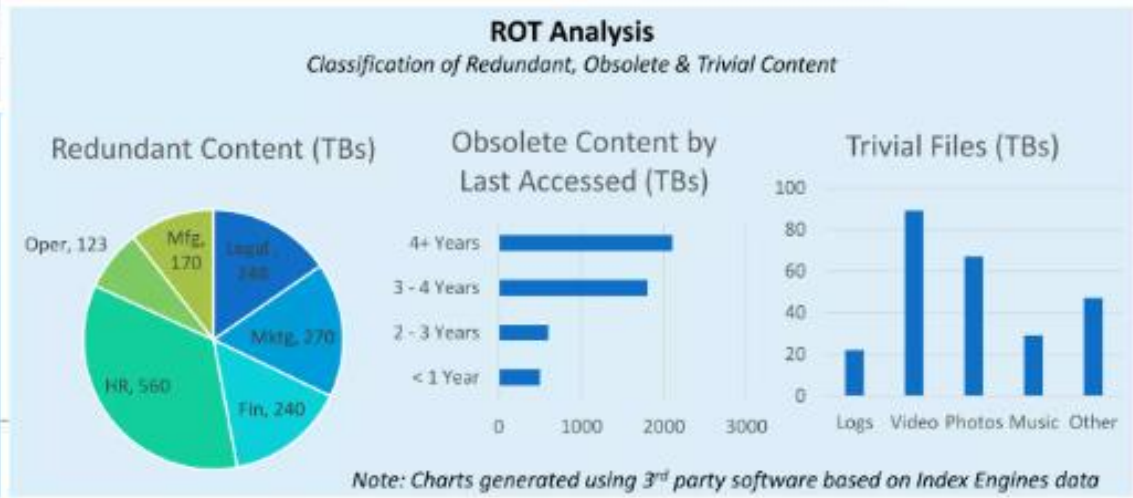
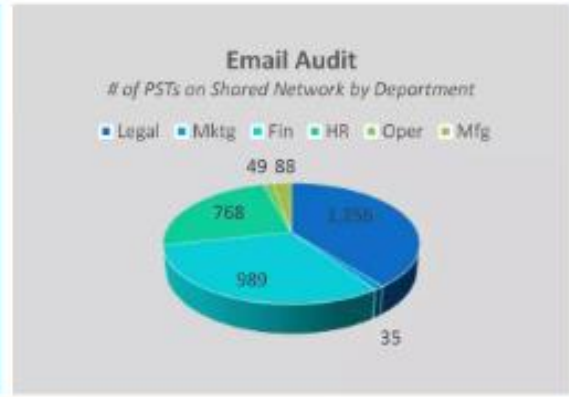
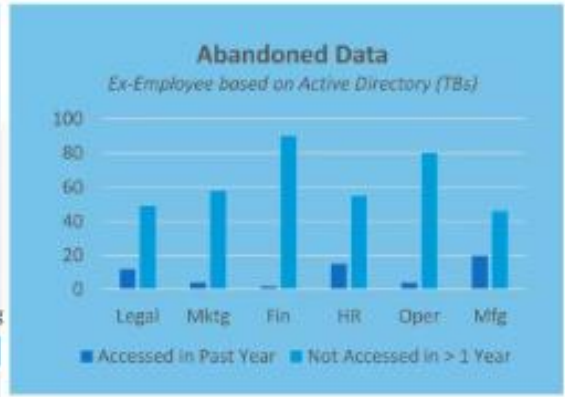
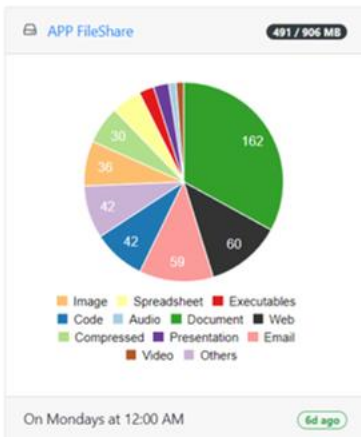
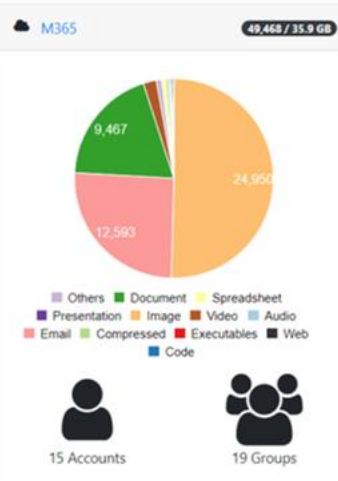
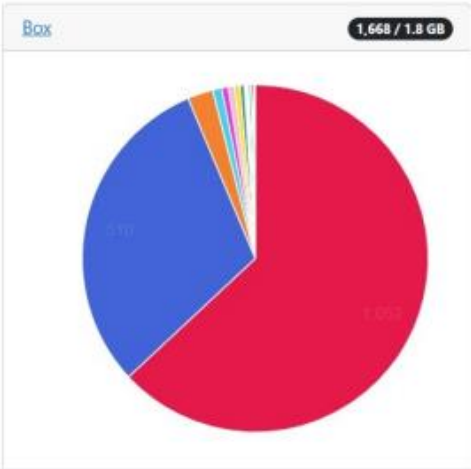


Data Insight Dashboard Examples

Endpoints

Summarize by: items size

Email	145,146	29.6 GB
Image	43,697	861.1 MB
Document	16,482	1.2 GB
Compressed	6,279	34.1 GB
Spreadsheet	1,365	44.2 MB
Video	1,180	3 GB
Others	295	143 MB
Data	257	3.7 MB
Web	210	4.9 MB
Audio	165	120.6 MB
Presentation	156	901.4 MB



Note: Charts generated using 3rd party software based on Index Engines data

<< OpenAxes

Use Case

- **Buyer Persona**

- Champion & Decision Maker – Legal Operations
- Economic Buyer - IT
- Influencer - Information Security

- **Use Case**

- Data Governance
- File Analysis for Data Classification, De-Dupe & Data Retention
- Breach response

- **Cross-Functional Groups**

- InfoSec
- Compliance
- Privacy
- IT Operations
- Risk
- Audit

- **Questions and Answers**

- Q: How did the opportunity arise?
- A: Met Legal Ops Manager at CLOC a Legal Ops conference
- Q: How did the project begin?
- A: Follow up from CLOC, introduction, Proof of Value implementation was agreed to then the contract was signed.
- Q: Who was involved in the decision?
- A: Legal, IT and Information Security
- Q: Are there other use cases that Customer are interested in?
- A: Yes, Legal Hold, Data Privacy and Data Protection.
- Q: What was the current state of Customer before implementing solution?
- A: The teams were ineffectively managing their data, did not know where data was, how it was being created, used, shared, stored.



Major Challenges

Governance, Process, Technology

Risk assessment, remediation, lifecycle management

Major Challenges

Governance

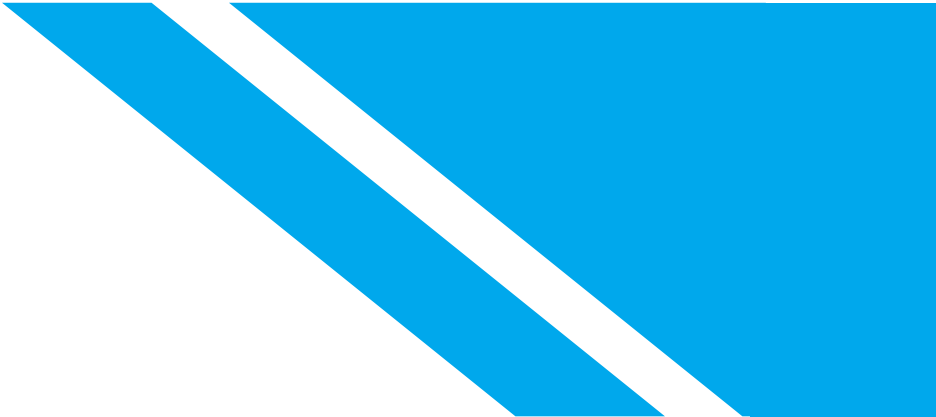
- Stakeholder alignment including business leaders
- Drivers
 - Ineffective existing process
 - Inconsistent manual and automated workflow
- Funding
- Policies & Procedures
- Decision-making and escalation plan
- Scope creep

Process

- How to get started
 - Well-planned
 - Leverage SMEs
 - Start small
- Project / program scope
- Project and change management
- Project ownership
- Compliance controls
- Technology controls
- Operational controls

Technology

- Resource commitment
- Credentials and security
- Initial scan and adjustments
- Analysis, reporting and feedback loop
- Action, remediation, metrics, benefits
- Limited or sustained program technical support
- Project / program closure



Foundational Requirements

RRS, program vs project, privacy, cyber, operational excellence

File Analysis & Information Lifecycle Management Objectives

Apply classification and retention to electronic records

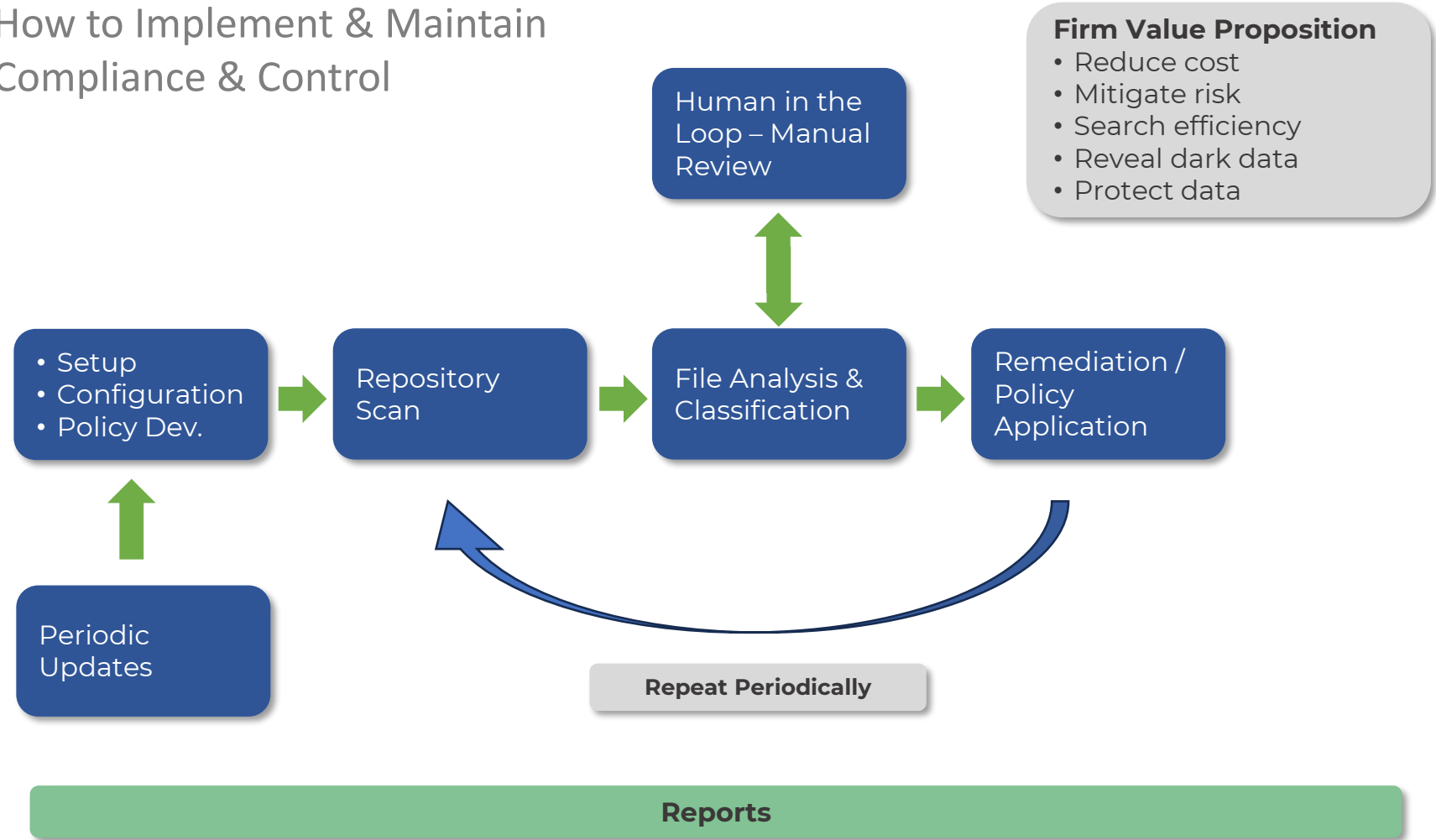
- Scanning
- Classifying
- Identifying sensitive data
- Applying labels/tags

Successful Action

- Archive
- Delete
- Preserve / Legal Hold
- Manage access rights
- Prevent data loss
- Redact / Mask
- Quarantine

Information & Data Governance

How to Implement & Maintain
Compliance & Control





Project Preparation & Implementation

Subject matter expertise with sound project management.

Elemental Plan Outline

1. Planning & Requirements Gathering

- ✓ Objectives and Scope Definition
- ✓ Stakeholder Alignment
- ✓ Resource Allocation
- ✓ Risk Management

2. Integration & Development

- ✓ Technical Assessment
- ✓ Integration Development
- ✓ Testing and Quality Assurance

3. Training & Support Preparation

- ✓ Pre-Launch Support Training
- ✓ Post-Launch Onboarding Training
- ✓ On-going Admin Support Training
- ✓ Knowledge Base Development

In Parallel with
Phases 1 & 2

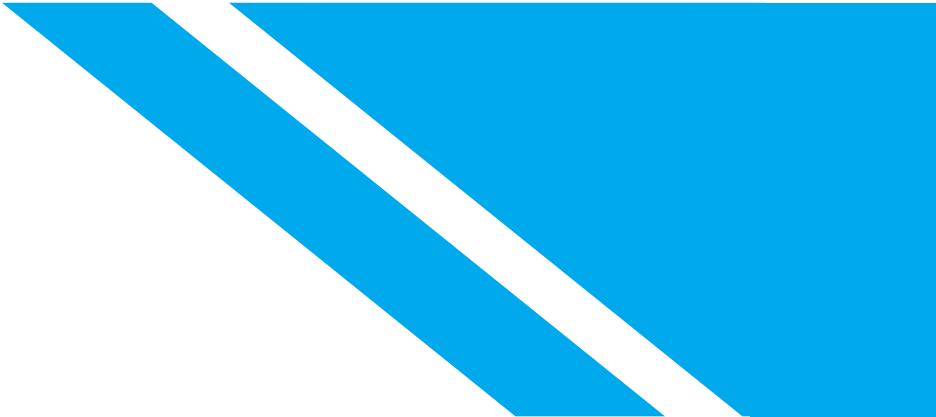
Elemental Plan Outline

4. Communication & Outreach

- ✓ Communications Plan
- ✓ Pre-Launch Campaign
- ✓ Firmwide Outreach

5. Launch & Post-Launch Activities

- ✓ Project Launch
- ✓ Internal Client Onboarding
- ✓ Ongoing Support and Training
- ✓ Post-Launch Review
- ✓ Continuous Improvement



Future Trends

AI, Regulations, Collaboration and Influences

Trends and Forecast

Advancements

- Increasing automation through AI and machine learning
- Enabling real-time data cleansing
- Smarter anomaly detection
- Integrating data quality frameworks
- More robust data and information governance practices

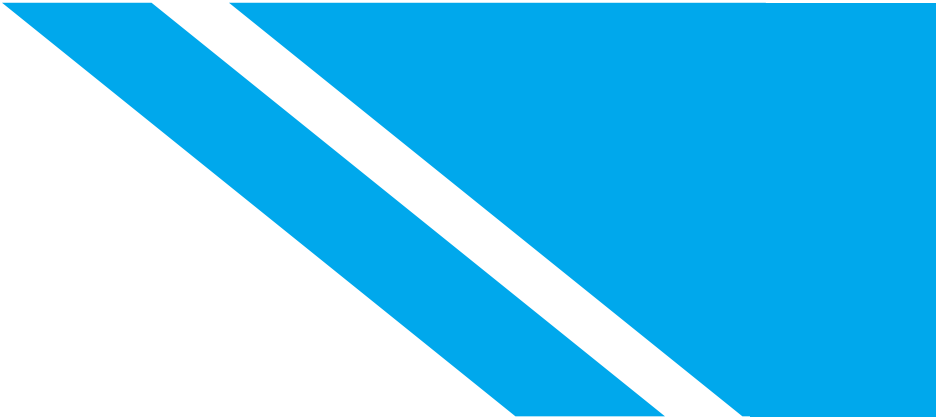
All with the goal of improving data quality, increasing business value and facilitating data remediation processes

Continuing / Expanding Challenges

- Gen AI adoption
- Dynamic regulatory environment – privacy, cyber, etc.
- Data volume growth
- Data as opposed to technology literacy

Limiters

- Compute power
- Technological advancement, confusion, adoption (e.g., GenAI)
- Technical expertise constraints
- Technology obsolescence



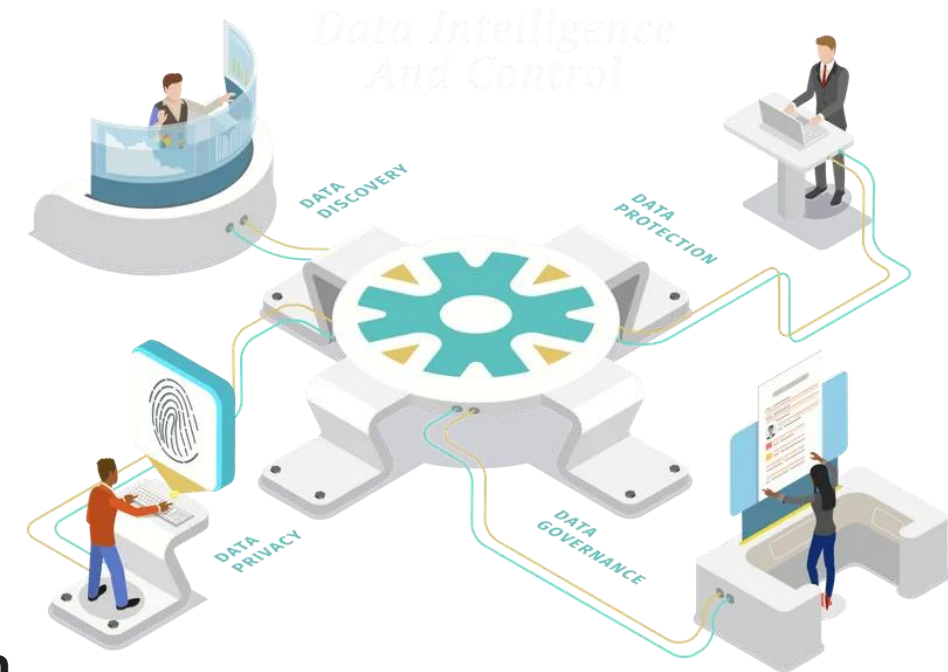
Key Takeaways

Goals, Objectives, Strategy, Tactics (GOST)

Key Takeaways

Virtually every organization is realizing that their digital environment is over-run with excessive, potentially risky data that is unknown (dark) or at least uncontrolled.

- **Determine the specific outcomes required**
- **Confirm foundational components – stakeholders, governance, P&P, RRS**
- **Ensure the commitment to resourcing**
- **Understand the current state, measure and report progress**
- **Leverage technology and process capabilities together**
- **Anticipate future needs that leverage your program**



***“If you don’t have the
required and accurate
information, how can
you be successful.”***

Constantine Karbaliotis

“

Guideline/Checklist

People, Process, Technology

Project Conception

- ☐ Set Purpose: scope, document, confirm objectives
- ☐ Document governance process, stakeholders
- ☐ Affirm policies & procedures, retention schedule
- ☐ Gain project support, champion
- ☐ Produce Business Requirements Doc (BRD)
- ☐ Assess program alignment: IG, Privacy, Cyber
- ☐ Obtain budget, consider phased approach

Initiation

- ☐ Communicate project kick-off and cadence
- ☐ Complete data risk assessment
- ☐ Analyze and redefine
- ☐ Report, design and recommend approach

Implementation

- ☐ Document current state
- ☐ Draft target state and action plan
- ☐ Phase or tier segments of plan as needed
- ☐ Identify ROT
- ☐ Classify required content
- ☐ Purge/delete, retain/preserve
- ☐ Report regularly

Post Implementation

- ☐ Monitor and measure
- ☐ Report
- ☐ Adjust, update program documentation
- ☐ Identify future value-add opportunities

Guideline/Checklist

Questions

- ☐ Why is this project/program needed? Drivers?
- ☐ What will be the value of success?
- ☐ Use cases to solve?
- ☐ Data sources, ownership?
- ☐ Data volumes?
- ☐ Structured, unstructured, hybrid data?
- ☐ Target source(s)?
- ☐ Index? Classify? Tag? Remediate – ROT, records compliance, disposition, legal holds, etc.?
- ☐ Migrate? Maintain links in docs?
- ☐ Timeframe?
- ☐ Ownership and budget?
- ☐ Staffing resources?
- ☐ What regulations impact the project/program?
- ☐ Available tools and partners?
- ☐ What training will be required?
- ☐ What technical support will be required?
- ☐ Automate monitoring and reporting
- ☐ Suitable governance process?
- ☐ Existing policies & procedures?
- ☐ Incorporate Audit periodically?
- ☐ What revisions, customization, expansion – assess periodically?

CONFIRM

Conference for Information & Records Management

Questions?

Mary Sherwin

Consultant

[linkedin.com/in/marysherwin/](https://www.linkedin.com/in/marysherwin/)

David Smythe

Sr. Consultant

Epiq Global

David.smythe@epiqglobal.com

