Moving Beyond a SharePoint-only Mindset for Modern Compliance

Presentation by Joanne C Klein

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MVP
Microsoft® Most Valuable Professional

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Webinar goals

Understand how to leverage your existing SharePoint knowledge for Compliance

Provide practical guidance to get started on your Compliance journey

Understand what is meant by Modern Compliance

Understand the new tools to help you gain Compliance

Agenda

Defining the “Problem”

Compliance in the modern workplace

SharePoint Touchpoints

Key Takeaways

Defining the “Problem”

01

THE 3 ELEPHANTS IN THE ROOM

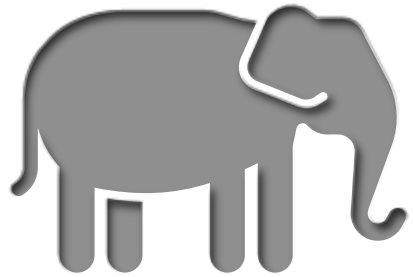
02

THE SCALE OF THE PROBLEM

03

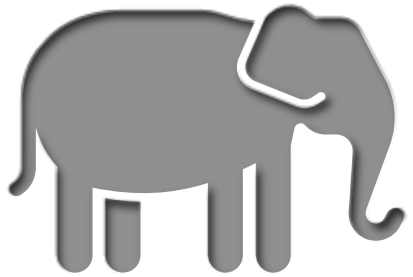
MORE THAN JUST SHAREPOINT

The Compliance “Elephant in the room”…



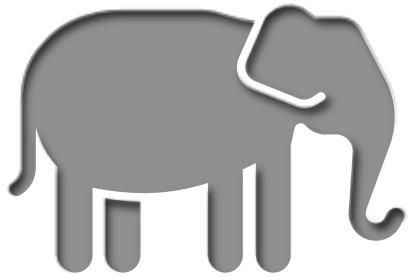
- End-users don’t care about compliance
- It’s easier to retain everything forever (until it burns you)
- A “perfection-based” approach will paralyze progress
- This problem isn’t going away, in fact it’s getting more complicated
- Compliance isn’t cheap
- Compliance is complicated
- Compliance has an end-user impact
- Information Governance/Records Management needs to be modernized

The Metadata “Elephant in the room”…



- End-users don’t apply metadata
- Large-scale adoption of Microsoft Teams…
  - metadata cannot be updated from the Teams UI
  - many users don’t navigate directly to SharePoint… ever.
- Many metadata approaches today…
  - come from the “classic, pre-Microsoft Teams” world
  - require a course correction for the “modern, Microsoft Teams” world

The Licensing "Elephant in the room"…



- Automation = Advanced Licensing (or a third-party product)
- Examples:
  - Default a retention label on a document library or folder
  - Auto-apply a retention label to a document of a specific content type
  - Apply an AI model to a library
  - Auto-apply a sensitivity label in Office apps to a document if it contains sensitive info
  - Many more…

Reference: https://joannecklein.com/M365ComplianceLicensing

When I say ‘Advanced Licensing’…

- Shorthand for:
  - Office 365 E5, Office 365 Advanced Compliance*
  - Microsoft 365 E5/A5/G5
  - Microsoft 365 E5/A5/G5 Compliance
  - Microsoft 365 E5/A5/G5 Info Protection & Governance
  - Office 365 E5/A5
  - SharePoint Syntex per User license ($60/user/year)

Defining the “Problem”

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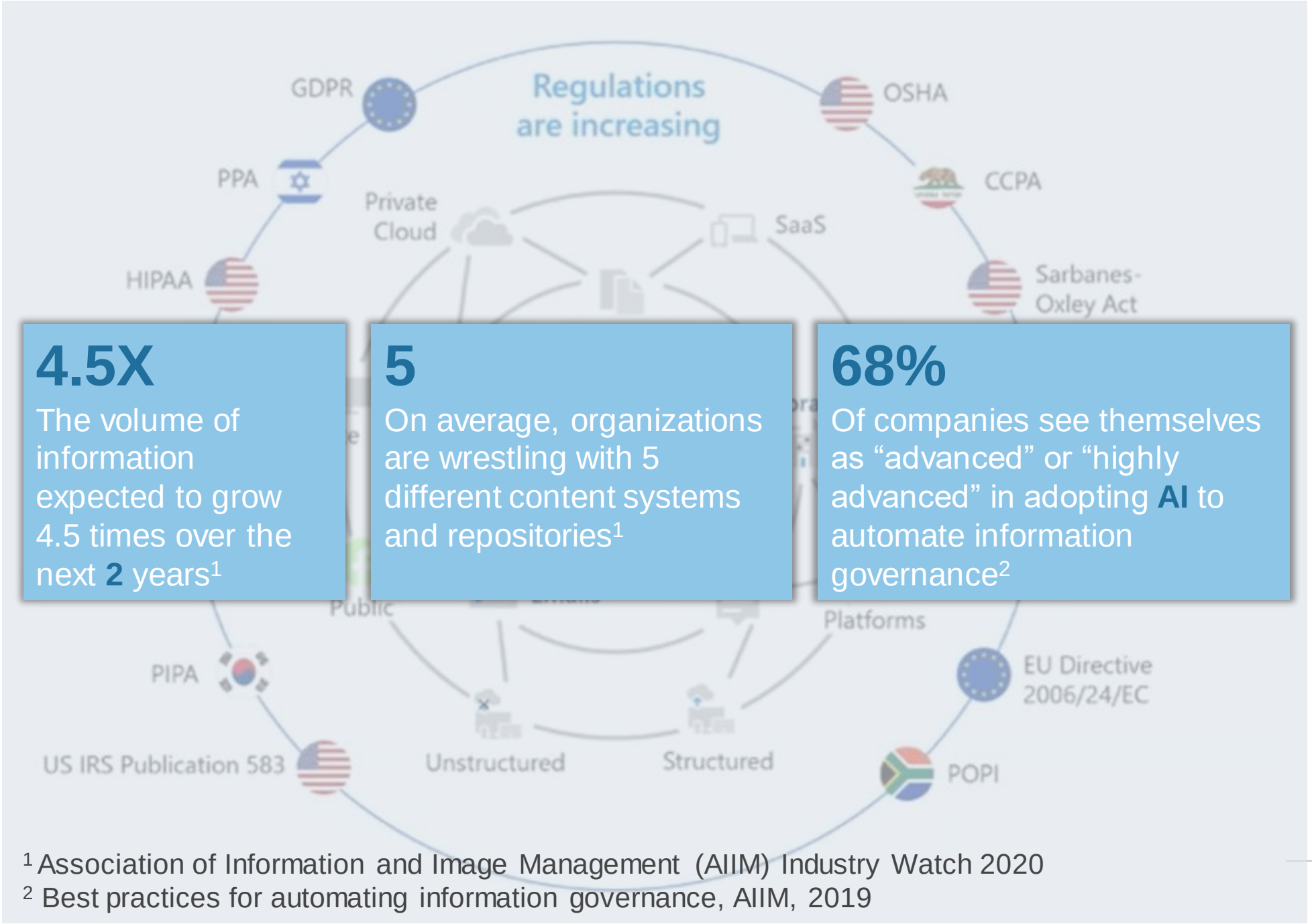

4.5X

The volume of information expected to grow 4.5 times over the next **2** years[1]

5

On average, organizations are wrestling with 5 different content systems and repositories[1]

68%

Of companies see themselves as “advanced” or “highly advanced” in adopting **AI** to automate information governance[2]

[1] Association of Information and Image Management (AIIM) Industry Watch 2020

[2] Best practices for automating information governance, AIIM, 2019

Defining the “Problem”

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THE 3 ELEPHANTS IN THE ROOM

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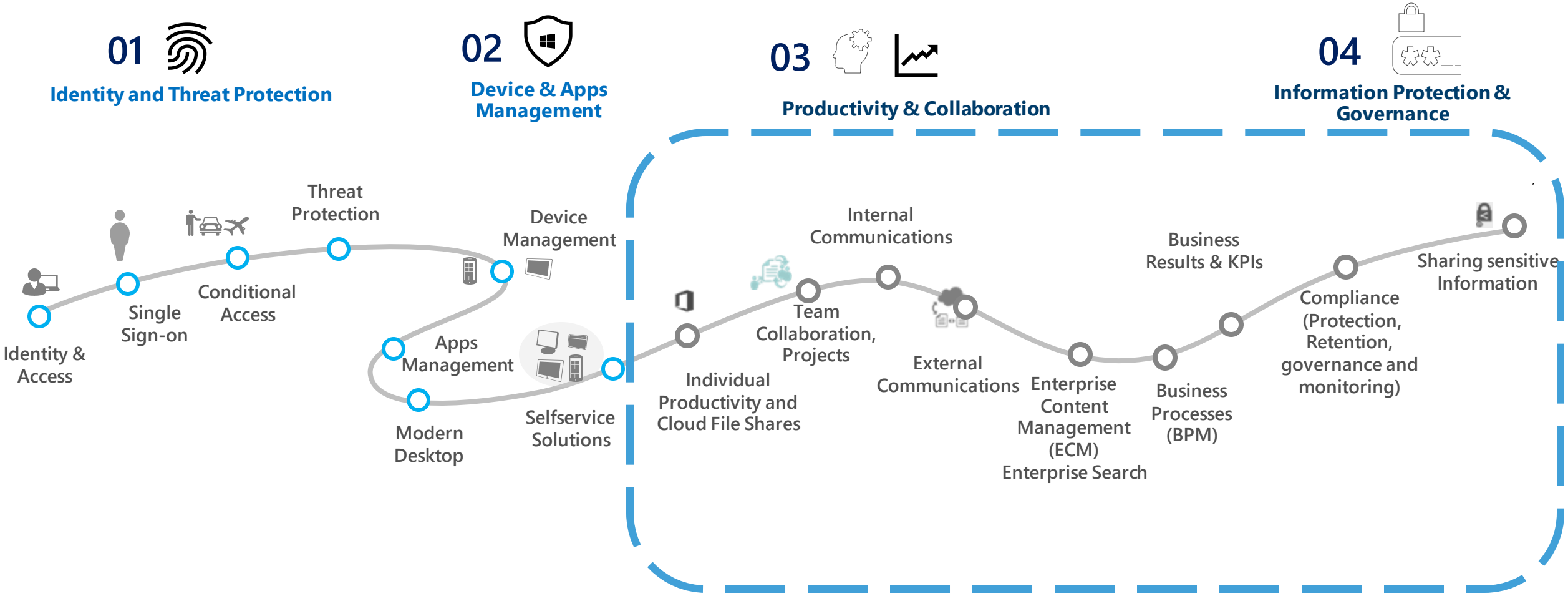
MORE THAN JUST SHAREPOINT

THE MODERN WORKPLACE | MORE THAN SHAREPOINT



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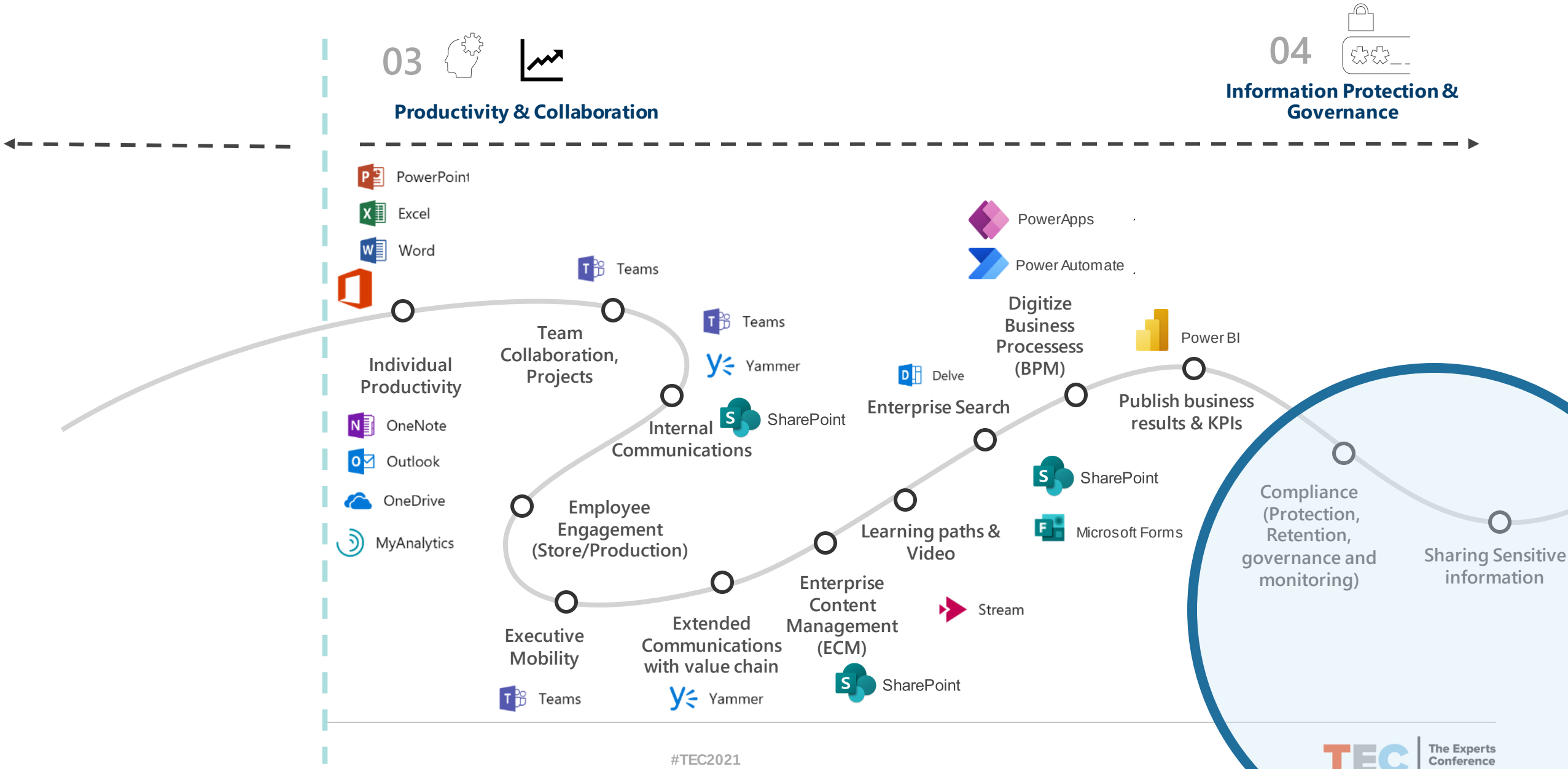
THE MODERN WORKPLACE | MORE THAN SHAREPOINT



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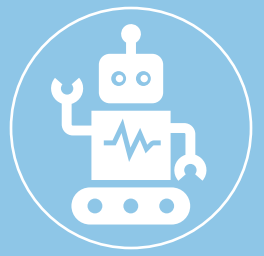
Content Services is changing… ARE YOU?

People are creating content at an amazing pace

Employees expect to collaborate across apps



We need to optimize efficiency & accelerate management at scale

Data governance and automation is critical

Opportunity:
Automate content classification and processing while empowering subject matter experts to streamline their processes

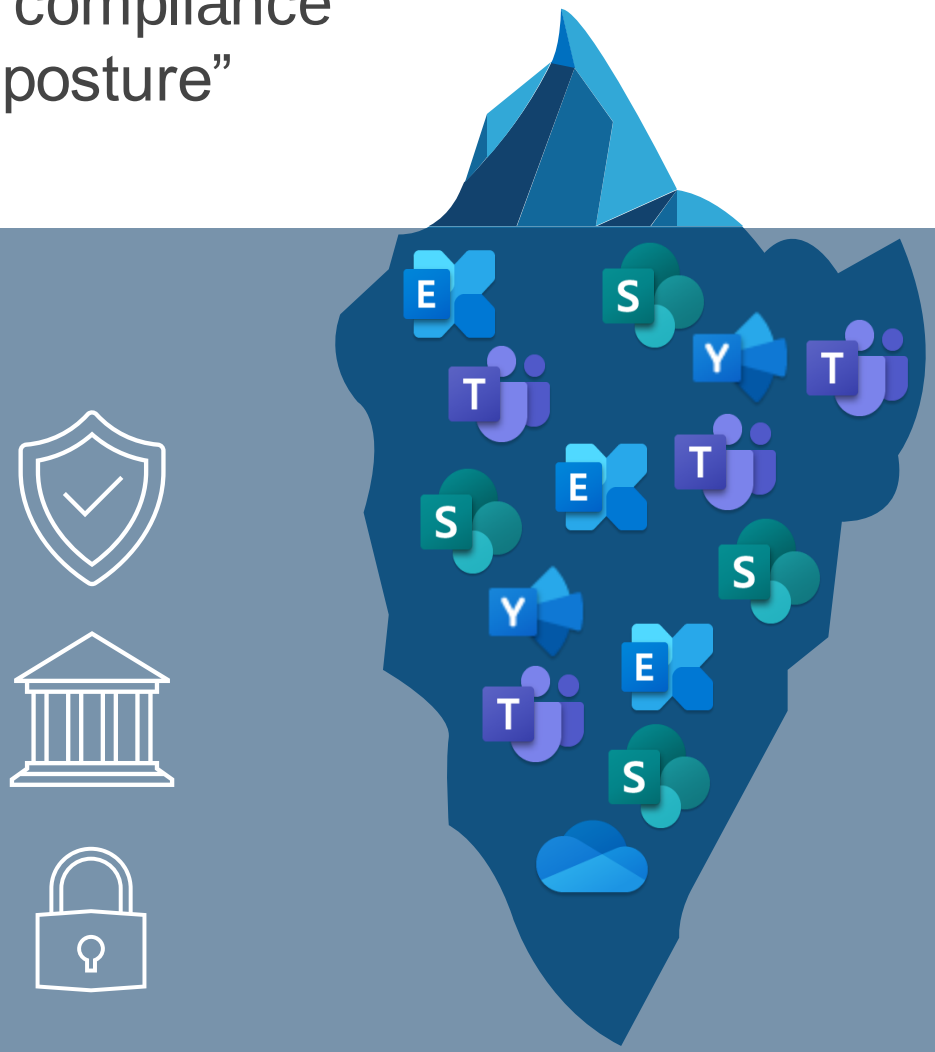
Opportunity:
Increase productivity with integration and interoperability across workloads & apps while maintaining compliance

Opportunity:
Take advantage of new intelligence approaches and automation to capture content at scale and to transform content into knowledge

Opportunity:
Connect and manage content to improve security & governance with integration to MIP and IG/RM

The Challenge of Compliance

"We need to improve our compliance posture"



Knowing you "need it" is just the tip of the iceberg

Intelligent compliance and risk management solution Pillars

Information Protection & Governance

Protect and govern data wherever it lives

- Azure Information Protection
- Advanced Data Governance
- Data Loss Prevention
- Records Management
- Customer Key
- Advanced Message Encryption

Insider Risk Management

Identify and act on critical insider risks

- Insider Risk Management
- Communication Compliance
- Information Barriers
- Customer Lockbox
- Privileged Access Management

Discover & Respond

Quickly investigate and respond with relevant data

- Advanced eDiscovery
- Advanced Audit

Compliance Management | Identify and manage improvement actions

- Compliance Score
- Compliance Manager

https://aka.ms/ComplianceSD

INFORMATION PROTECTION & GOVERNANCE

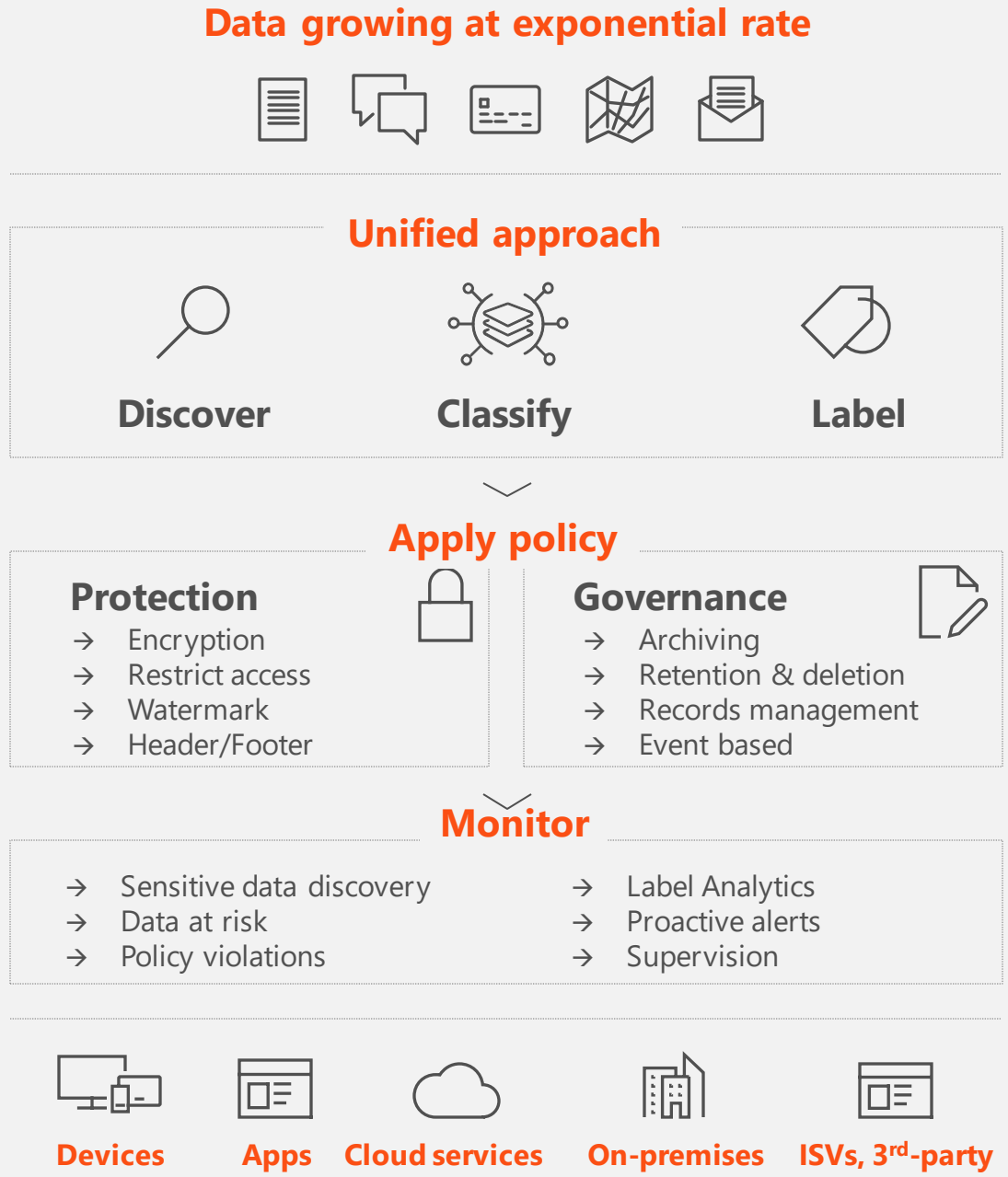
Protect and govern your most important data throughout its lifecycle

Unified approach to discover, classify & label

Automatically apply policy-based actions

Proactive monitoring to identify risks

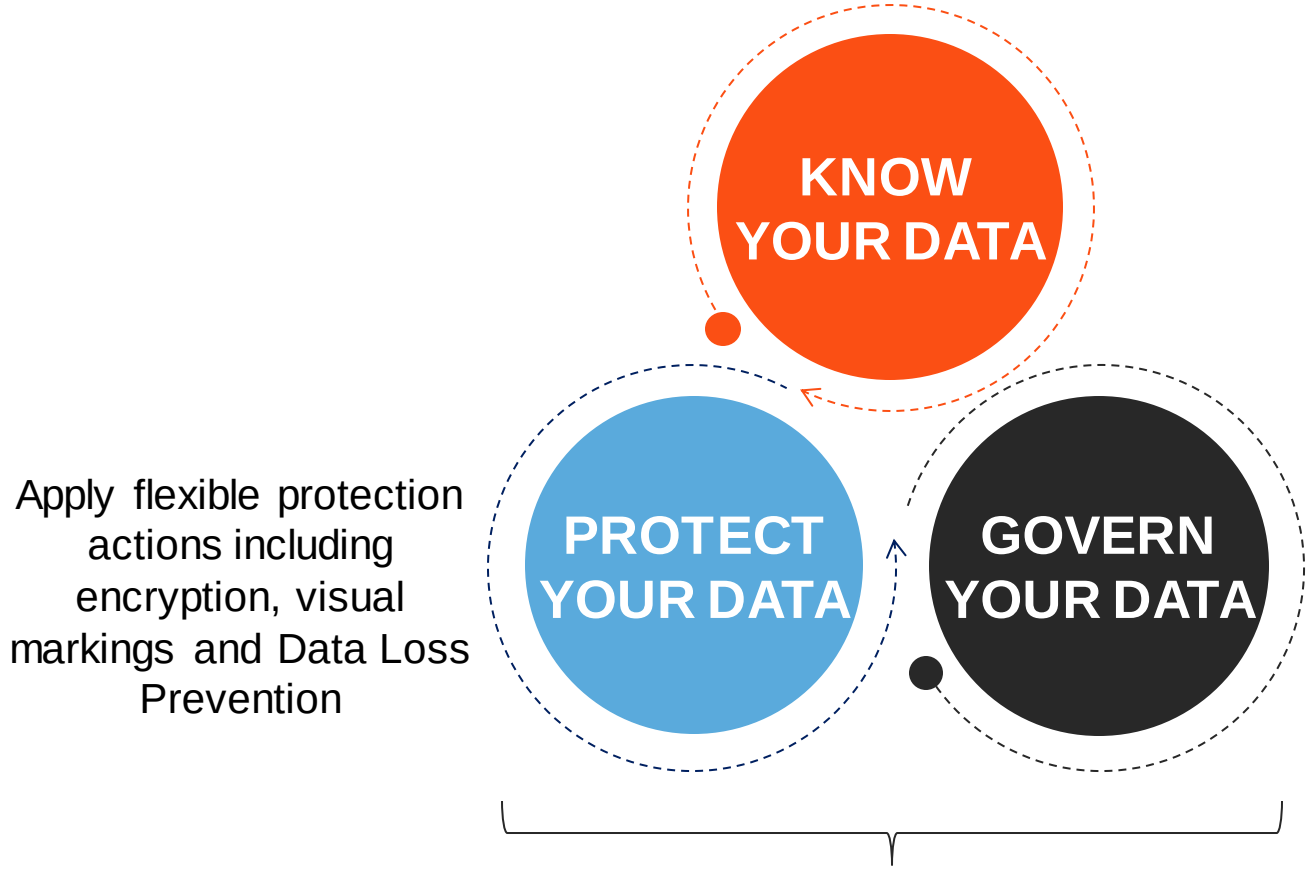
Broad coverage across locations and applications



INFORMATION PROTECTION & GOVERNANCE

Protect and govern data – **wherever** it lives

Understand your data landscape and identify important data across your hybrid environment



Apply flexible protection actions including encryption, visual markings and Data Loss Prevention

Automatically retain, delete, and store data and records in compliant manner

Powered by an intelligent platform

Unified approach to automatic data classification, policy management, analytics and APIs

INFORMATION PROTECTION & GOVERNANCE

Protect and govern data – **wherever** it lives

Understand your data landscape and identify important data across your hybrid environment

Know Your Data with “Data Classification”

Understand sensitive and business critical data across your organization

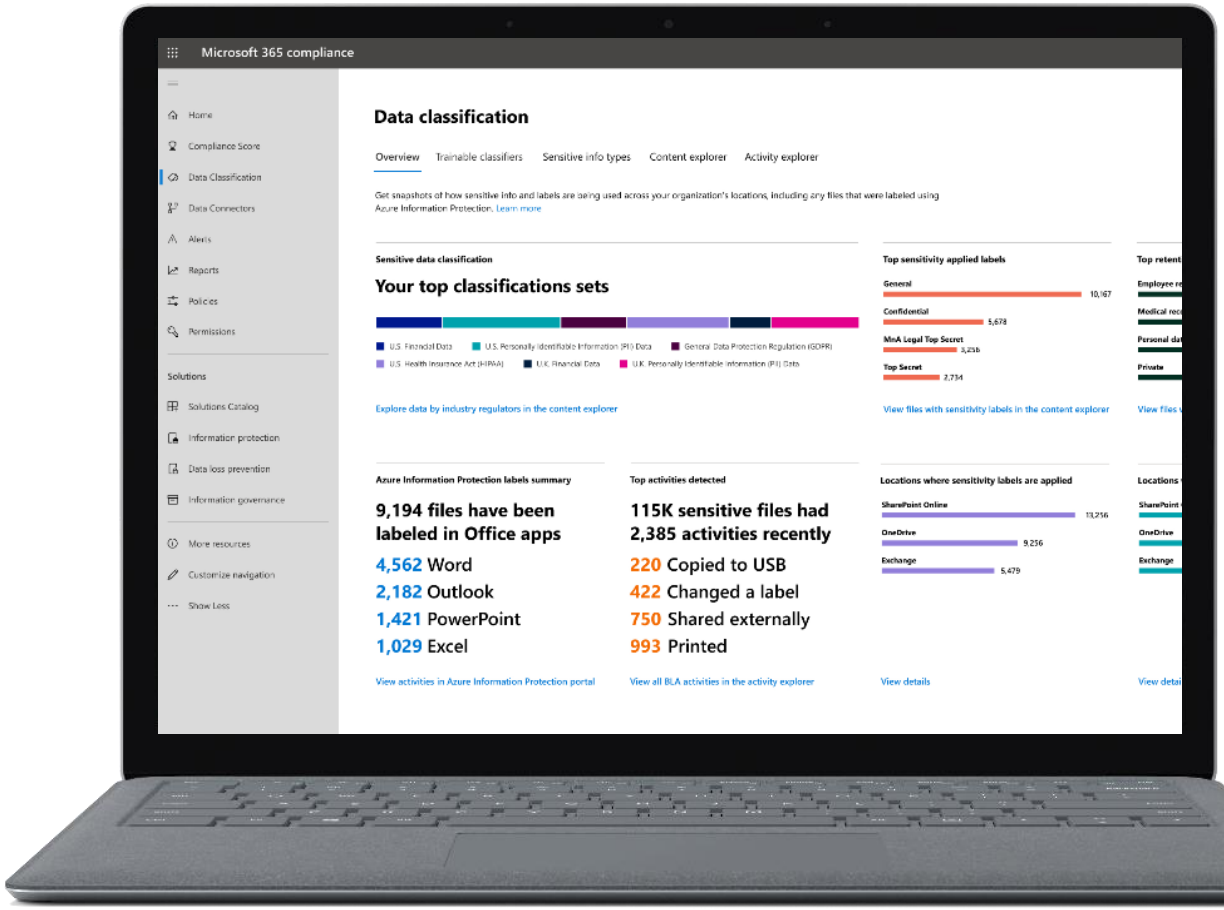
Visibility into the volume and location of sensitive and business critical information

(allows you to assess your overall exposure and risk)

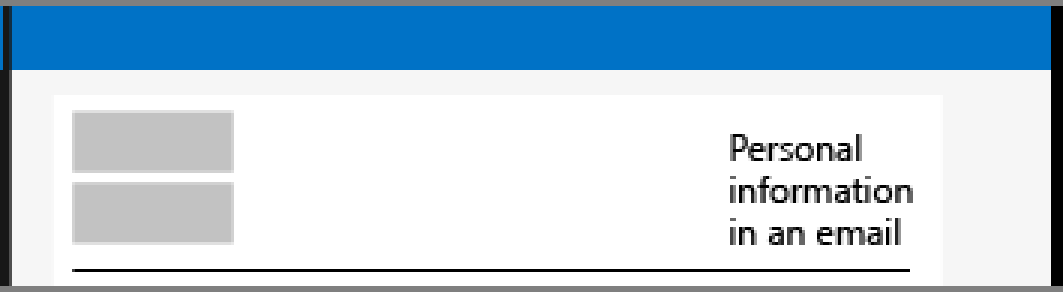
Monitor risky activities associated with sensitive information to inform Data Loss Prevention policies and Sensitivity Label policies

Understand label utilization across your tenant to better refine protection and governance policies

(allows you to monitor and remediate issues)

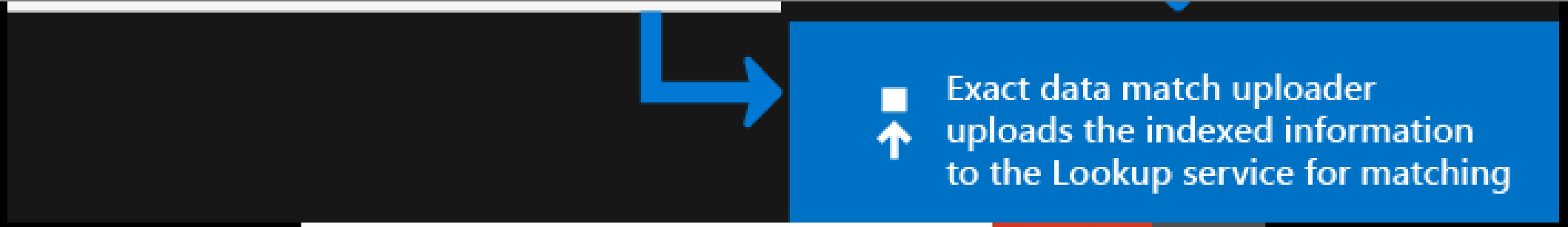


KNOW YOUR DATA: Sensitive Information Types



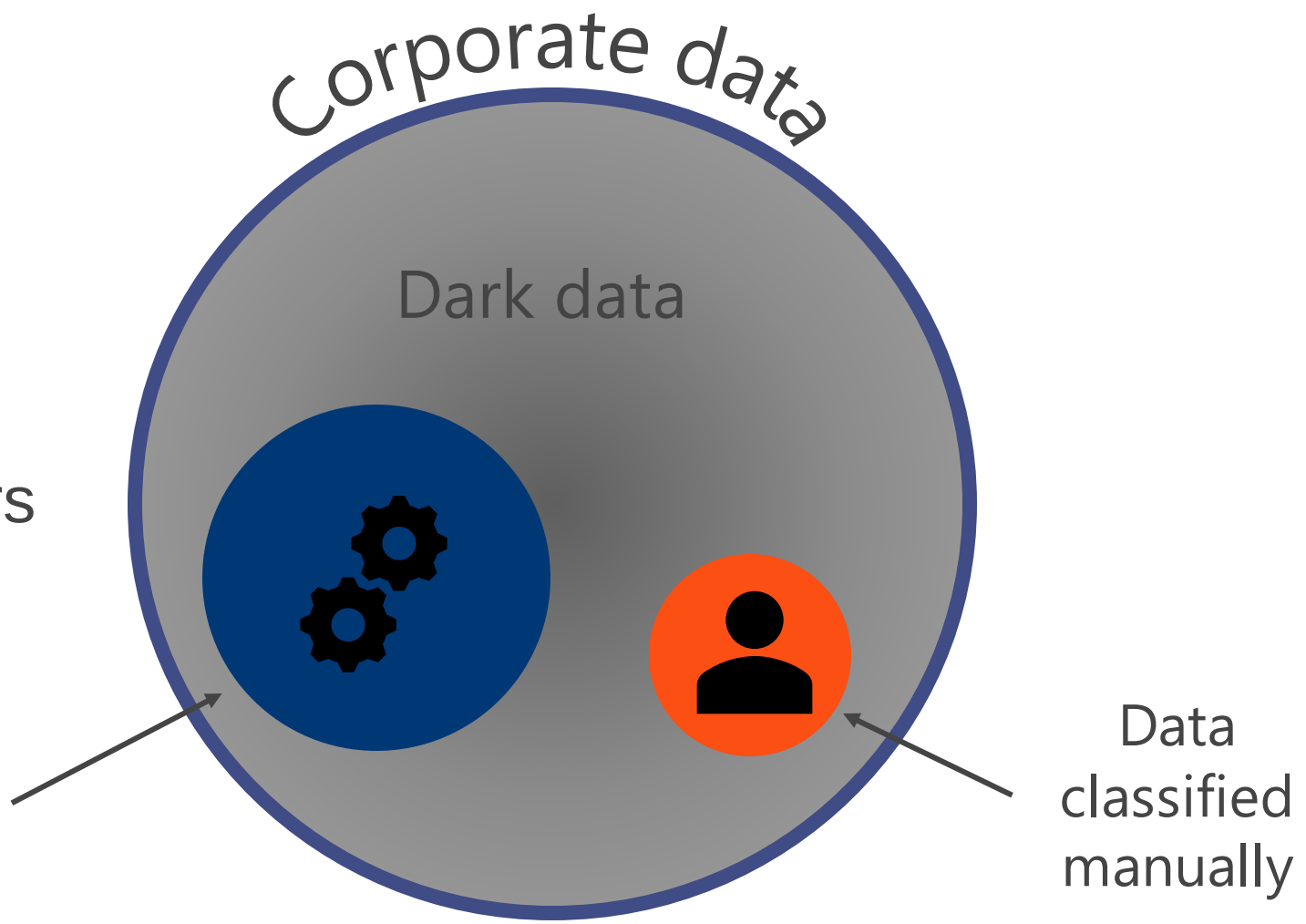
Can be used in…

1. Sensitivity label conditions
2. Retention label policy conditions
3. Data Loss Prevention conditions
4. Microsoft Cloud App Security



Know Your Data: Trainable Classifiers (E5)

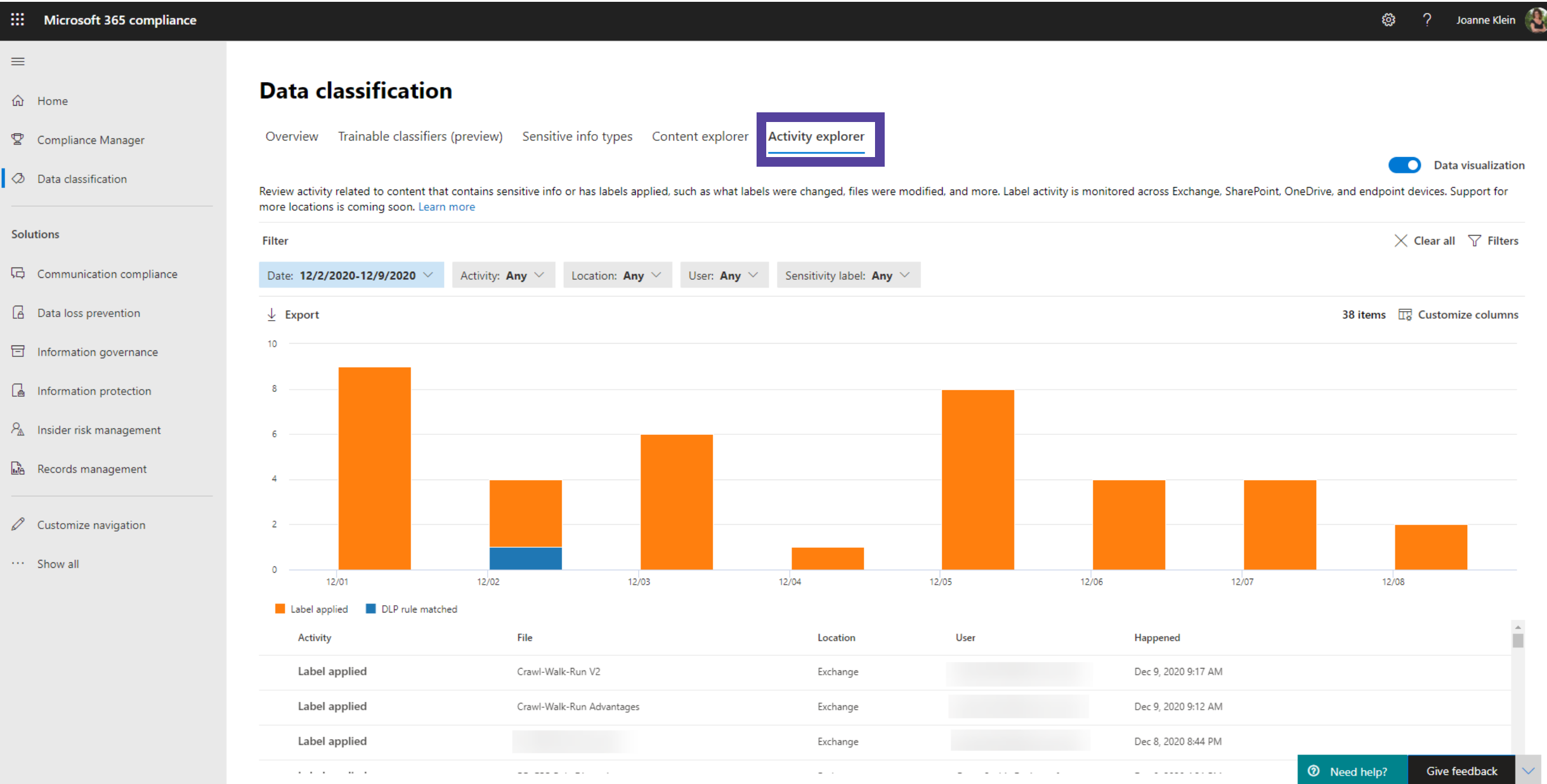
- Uses Machine Learning to classify content
- Pre-built & Custom classifiers



Know Your Data: Trainable Classifiers (E5)

Build your own custom Trainable Classifiers!

Know Your Data: Data Classification (E5)

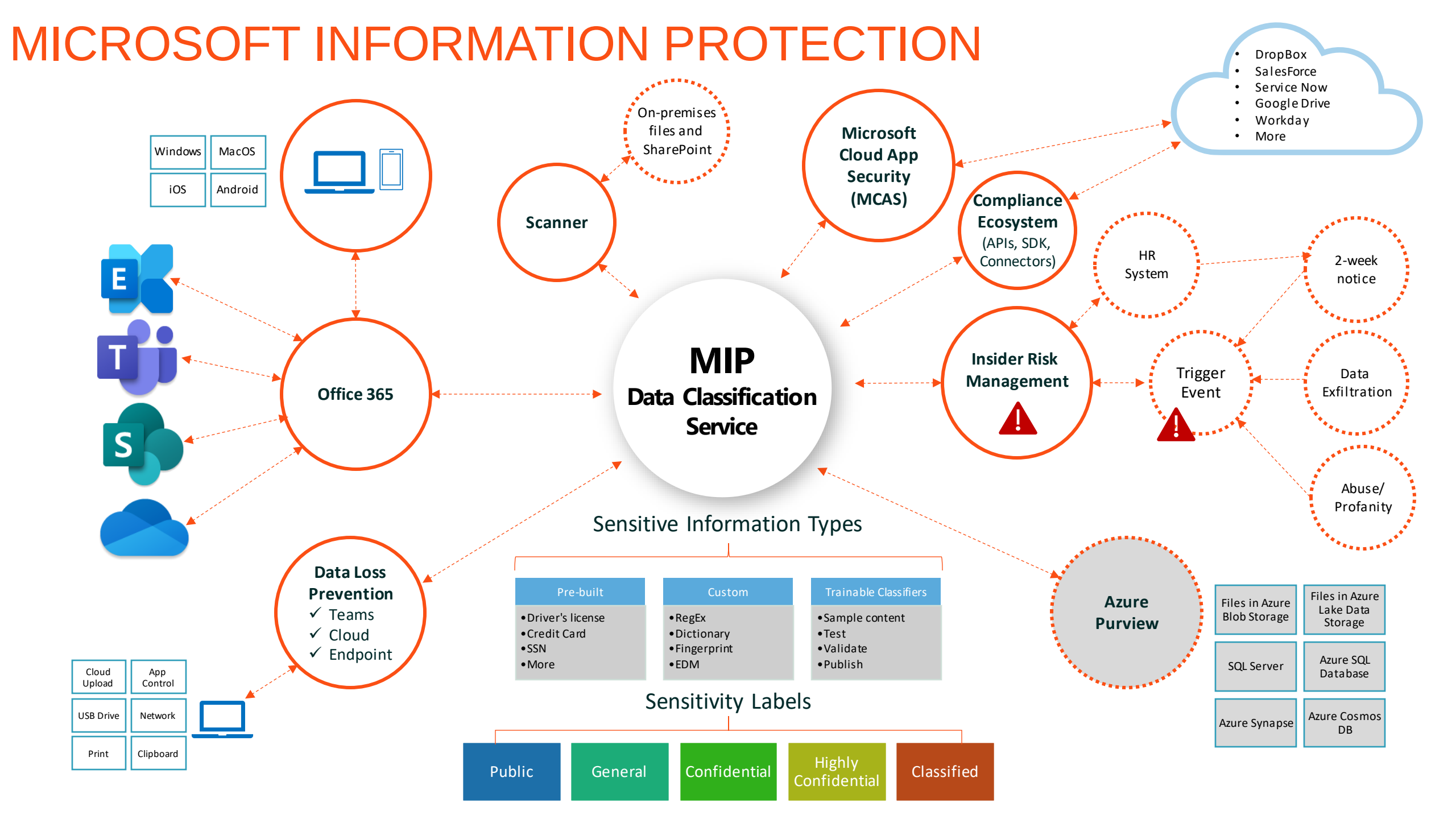


INFORMATION PROTECTION & GOVERNANCE

Protect and govern data – **wherever** it lives

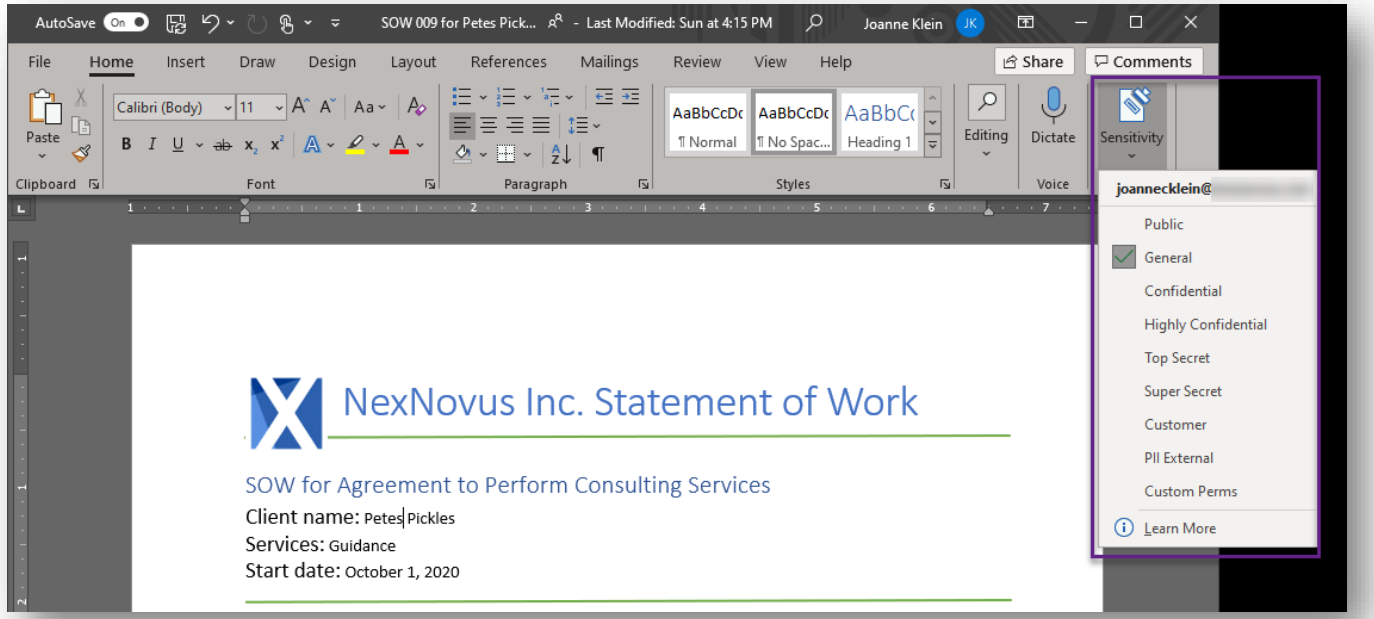
Apply flexible protection actions including encryption, visual markings and Data Loss Prevention

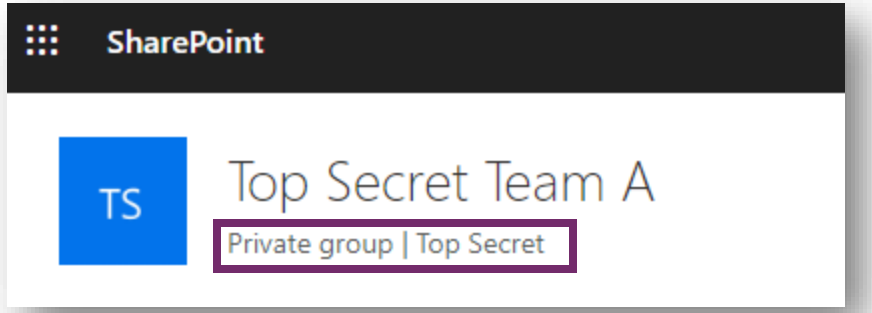
MICROSOFT INFORMATION PROTECTION



Sensitivity Labels

- Applied to Files and Emails
  - Content markings
  - Protection (encryption)
  - Client-side auto-apply
  - Service-side auto-labeling
- Applied to Teams, Groups, Sites
  - Privacy settings
  - Guest access
  - Device access
  - External sharing



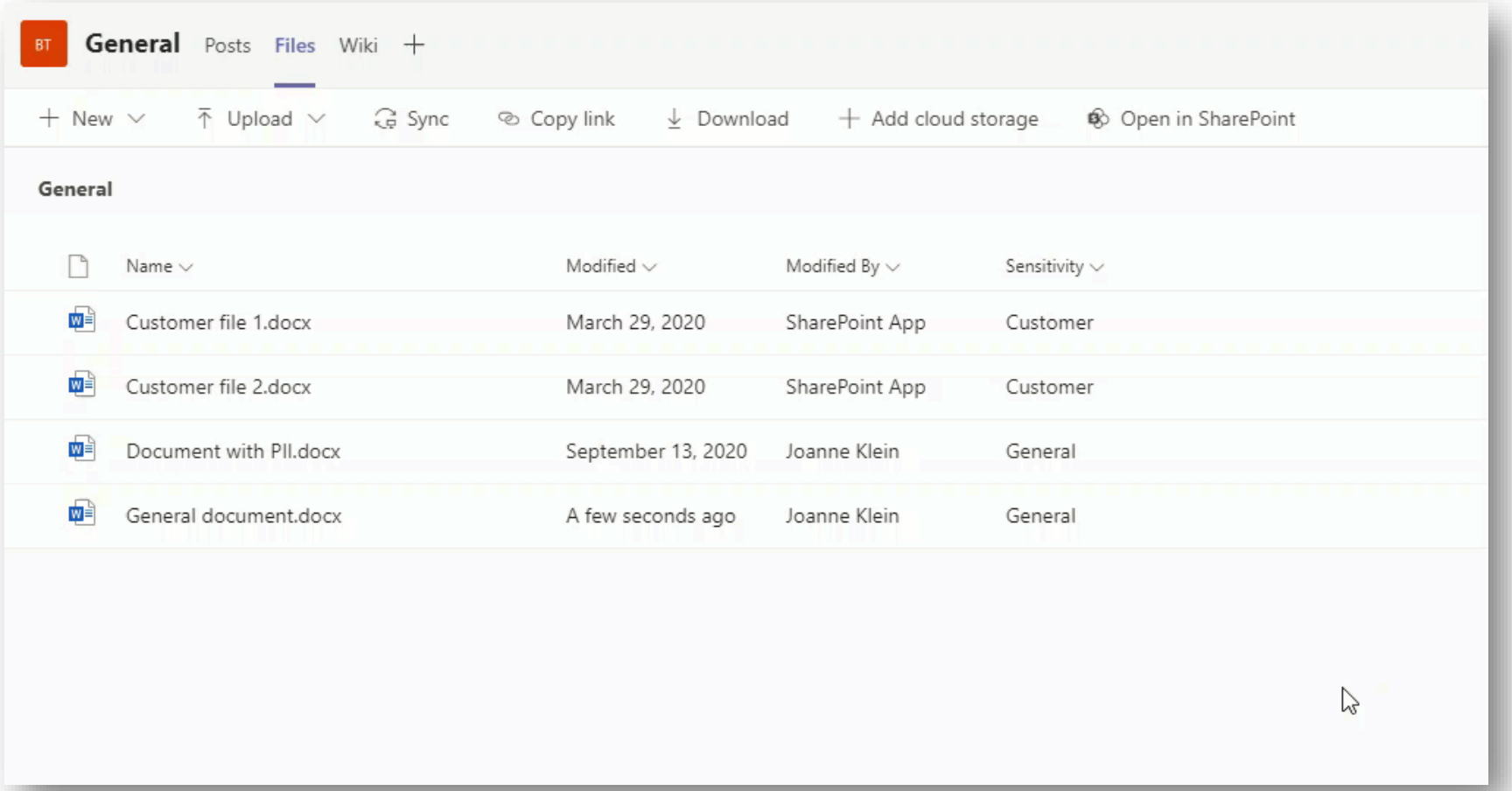


SHAREPOINT LIBRARY SENSITIVITY COLUMN

Documents

Name	Sensitivity	Retention label
Document 1 with PII.docx	Confidential	Record3Days
Document 2 with no PII.docx	General	Retain3Days
Document 2 with PII.docx	Confidential	Record3Days
Document 3 with no PII.docx	General	Retain3Days
Document 3 with PII.docx	Confidential	Record3Days
Document 4 with no PII.docx	General	Retain3Days
Document 4 with PII.docx	Confidential	Record3Days
Test Case #1 - confidential document.docx	Confidential	Retain3Days
Test Case #2 - super secret document.docx	Super Secret	Permanent

MICROSOFT TEAMS FILES TAB SENSITIVITY COLUMN



INFORMATION PROTECTION & GOVERNANCE

Protect and govern data – **wherever** it lives

Automatically retain, delete, and store data and records in compliant manner

Govern Your Data

Intelligently govern data across your environment to reduce risk

Streamlined administration

Centralized administration of your governance policies and added native connectors to import data from across your digital estate.

Automation at scale

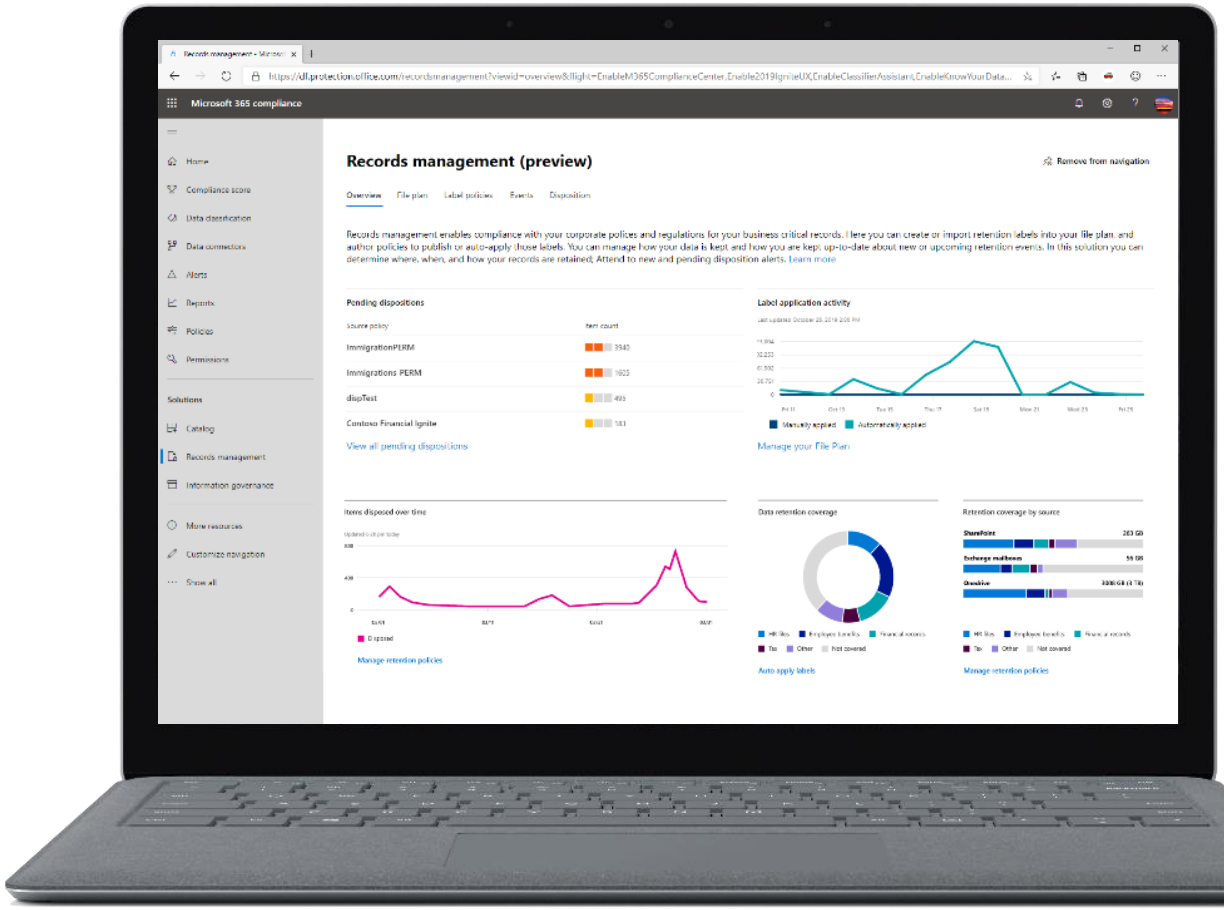
Intelligently classify and automatically retain **only** the data that is most important to you

Tailored workflows

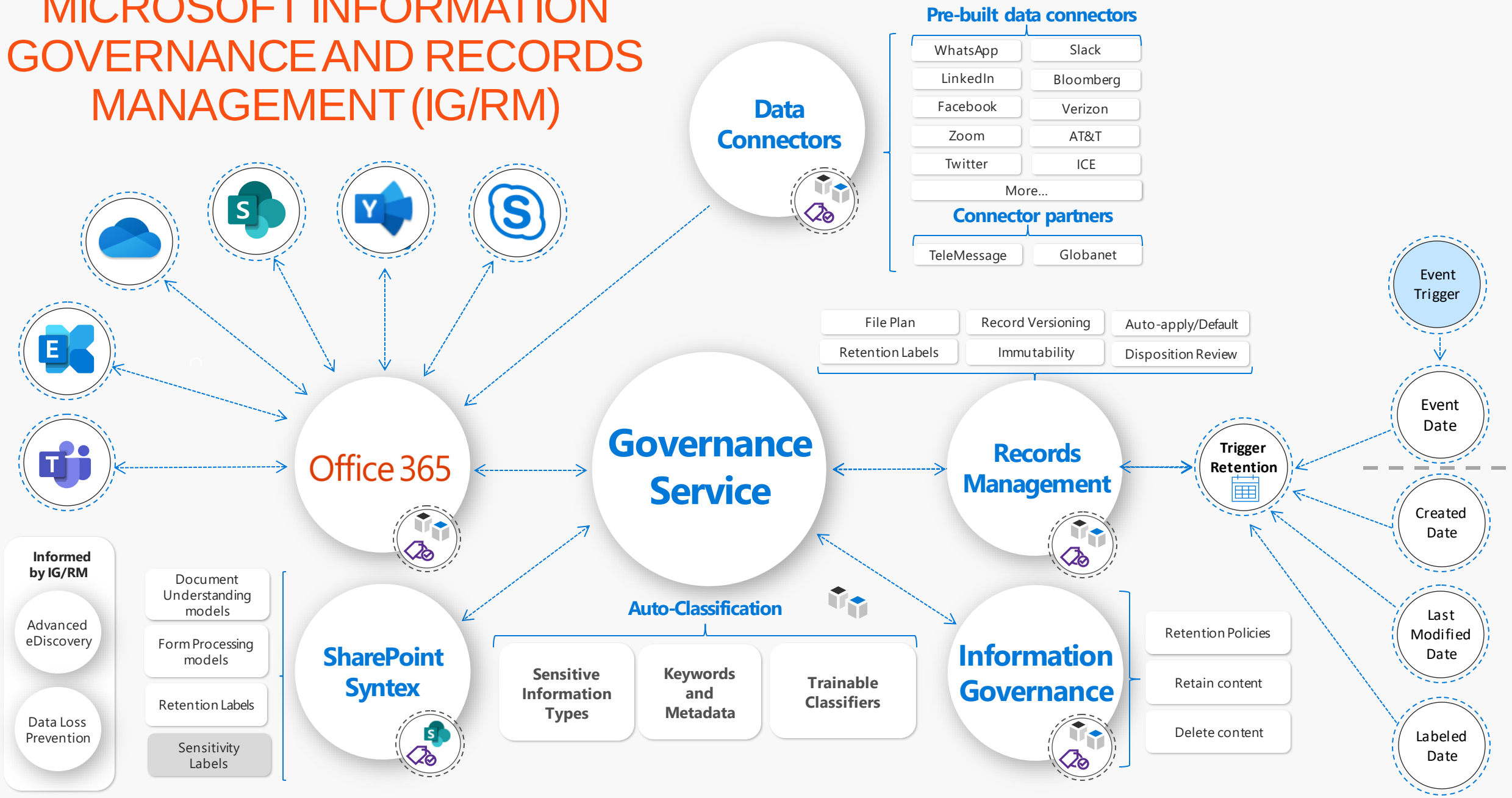
Act on insights and efficiently manage the entire lifecycle of data through disposition

Records Management

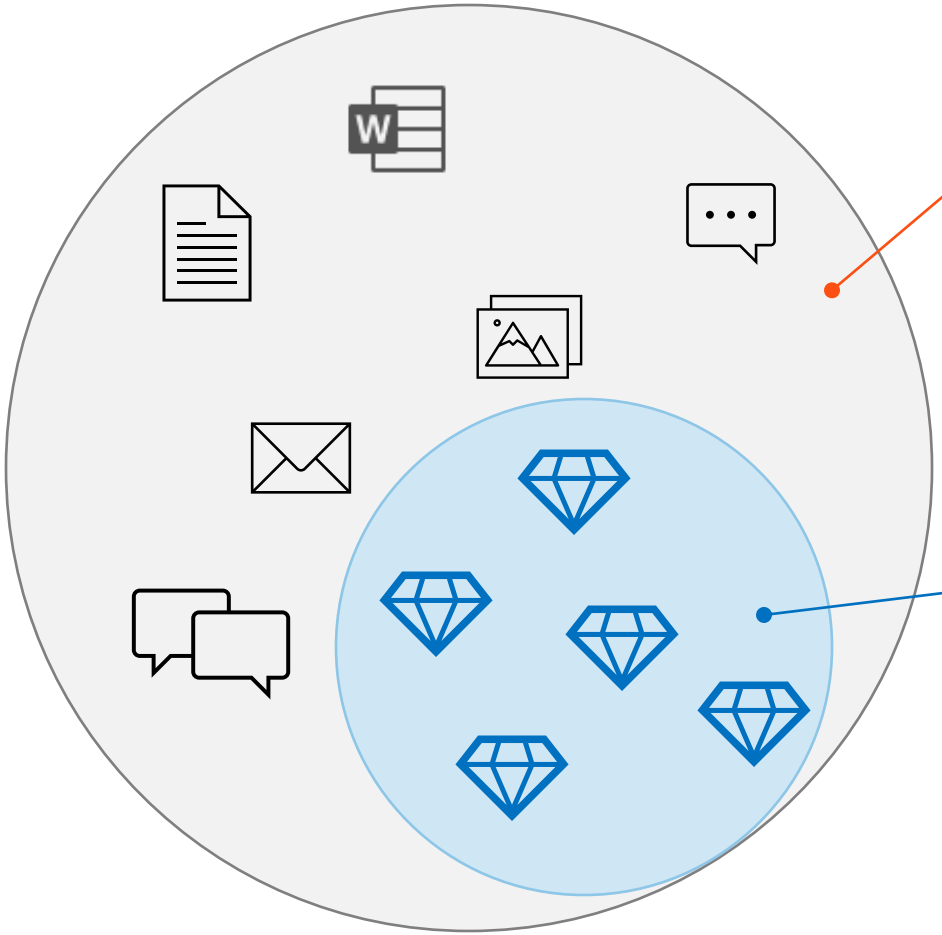
Ensure records are declared and stored immutably with full audit visibility to meet your regulations



MICROSOFT INFORMATION GOVERNANCE AND RECORDS MANAGEMENT (IG/RM)



Information Governance & Records Management



Microsoft 365 and beyond

Information Governance

- Manage risk and liability by only keeping what you need and deleting want you don't across your entire digital estate

Retention Policies

Retain only, Retain and Delete, or Delete only

Records Management

- Explicitly retain high value content to meet legal, regulatory, and business obligations

Retention Labels

Retain only, Retain and Delete, or Delete only

Regular label, Record label, Regulatory Record label

Modern Compliance…

What's a modern approach for SharePoint Information Architecture?

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What is SharePoint Information Architecture?

- Global Navigation structure
- Hub structure and organization
- Local site and page navigational structure
- Metadata architecture
- Search experiences
- Personalized content experiences

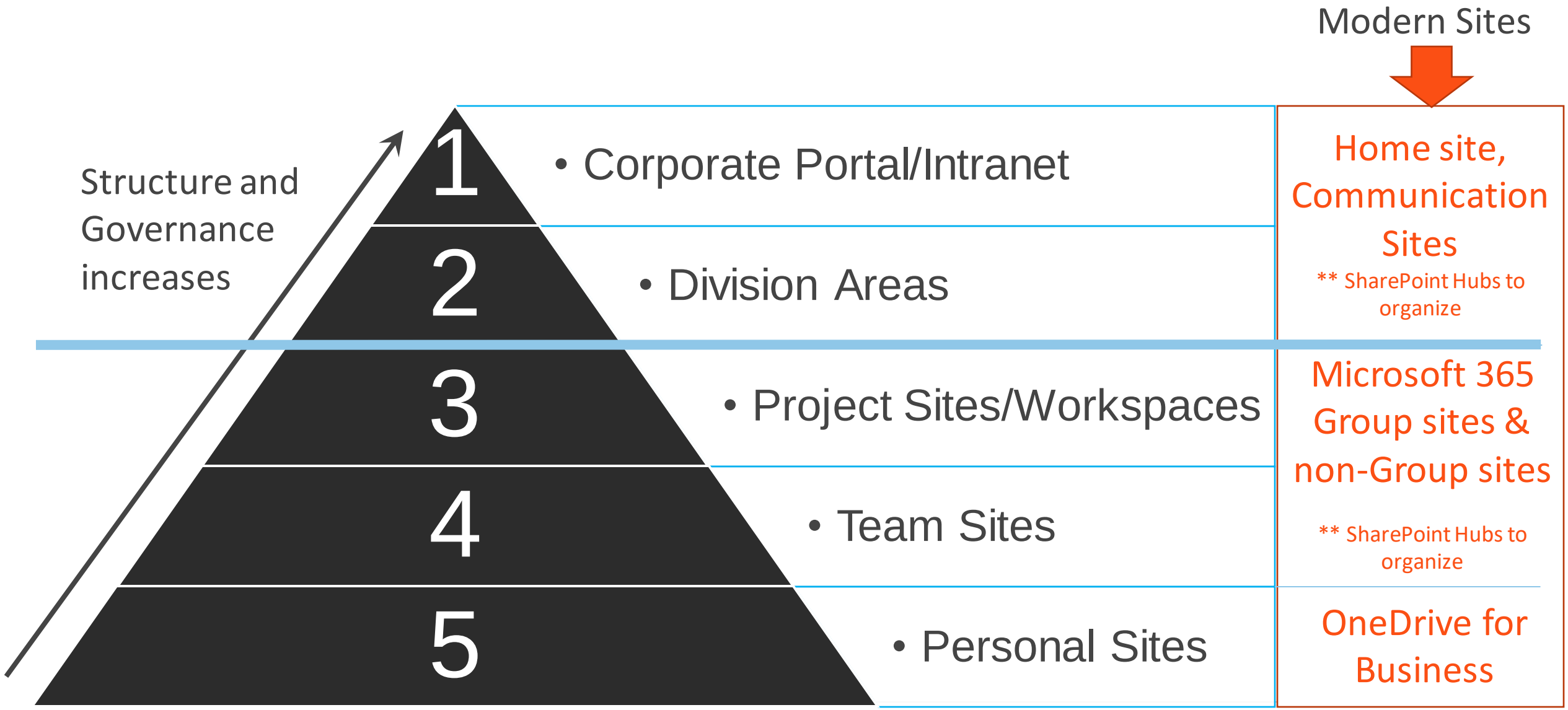
Reference: Introduction to SharePoint information architecture in Microsoft 365 | Microsoft Docs

What is SharePoint Information Architecture?

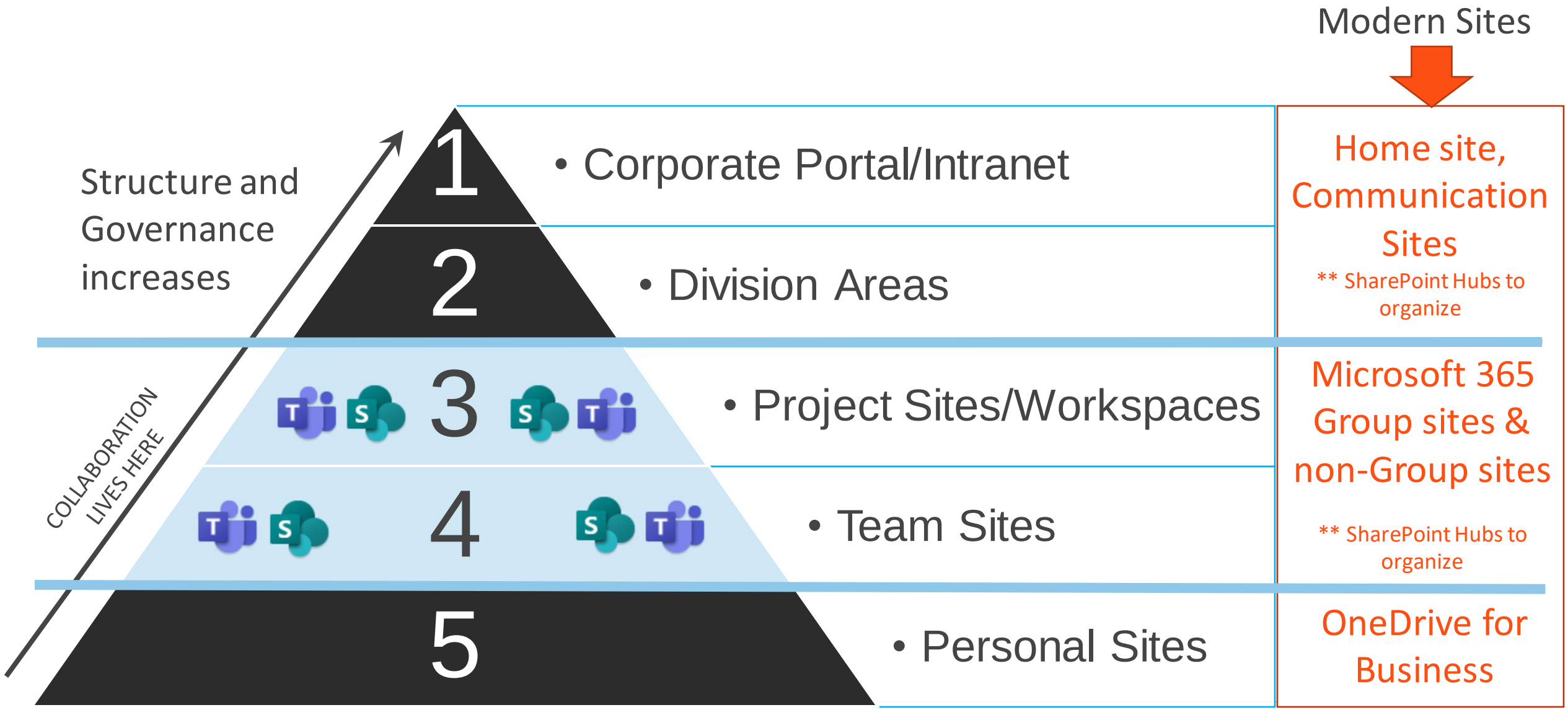
- Global Navigation structure
- Hub structure and organization
- Local site and page navigational structure
- **Metadata architecture** (Content Types and custom columns)
- Search experiences
- Personalized content experiences

Reference: Introduction to SharePoint information architecture in Microsoft 365 | Microsoft Docs

How much information architecture?



How much information architecture?



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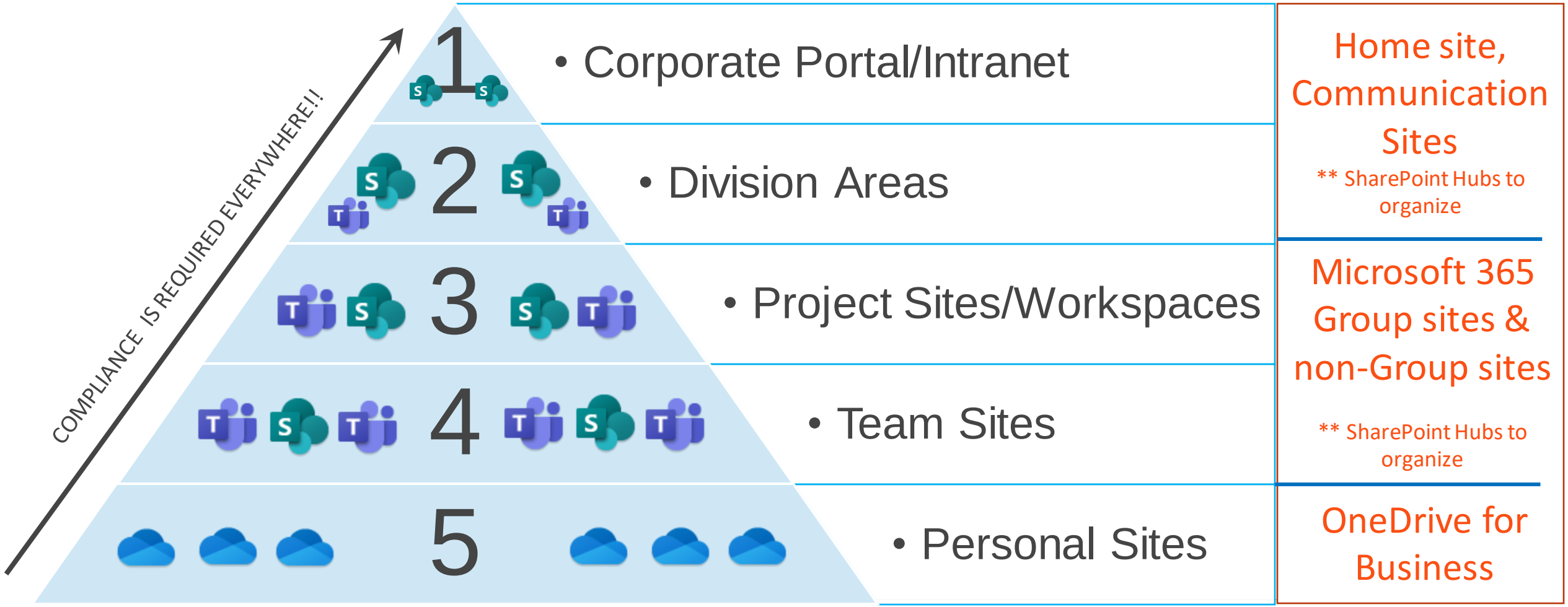
Where do we need compliance? **Everywhere!**



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What's changed with Information Architecture?

- End-users collaborate extensively (exclusively?) in Microsoft Teams
  - There's reduced need to navigate to SharePoint

- Content extends well beyond emails and documents today
  - Microsoft Teams chats and channel messages
  - Meeting recordings
  - Yammer community and user messages

Is there still a place for traditional SharePoint Information Architecture?

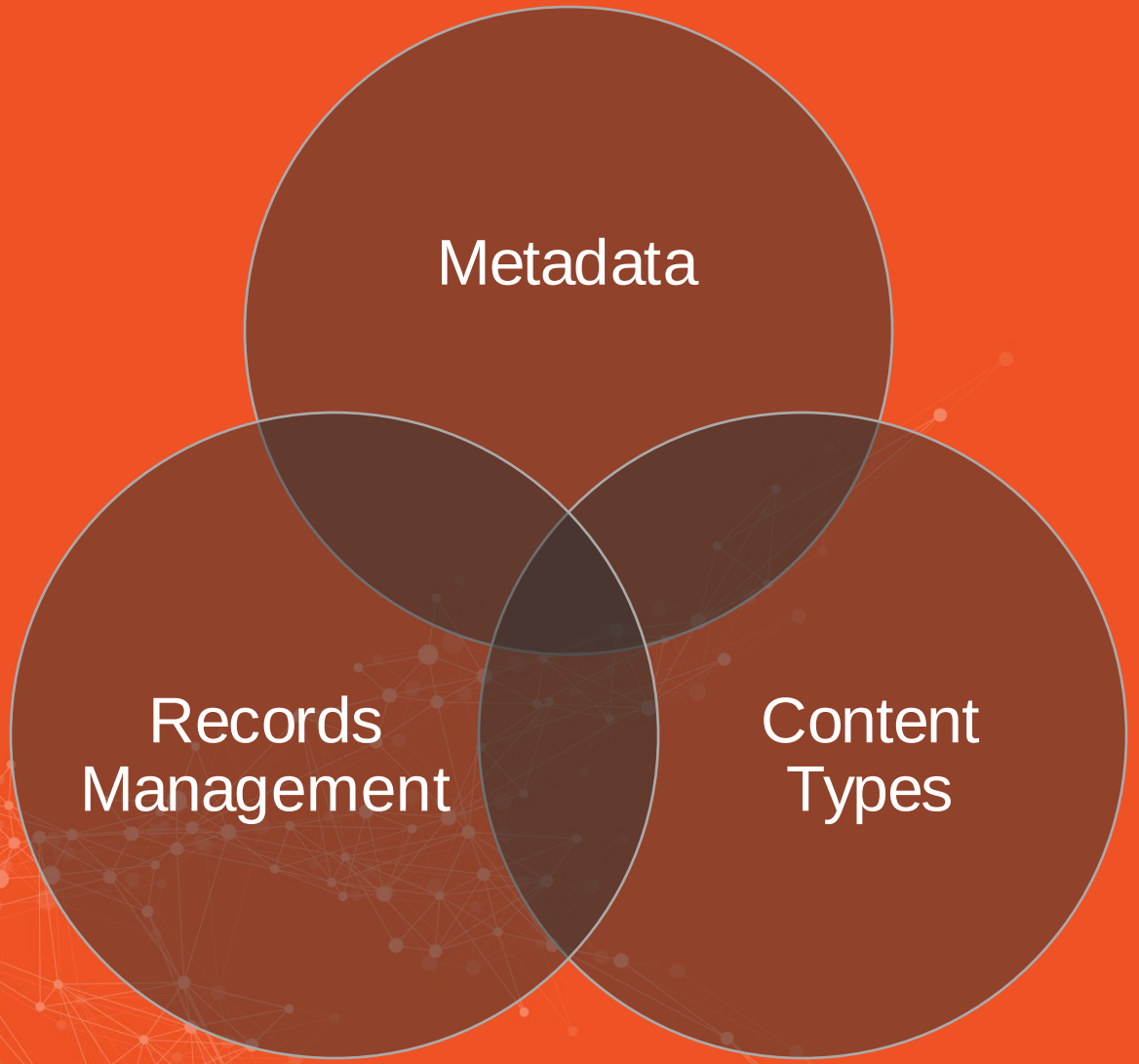
(Content Types and Metadata)

Content Types and Metadata can…

- Enable workflows (streamline business processes)
- Enhance search
- Provide options for organizing content within a list/library
- Apply templates
- …

Another valuable use…

Records Management
(to apply retention labels)



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What is (traditional) Records Management?

An organizational function devoted to the management of information throughout its life cycle

Part of the broader function in an organization of governance, risk management, and compliance

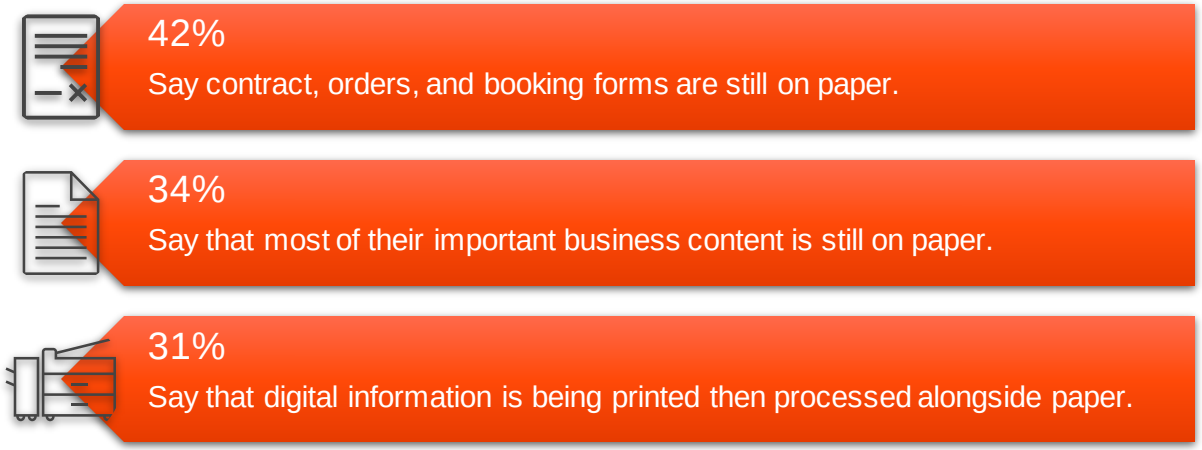
Minimize risk to the organization

Ensures compliance with regulations, guidelines and business obligations

Protect information from unauthorized disclosure

What's changed with Records Management?

- Records Management is being modernized
  - Moving from a paper-based world to (partly) digital world

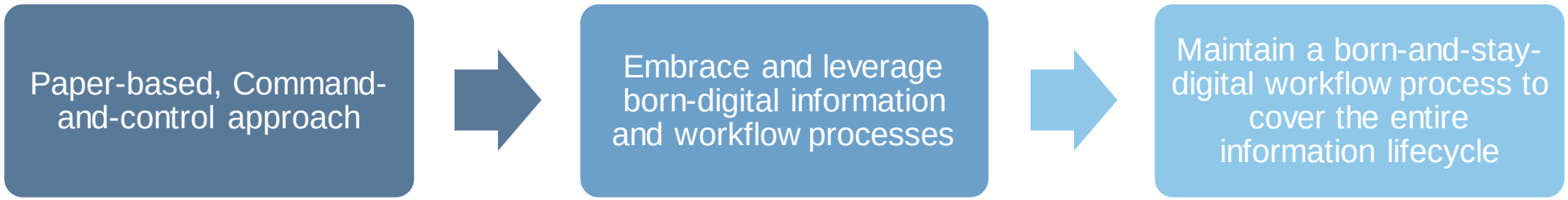


  - Moving from email-centric communication to chats, messaging apps, video
  - To stay relevant… shifting focus from exclusively 'compliance and risk' to including how they can better support the business on digital transformation

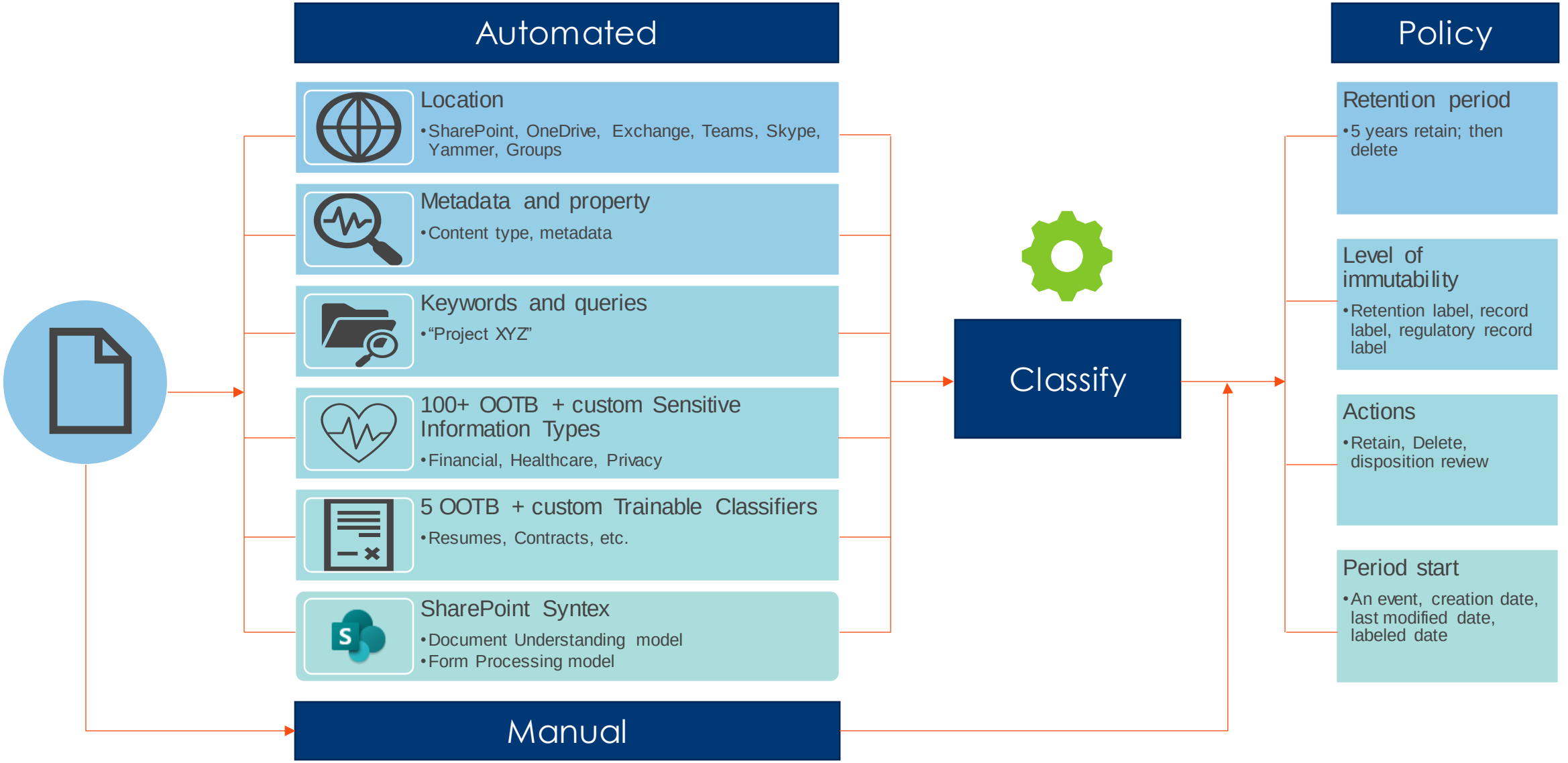
Link: [AIIM | How to become a Modern Records Manager and a Business Enabler]

What's changed with Records Management?

- The Challenges:
  - Retention and disposition on digital records… "out of sight, out of mind"
  - Records Management function is being pushed to end-users
- Records Managers need to:
  - Support innovation by looking for ways to digitize paper-based workflows
  - Support a modernized information infrastructure
  - Support a reliance on automation for governance and compliance needs



Classify and govern data and records intelligently



Ways to Auto-apply a Retention Label to SharePoint content

#1 – Automatically apply at a document library level

#2 – Automatically apply at a folder or document set level

#3 – Auto-apply based on a sensitive information type

#4 – Auto-apply based on a keyword query

#5 – Auto-apply based on a content type

#6 – Auto-apply based on a metadata value

#7 – Automatically set using Power Automate

#8 – Automatically set using custom code/PowerShell

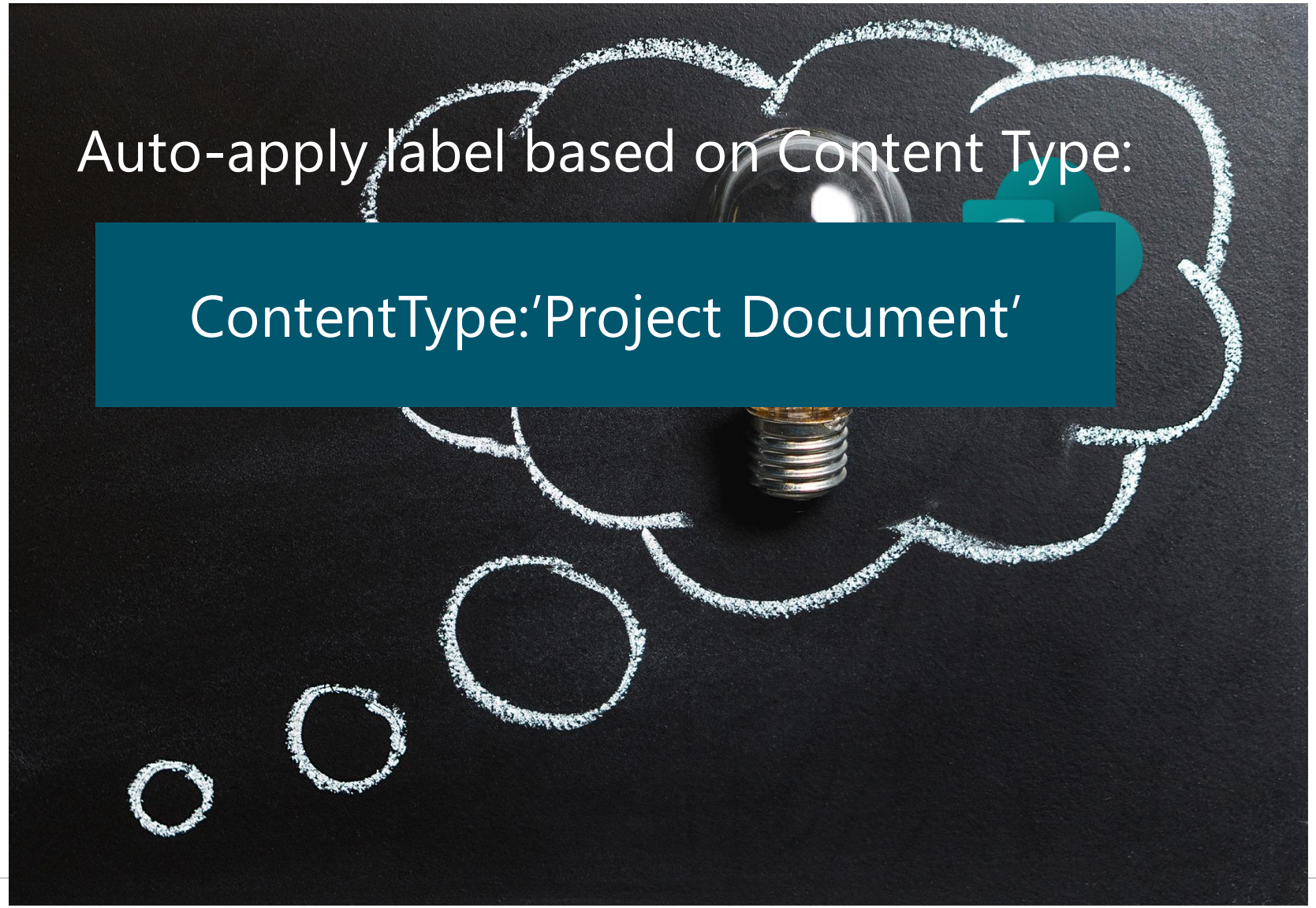
#9 – Auto-apply based on a Trainable Classifier

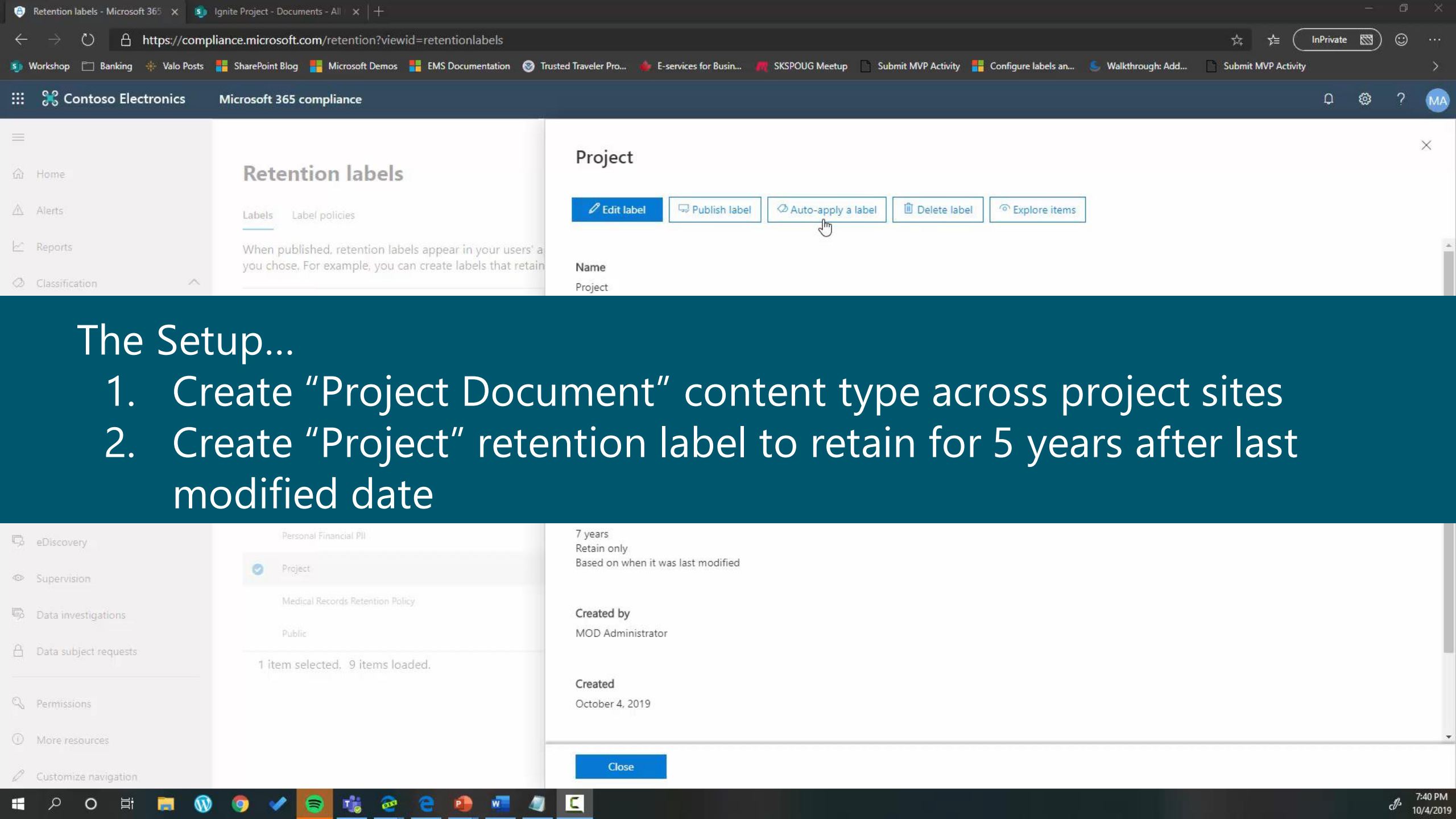
#10 – Auto-apply based on SharePoint Syntex AI Models

Auto-apply based on content type

ContentType:"*ContentTypeName*"

What's a use-case? Project documents

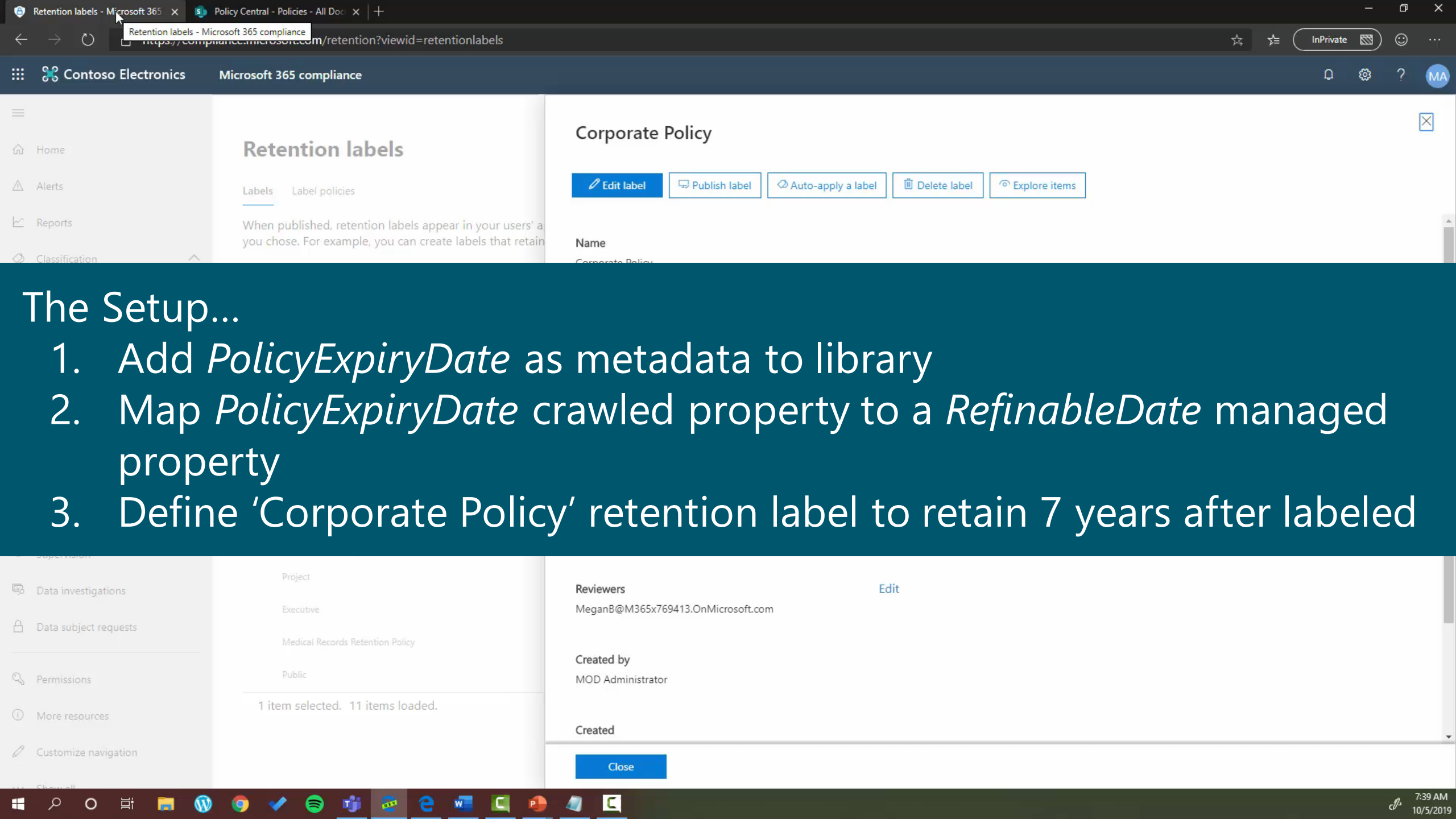



Retention labels - Microsoft 365
Ignite Project - Documents - All
https://compliance.microsoft.com/retention?viewid=retentionlabels
InPrivate
Workshop
Banking
Valo Posts
SharePoint Blog
Microsoft Demos
EMS Documentation
Trusted Traveler Pro...
E-services for Busin...
SKSPOUG Meetup
Submit MVP Activity
Configure labels an...
Walkthrough: Add...
Submit MVP Activity
Contoso Electronics
Microsoft 365 compliance
MA
Home
Alerts
Reports
Classification
Retention labels
Labels
Label policies
When published, retention labels appear in your users' a
you chose. For example, you can create labels that retain
Project
Edit label
Publish label
Auto-apply a label
Delete label
Explore items
Name
Project
The Setup…
1. Create “Project Document” content type across project sites
2. Create “Project” retention label to retain for 5 years after last modified date
eDiscovery
Supervision
Data investigations
Data subject requests
Permissions
More resources
Customize navigation
Personal Financial PII
Project
Medical Records Retention Policy
Public
1 item selected. 9 items loaded.
7 years
Retain only
Based on when it was last modified
Created by
MOD Administrator
Created
October 4, 2019
Close
7:40 PM
10/4/2019

Auto-apply based on a metadata value

Column types: Choice | Managed Metadata* | Date

What's a use-case? Expired Corporate Policies


Retention labels - Microsoft 365
Policy Central - Policies - All Doc
Retention labels - Microsoft 365 compliance
/retention?viewid=retentionlabels
InPrivate
Contoso Electronics
Microsoft 365 compliance
MA
Home
Alerts
Reports
Classification
Retention labels
Labels
Label policies
When published, retention labels appear in your users' a
you chose. For example, you can create labels that retain
Corporate Policy
Edit label
Publish label
Auto-apply a label
Delete label
Explore items
Name
The Setup…
1. Add PolicyExpiryDate as metadata to library
2. Map PolicyExpiryDate crawled property to a RefinableDate managed property
3. Define 'Corporate Policy' retention label to retain 7 years after labeled
Data investigations
Data subject requests
Permissions
More resources
Customize navigation
Project
Executive
Medical Records Retention Policy
Public
1 item selected. 11 items loaded.
Reviewers
Edit
MeganB@M365x769413.OnMicrosoft.com
Created by
MOD Administrator
Created
Close
7:39 AM
10/5/2019

SharePoint Syntex Auto-Apply example

Document Understanding Model

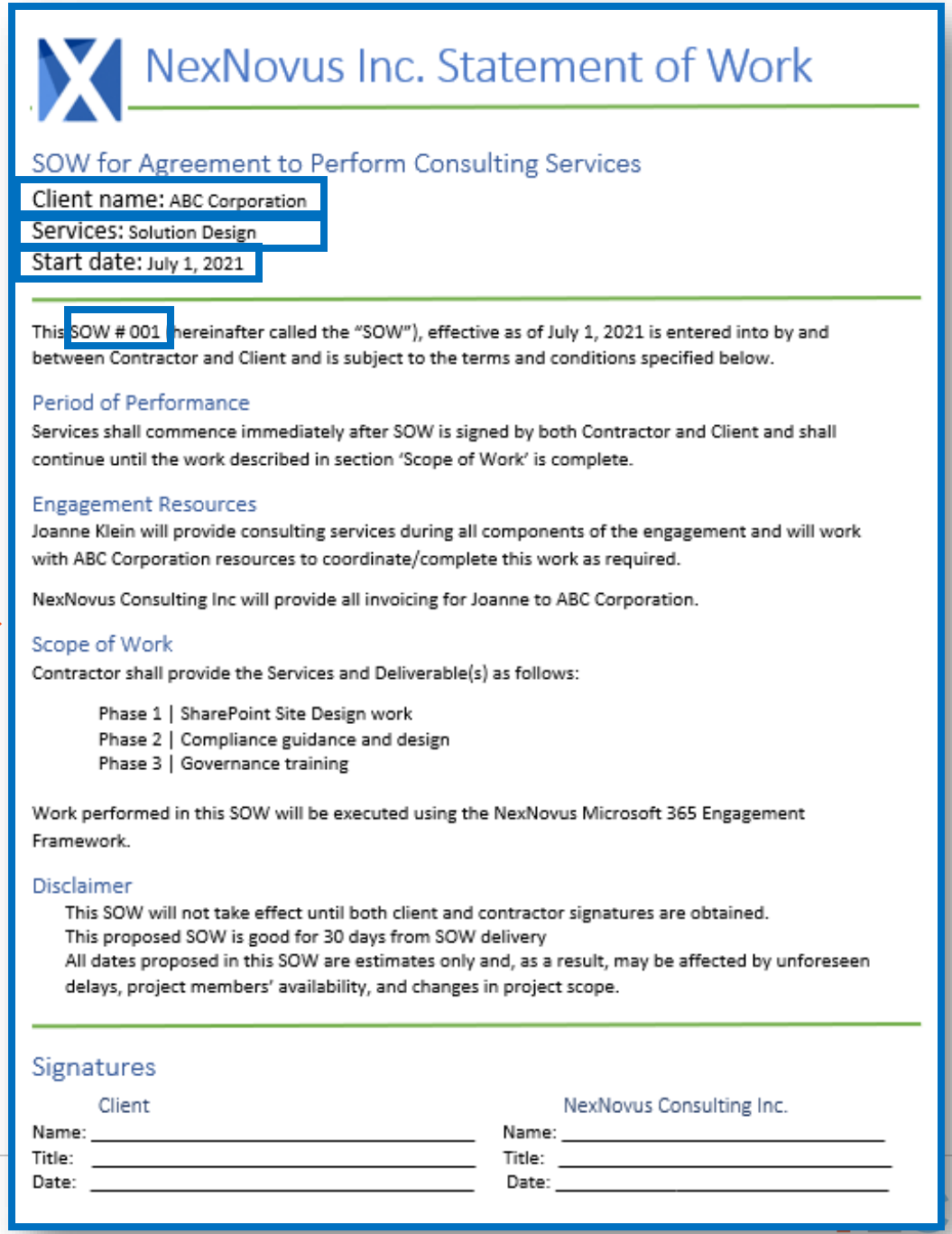
High-level Steps

- Create a document library to store SOWs in a SharePoint site
  - other content could be stored in the library as well
- Create a DU classifier model for SOW in the Content Center
  - use an existing published Content Type or create new
- Upload 5 positive and 1 negative SOW samples to train the model
- Train DU model to recognize an SOW based on your samples
- Train DU model to extract metadata fields from an SOW (optional)
- Publish (apply) the DU model to the document library
- Upload documents to the library and watch what happens!!

This is what an SOW looks like

- Client Name
- Services performed
- Start date
- SOW #

SOW Content Type



NexNovus Inc. Statement of Work

SOW for Agreement to Perform Consulting Services

Client name: ABC Corporation
Services: Solution Design
Start date: July 1, 2021

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Engagement Resources

Joanne Klein will provide consulting services during all components of the engagement and will work with ABC Corporation resources to coordinate/complete this work as required.

NexNovus Consulting Inc will provide all invoicing for Joanne to ABC Corporation.

Scope of Work

Contractor shall provide the Services and Deliverable(s) as follows:

Phase 1 | SharePoint Site Design work
Phase 2 | Compliance guidance and design
Phase 3 | Governance training

Work performed in this SOW will be executed using the NexNovus Microsoft 365 Engagement Framework.

Disclaimer

This SOW will not take effect until both client and contractor signatures are obtained.
This proposed SOW is good for 30 days from SOW delivery
All dates proposed in this SOW are estimates only and, as a result, may be affected by unforeseen delays, project members' availability, and changes in project scope.

Signatures

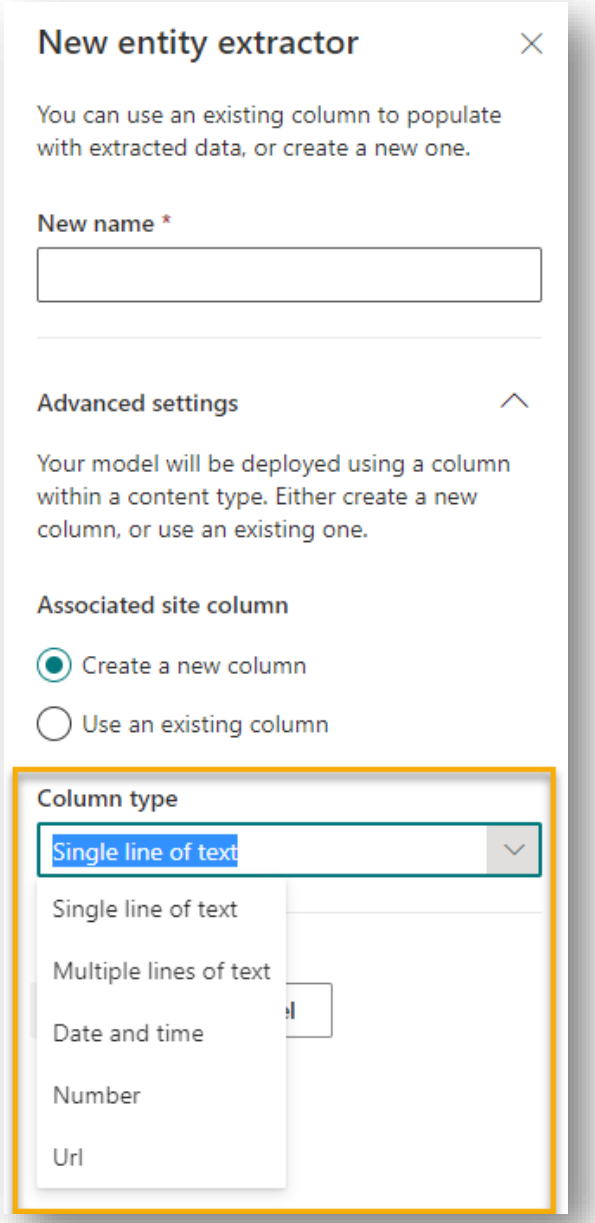
Client	NexNovus Consulting Inc.
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	Date: _____

Information Architecture

- Content Type: SOW
- Site Columns:
  - Client Name: managed metadata, tenant-level term set
  - Services Performed: managed metadata, tenant-level term set
  - SOW Start date: Date column type
  - SOW #: Single line of text column type

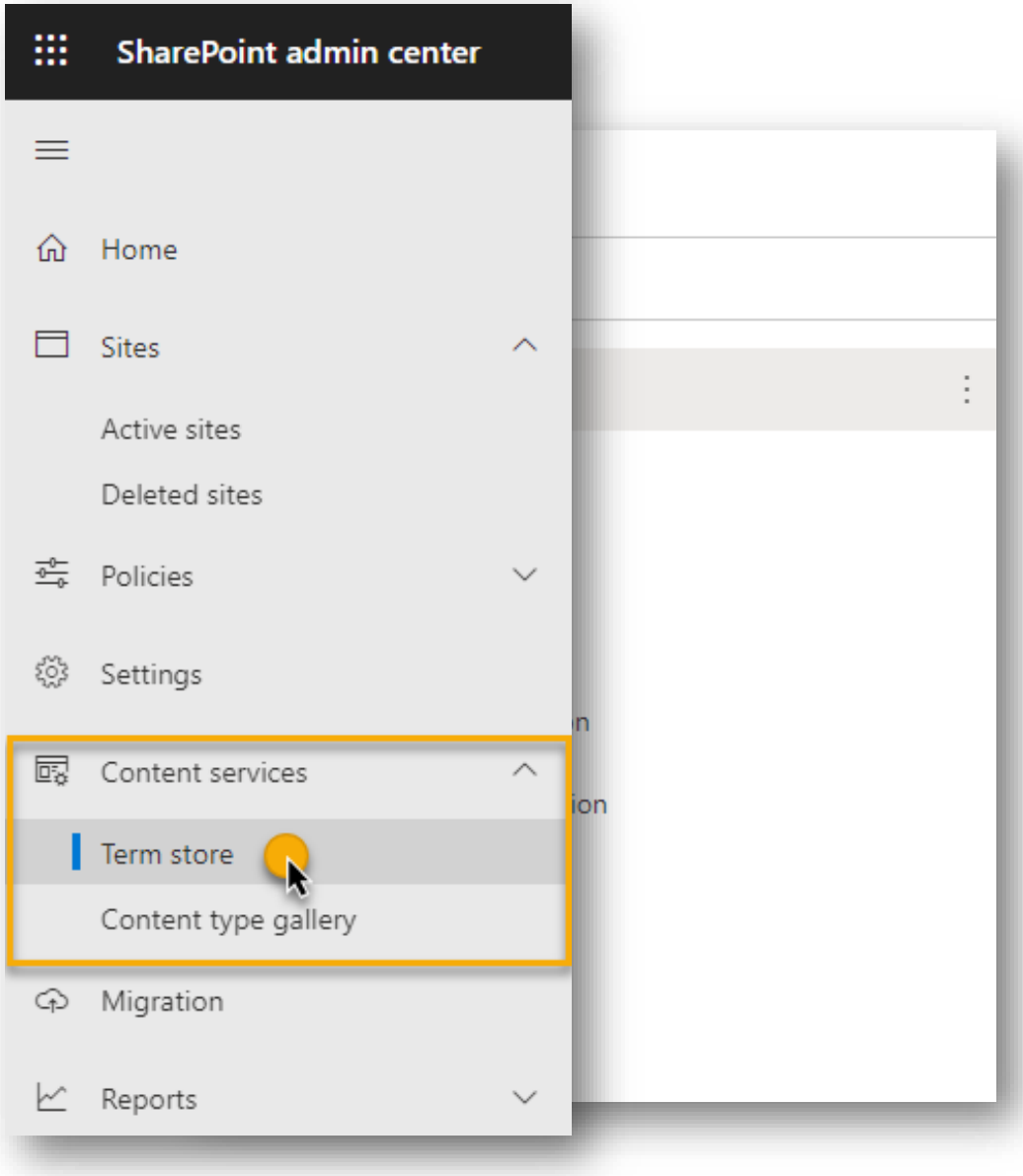
Site Columns will be automatically created when we create the column entity extractors (dependent on column data type)

Set up the tenant-level term sets in advance



Client Name metadata

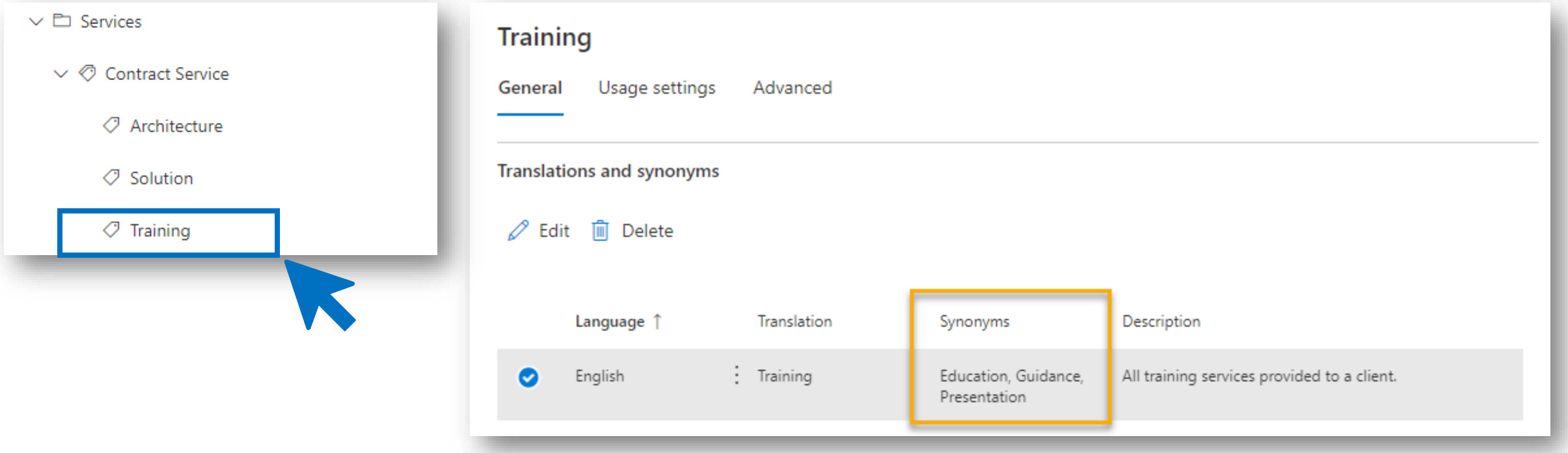
- Tenant-level term set
- Terms added for each client



Understand your organization's content-centric processes to streamline them with SharePoint Syntex

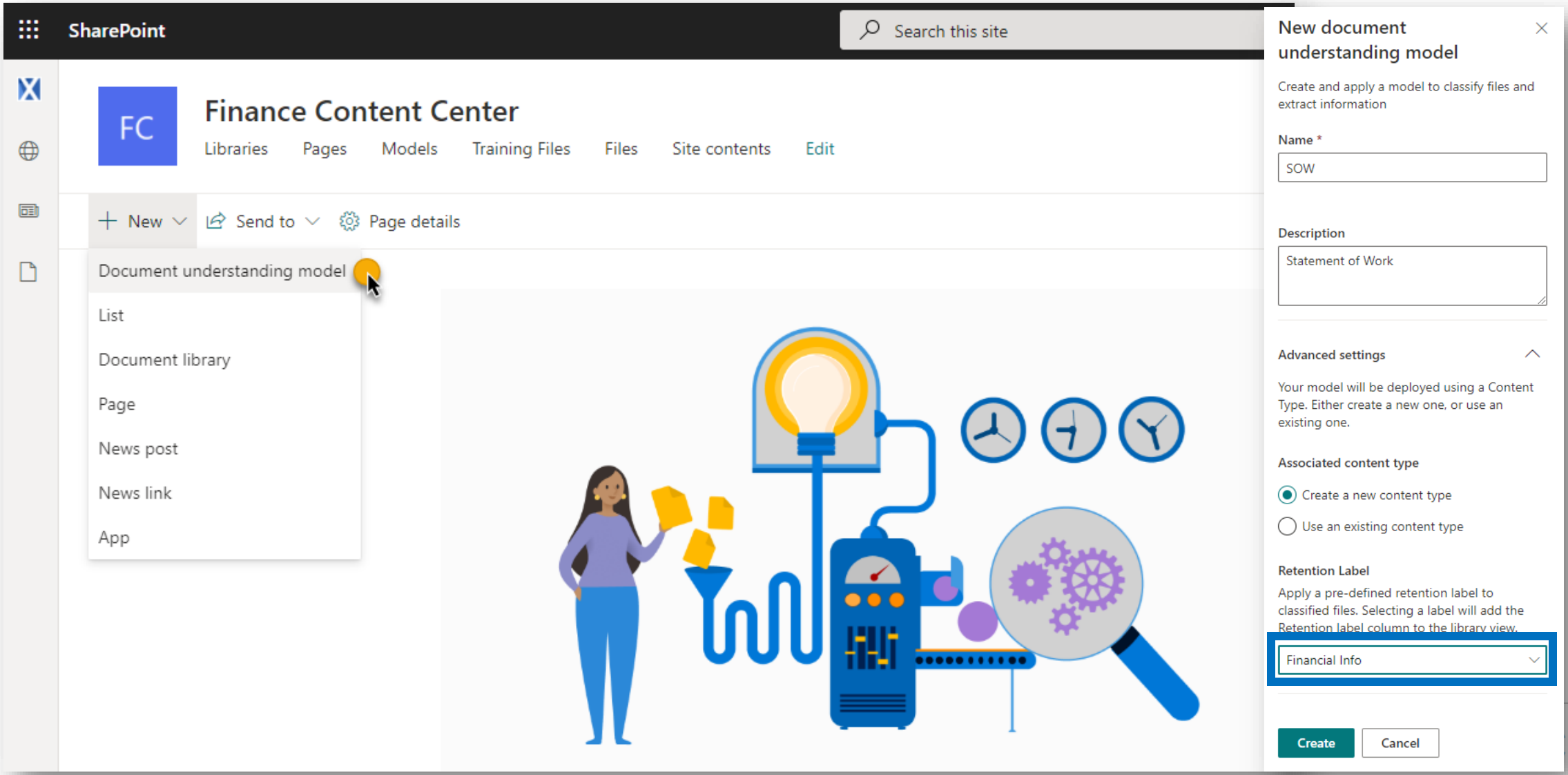
Services Performed metadata

- Tenant-level term set created
- Synonyms added as required **



Create a new DU Model

(Uses AI to Automatically detect/classify our SOW)



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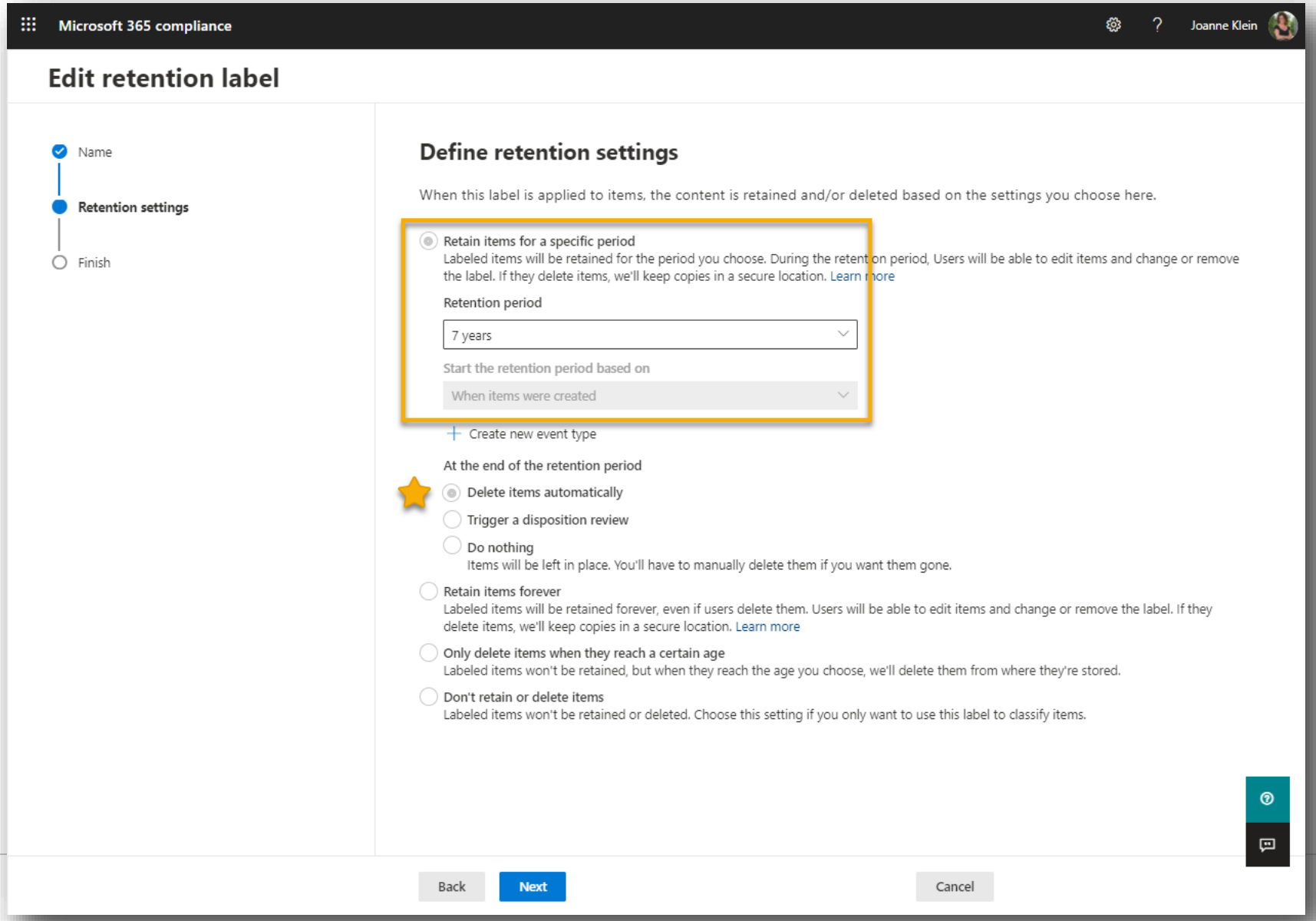
Retention Label



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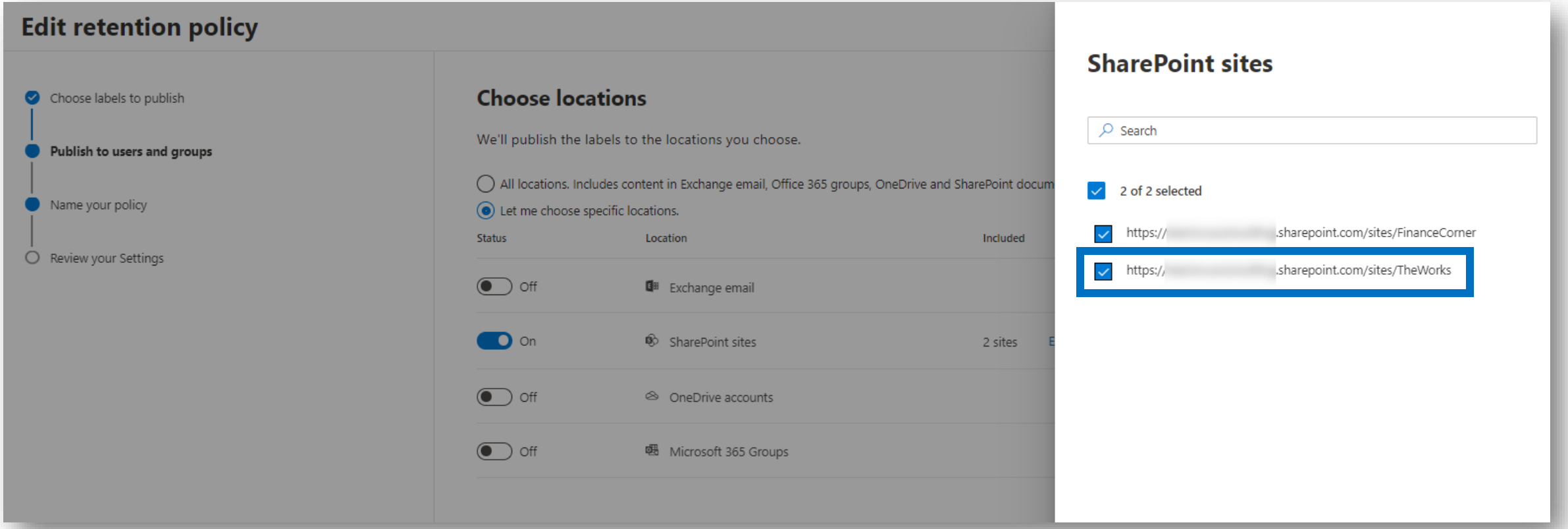
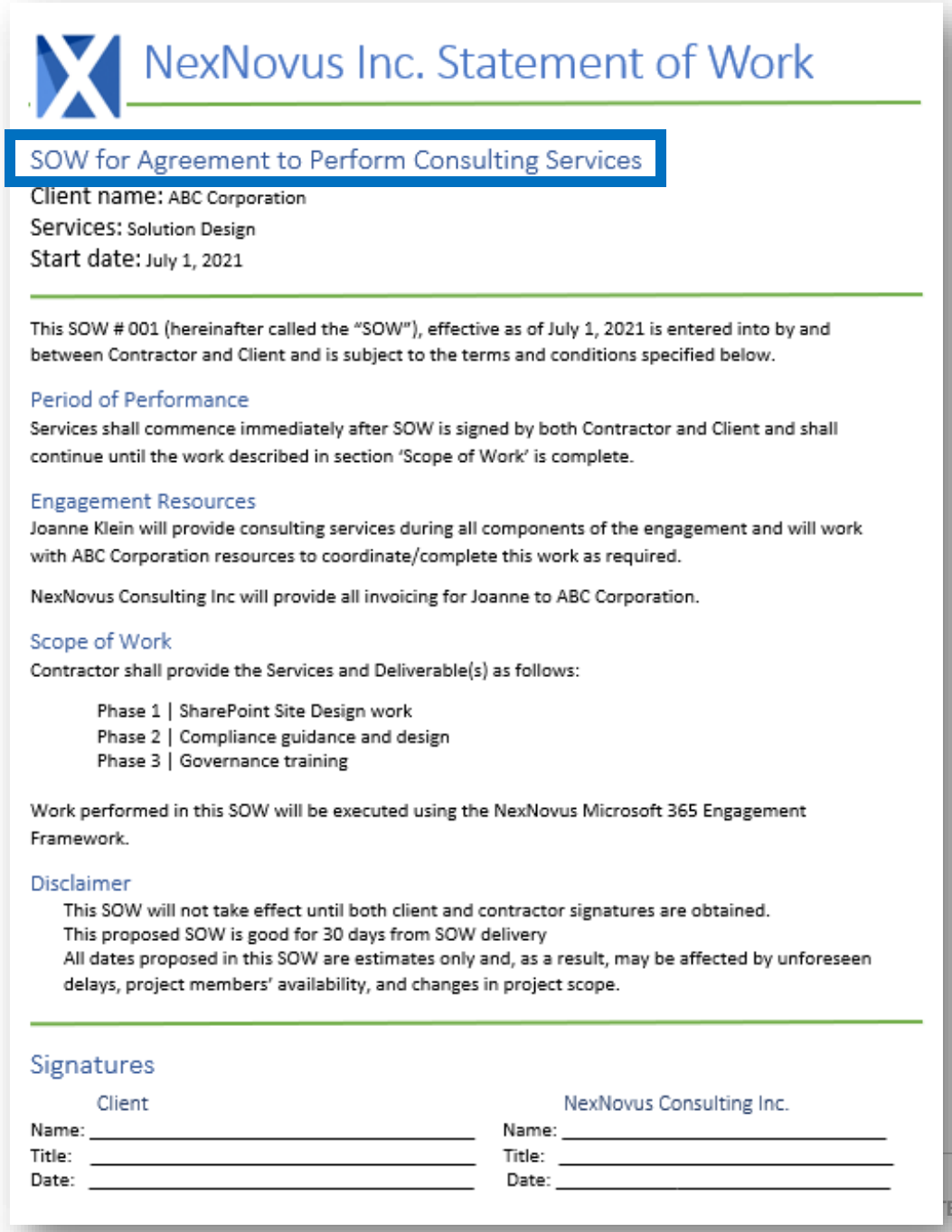
Publish Retention Label





NexNovus Inc. Statement of Work

SOW for Agreement to Perform Consulting Services

Client name: ABC Corporation
Services: Solution Design
Start date: July 1, 2021

This SOW # 001 (hereinafter called the "SOW"), effective as of July 1, 2021 is entered into by and between Contractor and Client and is subject to the terms and conditions specified below.

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Joanne Klein will provide consulting services during all components of the engagement and will work with ABC Corporation resources to coordinate/complete this work as required.

NexNovus Consulting Inc will provide all invoicing for Joanne to ABC Corporation.

Scope of Work

Contractor shall provide the Services and Deliverable(s) as follows:

Phase 1 | SharePoint Site Design work
Phase 2 | Compliance guidance and design
Phase 3 | Governance training

Work performed in this SOW will be executed using the NexNovus Microsoft 365 Engagement Framework.

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Signatures

Client	NexNovus Consulting Inc.
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	Date: _____

Positive	Negative	Train
Upload a minimum of 5 positive examples of an SOW	Upload a minimum of 1 negative example of an SOW	Train the model • Create Explanations as required to identify an SOW • Label each example as positive or negative

An explanation is like a tip to help the model identify your document and ensures accuracy.

You need at least 1.

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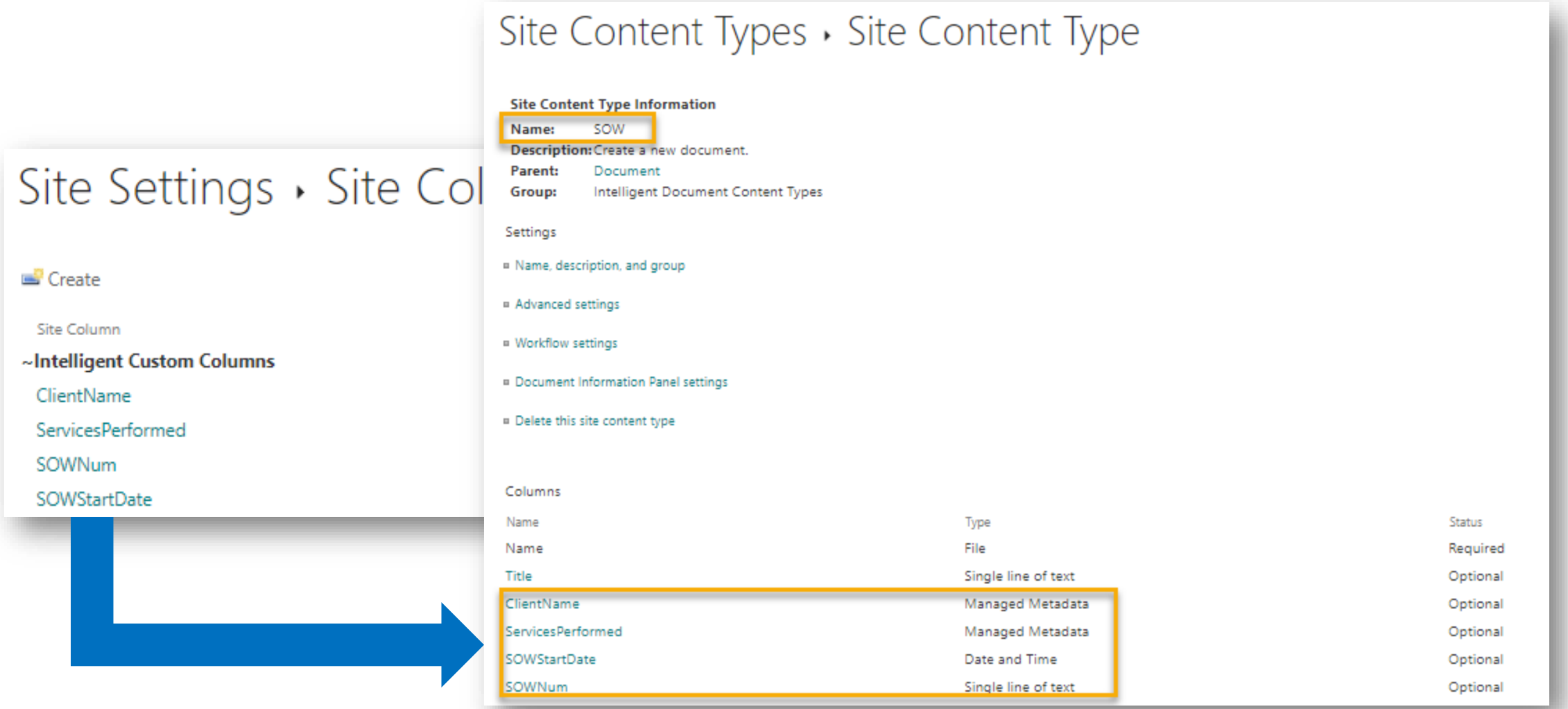
Create Extractors (OPTIONAL)

Do you want to pull specific information out of the document and save it to a column in a SharePoint library?

- Columns to extract:
  - Client Name | managed metadata from tenant-level term set
  - Services Performed | managed metadata from tenant-level term set
  - SOW Start date | date
  - SOW # | Single line of text

  - Either use existing columns or create new
    - I pre-created all site columns
    - I added them into the SOW content type manually

Create Site Columns



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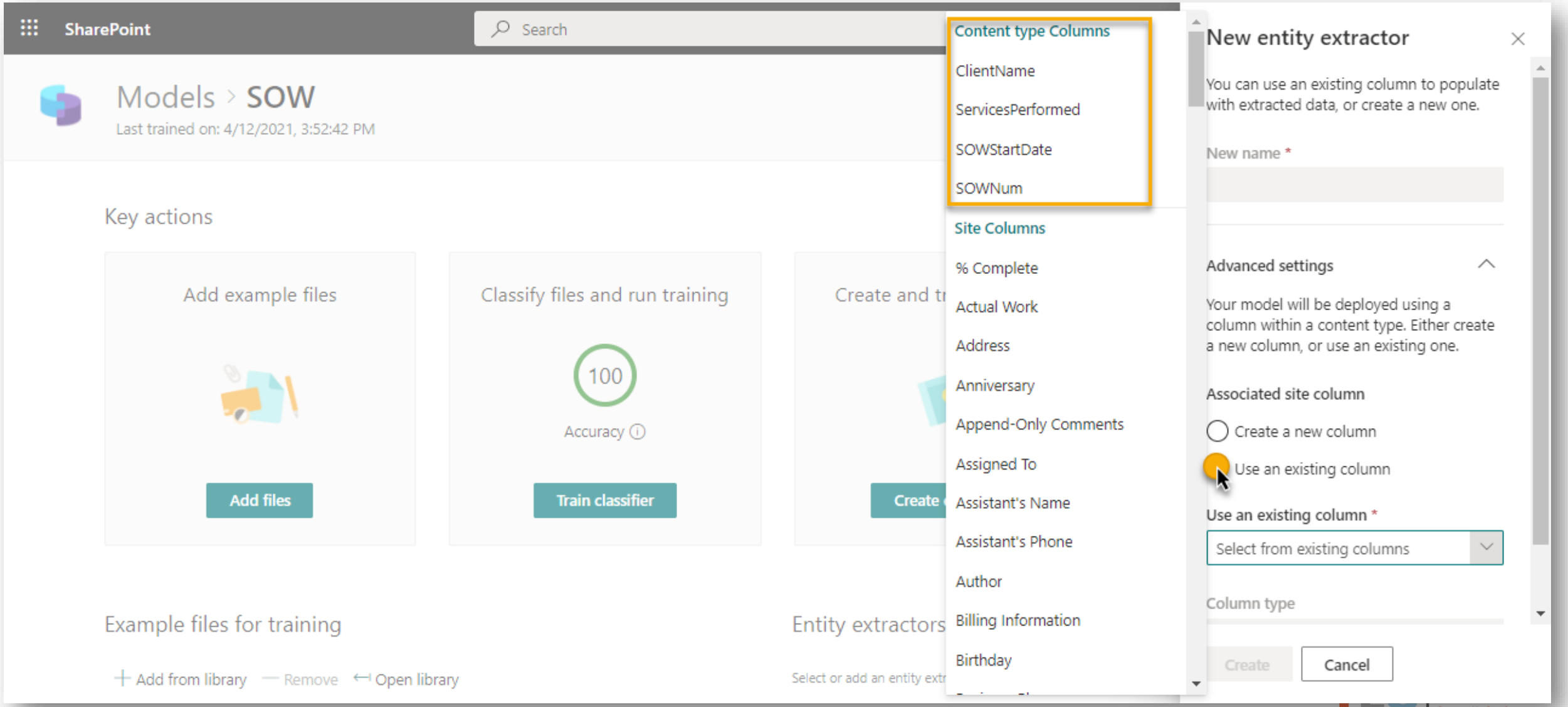
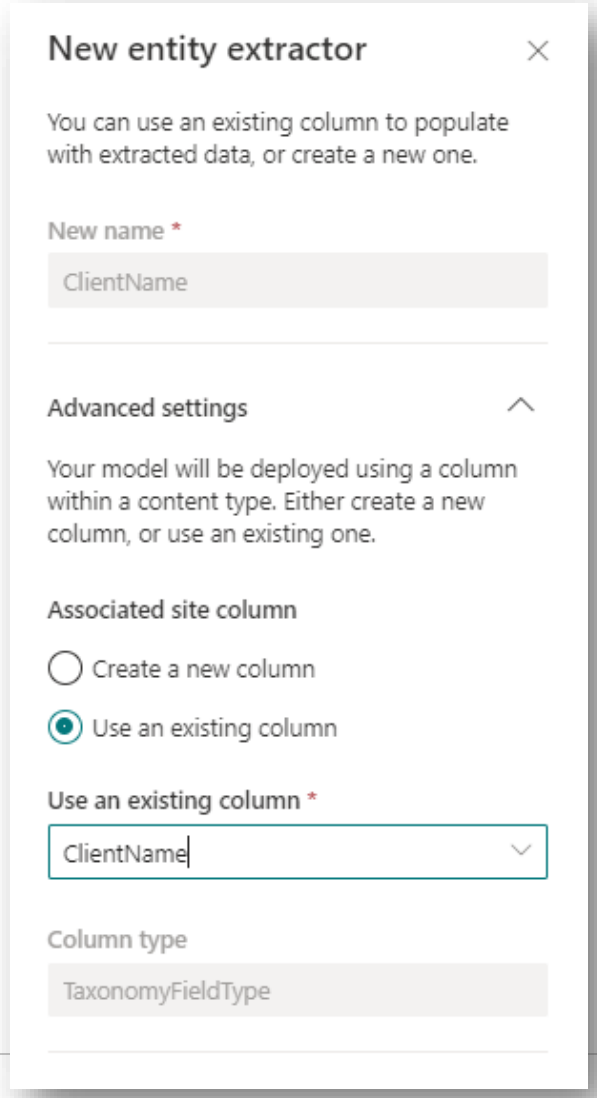
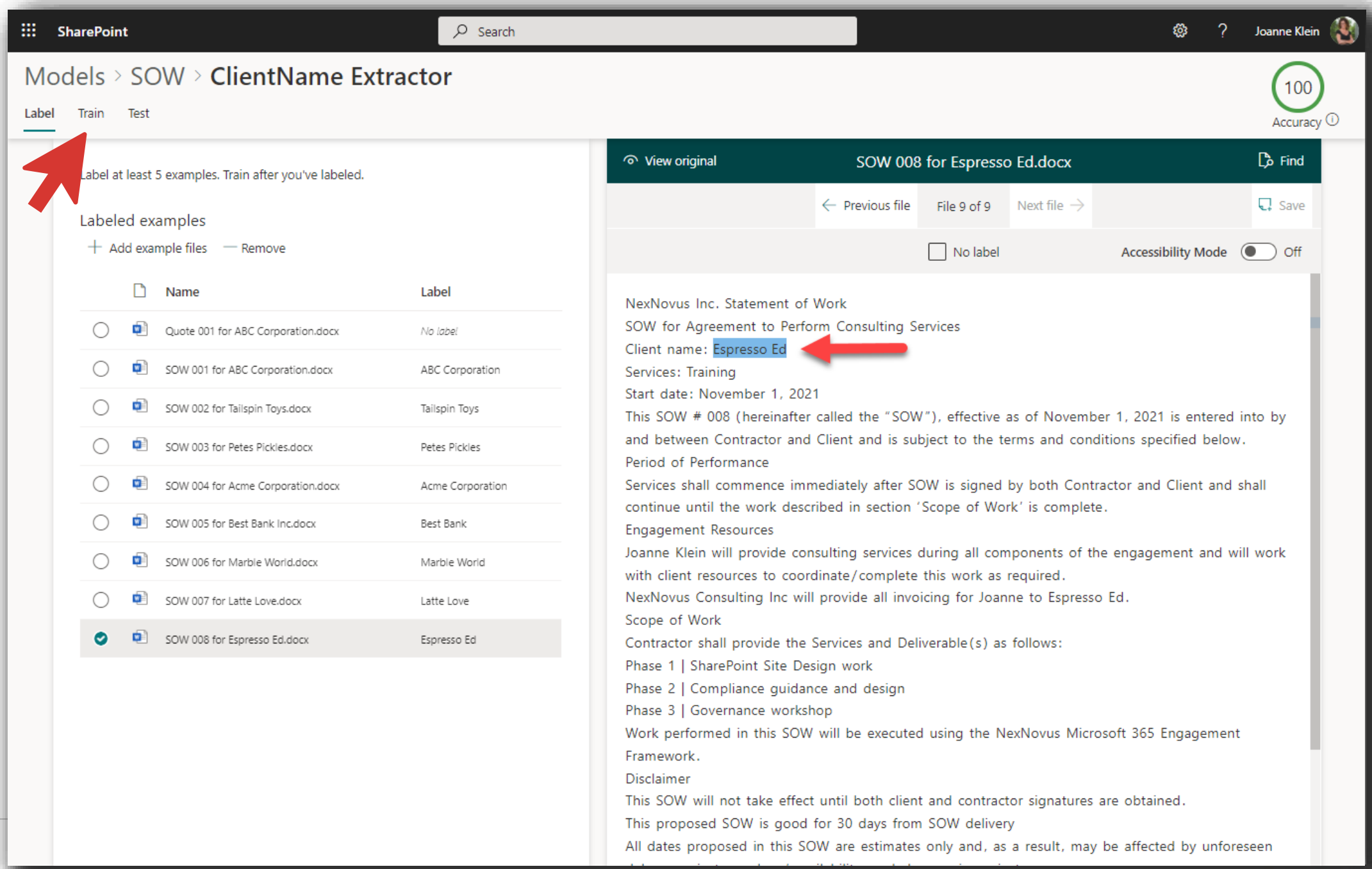
Create Entity (column) Extractors



Client Name Extractor



- Extract this information from each SOW document to automatically populate the metadata column in the SharePoint library
- Steps:
  - Create the column (or use existing)
  - Label each file with the value
  - Provide 1 or more explanations to help the model identify the Client Name
  - Train the model
  - Your goal is **100%**


SharePoint
Search
Joanne Klein
Models › SOW › ClientName Extractor
Label
Train
Test
100
Accuracy
Label at least 5 examples. Train after you've labeled.
Labeled examples
Add example files
Remove
Name
Label
Quote 001 for ABC Corporation.docx
No label
SOW 001 for ABC Corporation.docx
ABC Corporation
SOW 002 for Tailspin Toys.docx
Tailspin Toys
SOW 003 for Petes Pickles.docx
Petes Pickles
SOW 004 for Acme Corporation.docx
Acme Corporation
SOW 005 for Best Bank Inc.docx
Best Bank
SOW 006 for Marble World.docx
Marble World
SOW 007 for Latte Love.docx
Latte Love
SOW 008 for Espresso Ed.docx
Espresso Ed
View original
SOW 008 for Espresso Ed.docx
Find
Previous file
File 9 of 9
Next file
Save
No label
Accessibility Mode
Off
NexNovus Inc. Statement of Work
SOW for Agreement to Perform Consulting Services
Client name: Espresso Ed
Services: Training
Start date: November 1, 2021
This SOW # 008 (hereinafter called the "SOW"), effective as of November 1, 2021 is entered into by and between Contractor and Client and is subject to the terms and conditions specified below.
Period of Performance
Services shall commence immediately after SOW is signed by both Contractor and Client and shall continue until the work described in section 'Scope of Work' is complete.
Engagement Resources
Joanne Klein will provide consulting services during all components of the engagement and will work with client resources to coordinate/complete this work as required.
NexNovus Consulting Inc will provide all invoicing for Joanne to Espresso Ed.
Scope of Work
Contractor shall provide the Services and Deliverable(s) as follows:
Phase 1 | SharePoint Site Design work
Phase 2 | Compliance guidance and design
Phase 3 | Governance workshop
Work performed in this SOW will be executed using the NexNovus Microsoft 365 Engagement Framework.
Disclaimer
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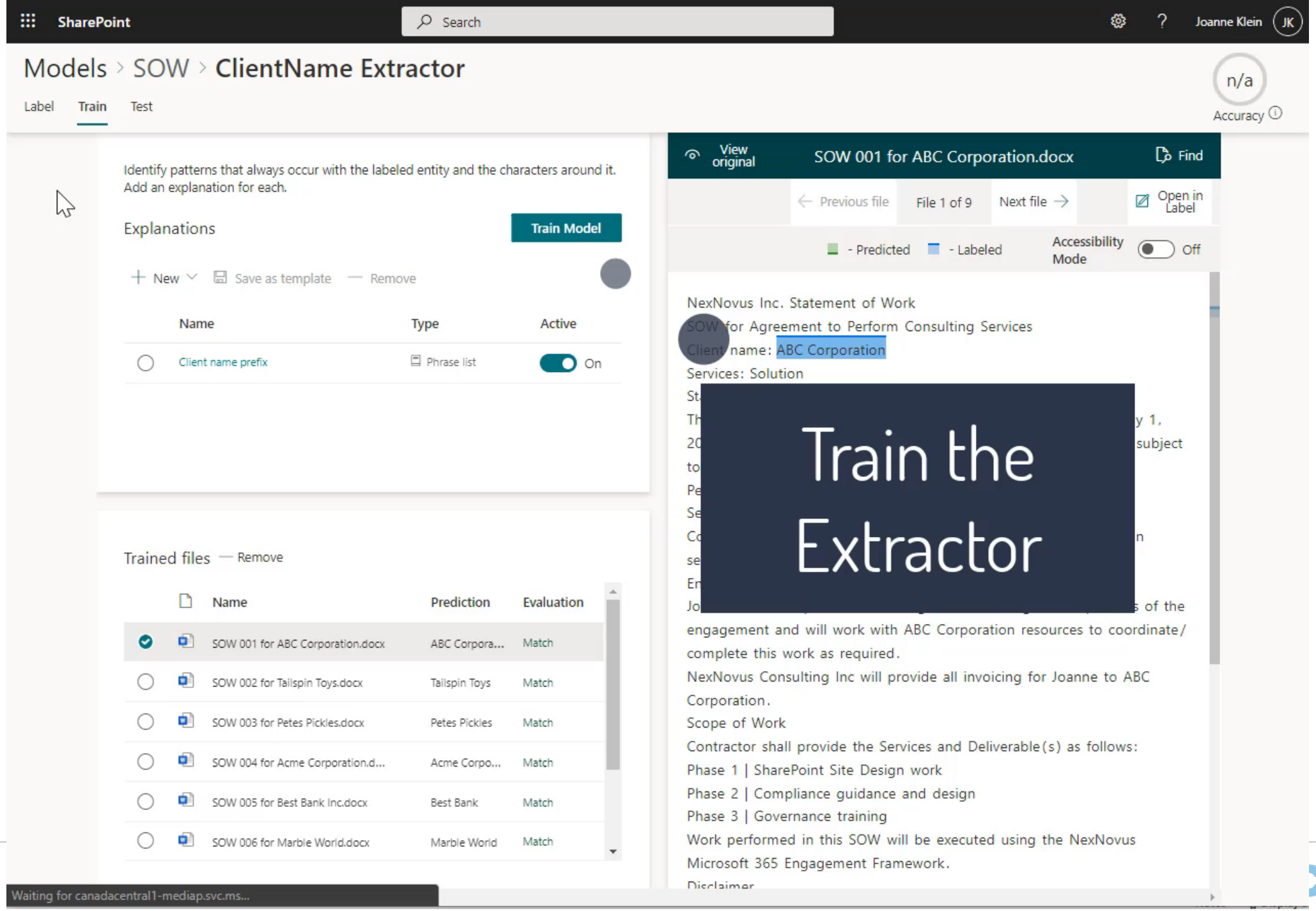
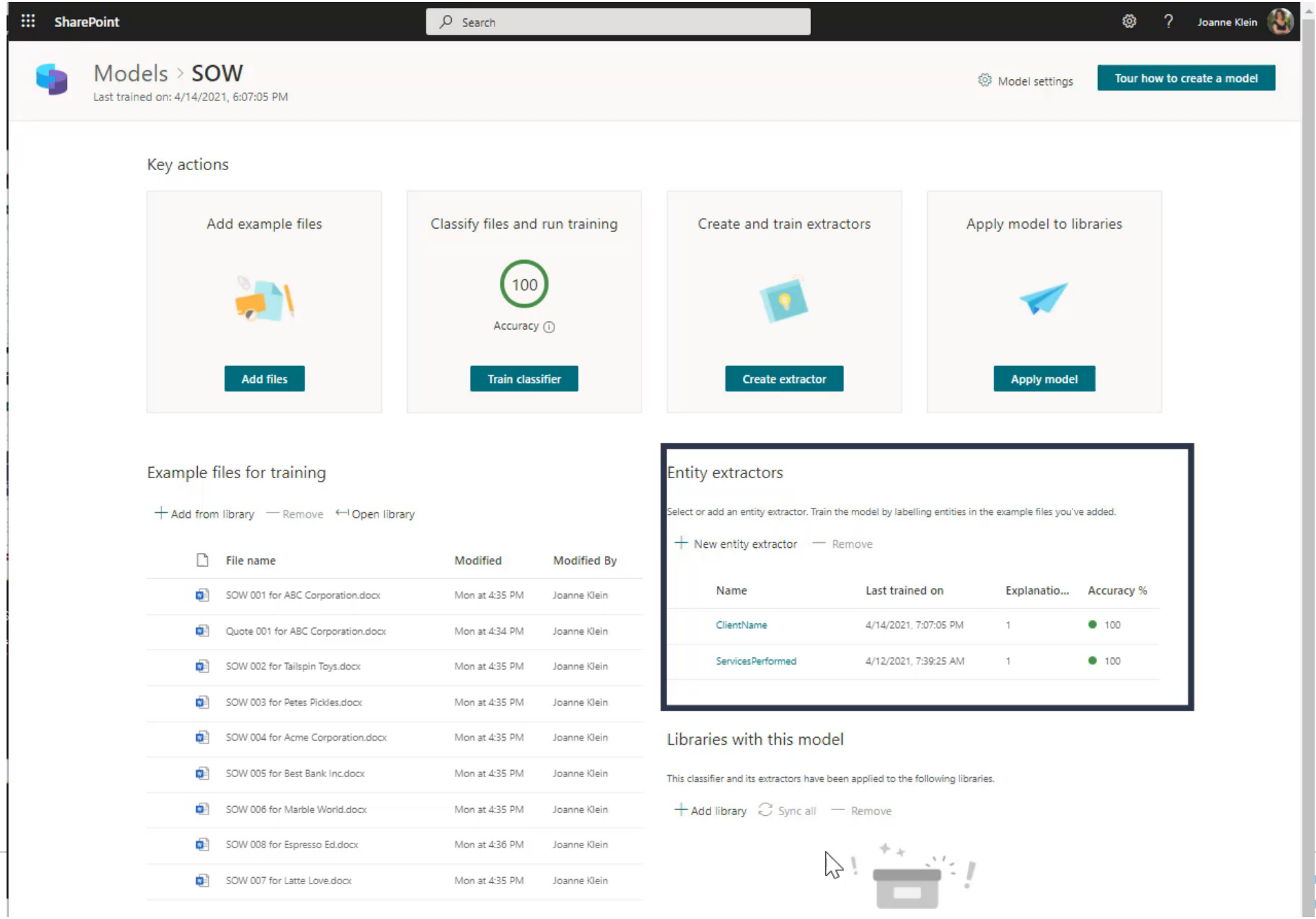
All dates proposed in this SOW are estimates only and, as a result, may be affected by unforeseen


SharePoint
Search
Joanne Klein
JK
Models › SOW › ClientName Extractor
Label
Train
Test
n/a
Accuracy
Identify patterns that always occur with the labeled entity and the characters around it. Add an explanation for each.
Explanations
Train Model
New
Save as template
Remove
Name
Type
Active
Client name prefix
Phrase list
On
Trained files
Remove
Name
Prediction
Evaluation
SOW 001 for ABC Corporation.docx
ABC Corpora...
Match
SOW 002 for Tailspin Toys.docx
Tailspin Toys
Match
SOW 003 for Petes Pickles.docx
Petes Pickles
Match
SOW 004 for Acme Corporation.d...
Acme Corpo...
Match
SOW 005 for Best Bank Inc.docx
Best Bank
Match
SOW 006 for Marble World.docx
Marble World
Match
View original
SOW 001 for ABC Corporation.docx
Find
Previous file
File 1 of 9
Next file
Open in Labeler
- Predicted
- Labeled
Accessibility Mode
Off
NexNovus Inc. Statement of Work
for Agreement to Perform Consulting Services
Client name: ABC Corporation
Services: Solution
Train the Extractor
engagement and will work with ABC Corporation resources to coordinate/ complete this work as required.
NexNovus Consulting Inc will provide all invoicing for Joanne to ABC Corporation.
Scope of Work
Contractor shall provide the Services and Deliverable(s) as follows:
Phase 1 | SharePoint Site Design work
Phase 2 | Compliance guidance and design
Phase 3 | Governance training
Work performed in this SOW will be executed using the NexNovus Microsoft 365 Engagement Framework.
Disclaimer
Waiting for canadacentral1-mediap.svc.ms...

Rinse and Repeat

- Create column extractors for the remaining 2 columns
  - SOW Num
  - SOW Start date
- Train the model after each to ensure it is pulling the correct value



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Models › SOW

Last trained on: 4/14/2021, 6:24:00 PM

Model settings | Tour how to create a model

Key actions

Add example files

Add files

Classify files and run training

100

Accuracy

Train classifier

Create and train extractors

Create extractor

Apply model to libraries

Apply model

Example files for training

+ Add from library | — Remove | ↤ Open library

File name	Modified	Modified By
SOW 001 for ABC Corporation.docx	4m ago	Joanne Klein
Quote 001 for ABC Corporation.docx	4m ago	Joanne Klein
SOW 002 for Tailspin Toys.docx	4m ago	Joanne Klein
SOW 003 for Petes Pickles.docx	4m ago	Joanne Klein
SOW 004 for Acme Corporation.docx	3m ago	Joanne Klein
SOW 005 for Best Bank Inc.docx	3m ago	Joanne Klein
SOW 006 for Marble World.docx	3m ago	Joanne Klein
SOW 008 for Espresso Ed.docx	3m ago	Joanne Klein
SOW 007 for Latte Love.docx	3m ago	Joanne Klein

Entity extractors

Select or add an entity extractor. Train the model by labelling entities in the example files you've added.

+ New entity extractor | — Remove

Name	Last trained on	Explanatio...	Accuracy %
ClientName	4/14/2021, 7:07:05 PM	1	100
ServicesPerformed	4/12/2021, 7:39:25 AM	1	100
SOWNum	4/14/2021, 7:19:45 PM	1	100
SOWStartDate	4/14/2021, 7:24:00 PM	1	100

Libraries with this model

This classifier and its extractors have been applied to the following libraries.

+ Add library | Sync all | — Remove

The model has not been applied yet.

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Key Takeaways

Where to start…

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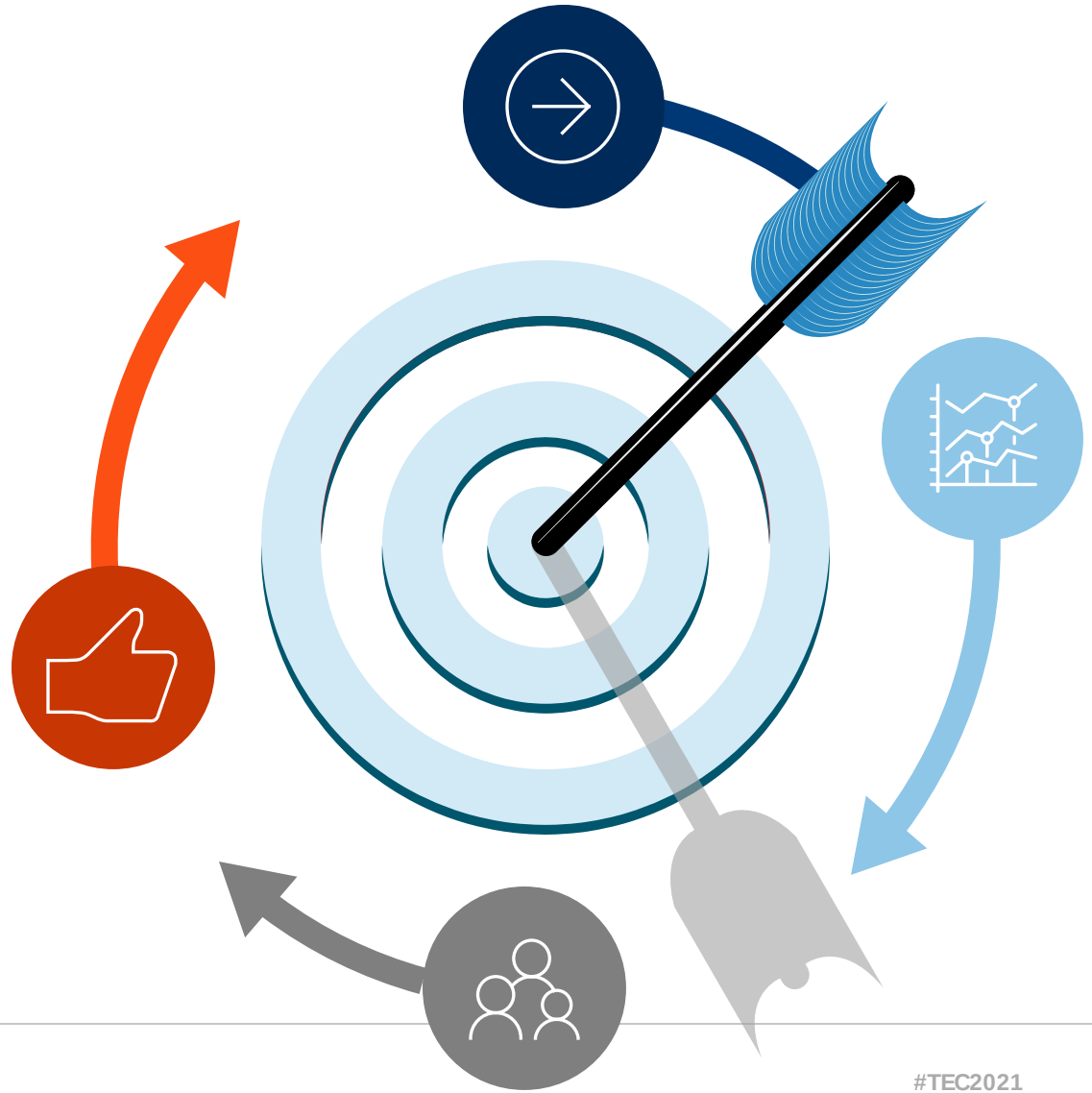
Compliance | Take a Crawl-Walk-Run Approach



JUST START!

Allows you to start without having it all figured out.

INCREMENTAL IMPROVEMENTS

Allows for incremental improvements along the way.

INFORMATION WORKER IMPACT

Eases information workers into the world of compliance.

DO "SOMETHING"

"Some" compliance controls are better than none. "Progress not Perfection".

An Approach for Modern Compliance

GOVERN YOUR DATA (THRU ITS LIFECYCLE)

Manage records and information in a compliant manner

- Apply retention policies for broad coverage
- Auto-apply retention labels on high-value business content
- Leverage SharePoint Information Architecture where it makes sense

PROTECT YOUR DATA (WHEREVER IT TRAVELS)

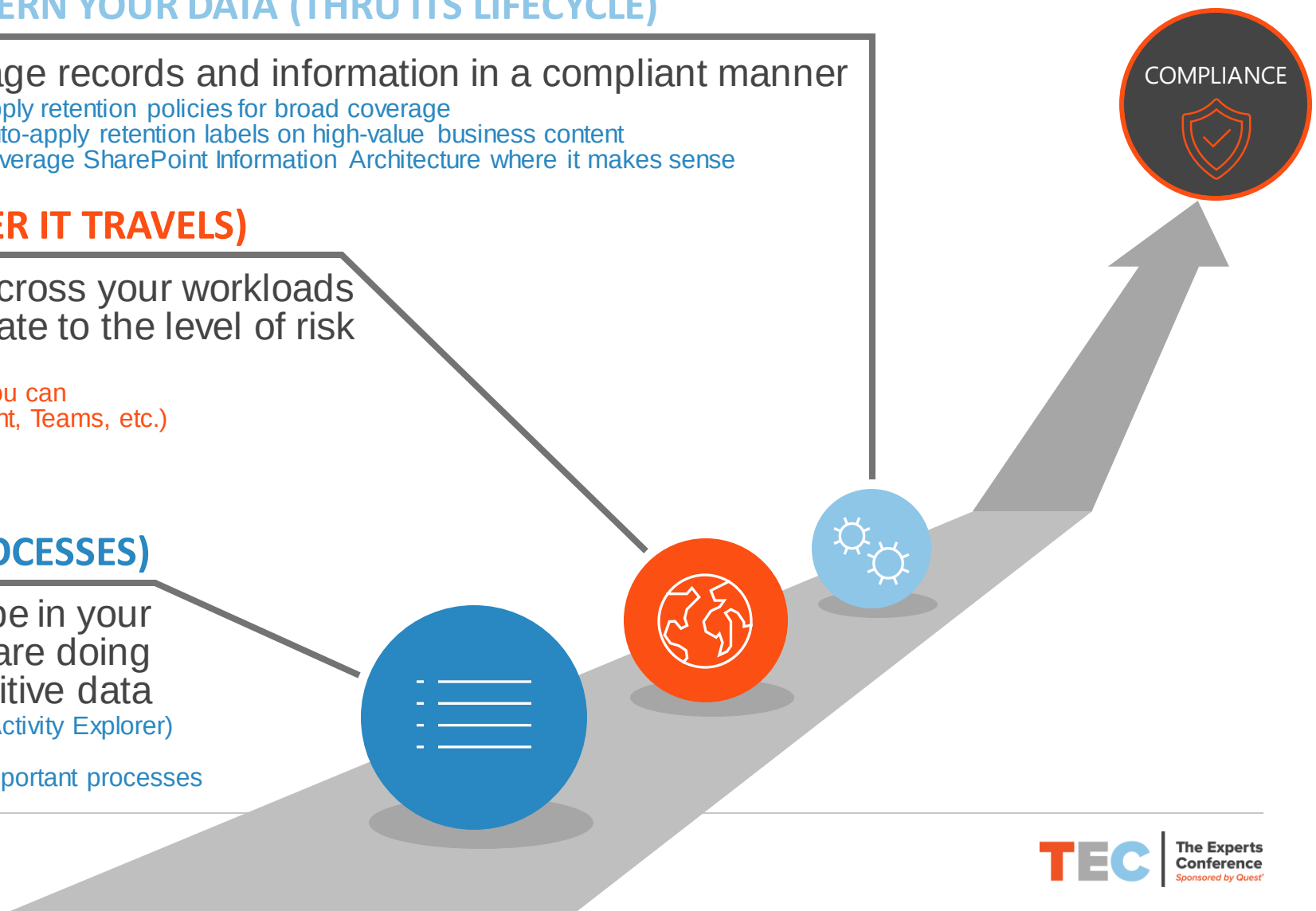
Apply flexible protection actions across your workloads appropriate to the level of risk

- Data Loss Prevention, Sensitivity Labels
- Automatically apply at the item level where you can
- Apply controls at the location level (SharePoint, Teams, etc.)

KNOW YOUR DATA (AND PROCESSES)

Understand the data landscape in your organization and what users are doing with your sensitive data

- Data Classification (Content Explorer, Activity Explorer)
- Audit Logs
- Look for places to digitize/streamline important processes



Thank you.

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#TEC2021

Links from this presentation

- Introduction to SharePoint information architecture in Microsoft 365
- All the ways to automatically apply a retention label in Microsoft 365
- SharePoint Syntex Document understanding overview | Microsoft Docs
- AIIM | How to become a Modern Records Manager and a Business Enabler
- Microsoft 365 Information Protection and Compliance Deployment Acceleration Guides
- Microsoft 365 licensing guidance for security & compliance
  - https://aka.ms/ComplianceSD