Veritas Advanced Supervision

VERITAS™

OVERVIEW

Today's regulatory climate has created new compliance challenges for organizations of all sizes. Communications have become increasingly fragmented, and it is no longer enough to simply monitor email. Other sources such as instant messaging might also be subject to monitoring to meet regulations. As the volume of regulated communication grows, so does the challenge of meeting compliance requirements.

DELIVER SIMPLIFIED, COST-EFFECTIVE RETENTION AND SUPERVISORY COMPLIANCE

Veritas Advanced Supervision is a powerful compliance solution that lets organizations perform cost-effective supervisory review of regulated communications. By providing the framework to select and sample dozens of content sources through our Merge1 integration, it enables you to manage review by appropriate supervisors and record the process for audit purposes.

Advanced Supervision helps decrease the cost and effort of ensuring compliance review through targeted sampling and the optional addition of classification while also providing proof of compliance.

KEY BENEFITS

- New, intuitive user interface provides:
  - Navigation workflow to direct reviewers to the most relevant content quickly (see Figure 1).
  - Review status details (see Figure 2).
  - Refinement of review sets based on all metadata, including classification policies, hot words and hot word sets.
- Addresses increasing content retention and supervisory requirements from regulations such as SEC, FINRA, MiFID II, Sarbanes-Oxley, IIROC, ESMA, ESA and SESC.
- Offers the option to use the Veritas Information Classifier (VIC) to filter noise and ensure the most relevant content is included in the sample set.
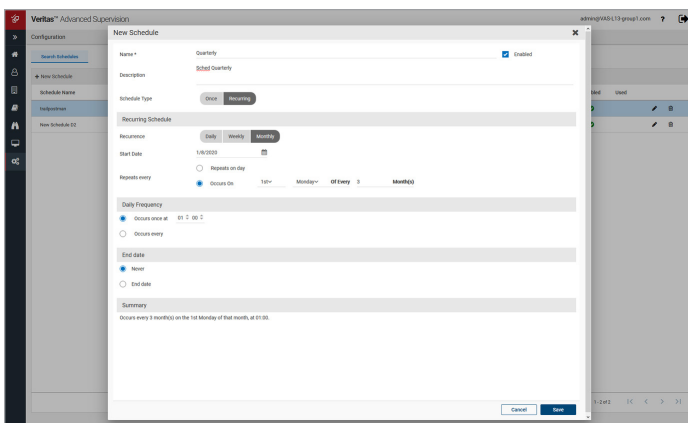

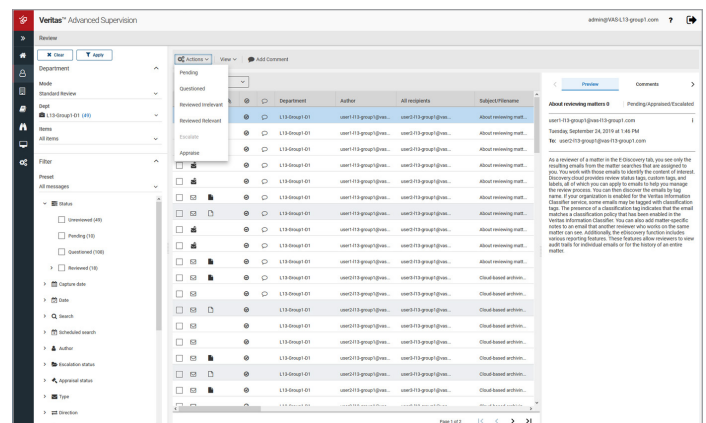*Figure 1. Configure a schedule for sampling.*

Figure 2. Intuitive user interface allows for easy and efficient mail review.

HOW IT WORKS

Superior content archiving

All content is indexed and stored in immutable WORM storage, whether you choose to archive on-premise or in the cloud.

Enhanced supervision, sampling and review

Advanced Supervision allows you to put structured review processes in place to search, sample and review all relevant content according to compliance policies.

Step 1: Set the scope of review

Quickly define your criteria:

- Pick content sources to include.
- Filter out already reviewed items (optional).
- Filter by date range and time.
- Specify sender/recipient scope.
- Identify specific text (words or phrases).
- Add hot words/hot word sets.
- Exclude specific text (for example, email disclaimers) from the scope of search.

Step 2: Apply email sampling rules

Customize to the legal department's or the compliance team's needs (see Figure 3):

- Sample all content or on a per individual basis (see Figure 4).
- Sample a specific percentage sample.
- Apply a minimum sample size.

Example—Take a 5 percent sample of the mail between my group and group X over a specified period, with a minimum sample of two messages per person in my group. Be sure to exclude any searches of text in email disclaimers.

- Run search

Step 3: Review search results

Through a user-friendly interface, reviewers are presented with content to review. The status of each item is tracked and where further action is required, it can be flagged against the original email.

All items start as "Unreviewed" and end as "Pending," "Questioned" or "Reviewed." The reviewer can:

- Use facets to filter content under review based on metadata values.
- Filter based on hot words and hot word sets found.
- Filter based on content source and classification tags.
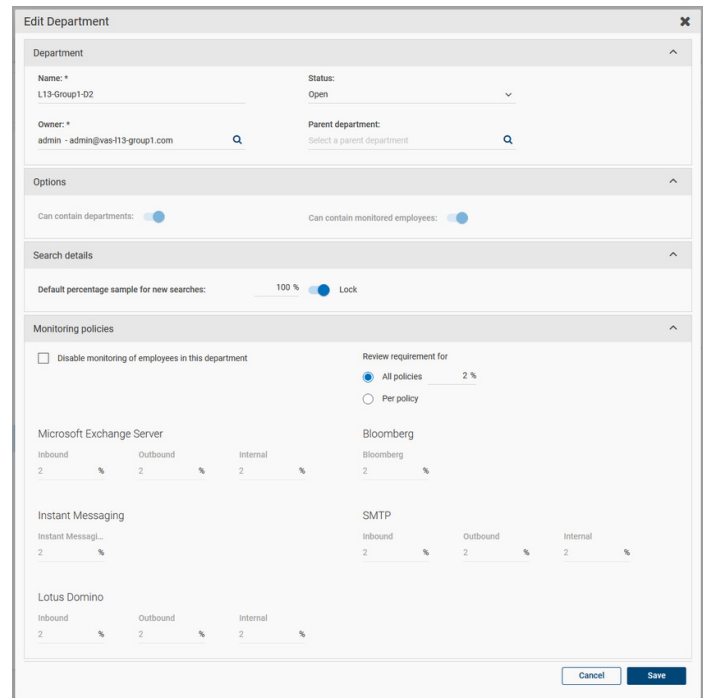- Set "Pending" status while investigating.
- Annotate reviewed messages.

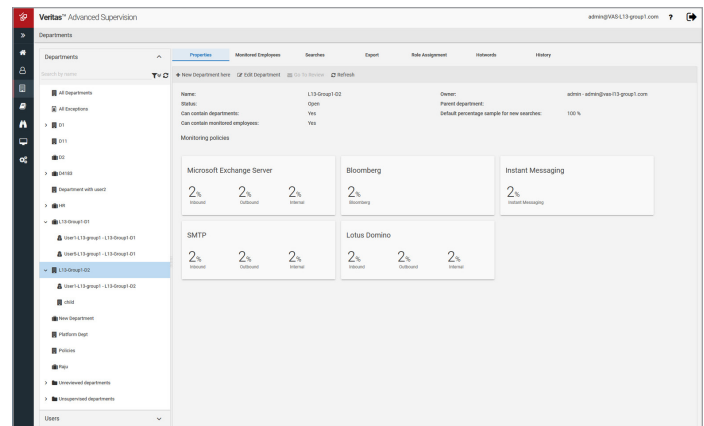*Figure 3. Set sampling rates by department.*

Figure 4. Set sampling rates by content source.

- Escalate messages where appropriate to the senior compliance supervisor.
- Close a review sample when everyone has reviewed it and everything is recorded and reported.

Step 4: Log

Keep an audit trail of the whole process (see Figure 5). Should disputes arise, it is easy and straightforward to investigate what happened if the administrator can demonstrate the audit took place using:

- System configuration
- System users
- Group configuration
- User activity (searching, reviewing)
- Audit trail of messages in the review process

Figure 5. Reporting by department, down to the employee level.

ADVANCED SUPERVISION PRODUCT FUNCTIONALITY

- **Fully managed and audited**—Compliance supervision and review process.
- **Multiple filtering options**—Filter samples using classification to block irrelevant content and ensure inclusion of relevant content (requires Classification option).
- **Easy to use**—User model is a set of audited groups (for example, dealer desks, branches), each with associated owner/reviewer doing regular reviewing.
- **Effective sampling**—Selective searching and sampling to produce items for review.
- **Custom search**—Manual or automatic searching/sampling, with the ability to exclude blocks of text from search results (for example, email disclaimers).
- **Intelligent Review**—Utilize Machine Learning to predict what reviewers will find relevant and irrelevant based on prior decisions.

PRIORITIZE REVIEW CONTENT BY CATEGORY

Applying context to archived content optimizes the compliance review process. With the addition of Information Classifier, classification can analyze all ingested content and drive what is included for review. You can use classification policies to facilitate more effective review by flagging messages for review by category. This process helps ensure review staff examine high-priority content versus irrelevant messages (for example, junk and bounced messages).

Intuitive, event-driven workflow

- Manage and rapidly review search results using relationships, lexicon matches, metadata and classification policy matches to organize the review process.
- Review and mark individual items or result sets using customizable marks.
- Escalate individual items or result sets for further review by designated supervisors.
- Export case information and reviewed content to Veritas™ eDiscovery Platform.
- Bulk review—assign review status to multiple messages with a single action.

LICENSING OPTIONS AND REQUIREMENTS

Enterprise Vault

A Supervision Suite is available for Enterprise Vault, which is licensed on a per-user basis (typically all or a subset of the number of employees in the company).

This Supervision Suite includes both of the components necessary to effectively supervise e-mail communications: E-Mail Journaling, and Advanced Supervision.

Existing Compliance Accelerator users currently have the choice of continuing to use Compliance Accelerator on-premise, or migrating to Advanced Supervision.

Enterprise Vault.cloud

Advanced Supervision requires an equal number of Enterprise Vault.cloud Discovery Archive licenses.

Both 7-year and 10-year retention options are available.

Classification is available separately as an additional option.

A Supervision Suite option is also available that includes the following components:

- Advanced Supervision
- Classification
- Discovery Archive
- Personal Archive

ABOUT VERITAS

Veritas Technologies is a global leader in data protection and availability. Over 50,000 enterprises—including 99 of the Fortune 100—rely on us to abstract IT complexity and simplify data management. Veritas Enterprise Data Services Platform automates the protection and orchestrates the recovery of data everywhere it lives, ensures 24/7 availability of business-critical applications, and provides enterprises with the insights they need to comply with evolving data regulations. With a reputation for reliability at scale and a deployment model to fit any need, Veritas supports more than 500 data sources and over 150 storage targets, including 60 clouds. Learn more at www.veritas.com. Follow us on Twitter at @veritastechllc.

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