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 monitor email. Other sources such as texting, social media, instant messaging and even voice communications might 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 Enterprise Vault™ Compliance Accelerator is a highly configurable compliance solution that allows organizations to perform cost-effective supervisory review of regulated communications. Providing the framework to select and sample email, instant messaging, social media, audio, and other communications, you can manage review by appropriate supervisors, and record the process for audit purposes. Compliance Accelerator helps to decrease the cost and effort of supervision, review through targeted sampling and classification while also providing proof of compliance.

KEY BENEFITS

- Leverage classification to filter noise and ensure relevant content is included in the sample set
- Learn from previous choices via machine learning with Intelligent Review
- Targeted reports on Hotwords and Classification volume provide a feedback loop for constant refinement and improvement
- New Hotword count and navigation work flow directs reviewer to most relevant content quickly
- Facet filters allow refinement of review set based on all metadata including classification policies, hotwords and hotword sets and even all support content sources.
- Address increasing content retention and supervisory requirements from regulations such as SEC, FINRA, MiFID II, Sarbanes-Oxley, IIROC, ESMA, ESA, and SESC.

HOW IT WORKS

Superior content archiving

Working seamlessly with the 80+ content sources capture by Enterprise Vault, all content is indexed, classified and stored on immutable storage to ensure no impact or intervention by users.
Enhanced supervision, sampling, and review

Compliance Accelerator allows structured review processes to be put in place to search, sample, and review all relevant content according to compliance policies. Extensive reporting demonstrates adherence to corporate and regulatory compliance policies (for example, the SEC, FINRA (NASD/NYSE), and MiFID II).

Step 1: Set scope of review

Quickly define your criteria:

- Content sources to include
- Filter out already reviewed items (optional)
- Filter by Date range and time
- Sender/recipient scope
- Specific text (words or phrases)
- Hotwords/Hotword Lexicons
- Classification Policy tags applied.
- Exclude specific text (for example, email disclaimers) from scope of search

Step 2: Apply email sampling rules

Customize to the legal department’s or the compliance manager’s needs:

- Sample all content or per individual
- Sample a specific percentage sample
- Minimum sample size applied

**Example**—Take a 5 percent sample of the mail between my group and group X over a specified period of time, 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 “Reviewed” or “Questioned.” The reviewer can:

- Use facets to filter content under review based on metadata values
- Filter based on hotwords and hotword lexicons found
- Filter based on content source and classification tags
- Set “Pending” status while investigating
- Annotate reviewed messages
- Escalate messages where appropriate to senior Compliance supervisor
- Close review sample when all reviewed Everything is recorded and reported.

Step 4: Log

Keep an audit trail of the whole process. Should disputes arise, it is easy and straightforward to investigate what happened if the administrator can demonstrate that the audit took place.

- System configuration
- System users
- Group configuration
- User activity (searching, reviewing)
- Audit trail of messages in review process
COMPLIANCE ACCELERATOR PRODUCT FUNCTIONALITY

- **Fully managed and audited**—Compliance supervision and review process
- **Filter sample using classification** to block irrelevant content and ensure inclusion of relevant content
- **Intelligent Review** to guide reviewer to most relevant content based on previous choices through machine learning
- **Easy to use**—User model is a set of audited groups (for example, dealer desks, branches), each with associated owner/reviewer doing regular reviewing
- **Highly flexible**—Potential targets could include all email, instant messaging, social networks, audio archives, and other supported partner content
- **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)

PRIORITIZE REVIEW CONTENT BY CATEGORY

Applying context to archived content optimizes the compliance review process. Classification can analyze all ingested content and drive what is included for review. Classification policies can be leveraged in Compliance Accelerator to facilitate more effective review as messages can be flagged for review by category. This helps ensure that review staff examine high-priority content versus irrelevant messages (for example, junk and bounce messages). Classification policies can also be applied to specific CA departments.

**Intuitive, event-driven workflow and intelligent review**

- 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 your eDiscovery solution of choice, including Enterprise Vault Discovery Accelerator and Veritas™ eDiscovery Platform

INTELLIGENT REVIEW

As communication becomes more fragmented, the task of supervision becomes an increasing challenge. Supervisors are under pressure to provide effective surveillance of sensitive activities within their organization. Reviewers typically receive a daily “deluge” of sampled or search content with an expectation that regardless of the quality, they must sift through the day's required review set. While classifying content lightens this burden, machine learning through Intelligent Review accelerates the review process even further. Intelligent Review leverages your most important asset, the trained eyes of your reviewers. As the review process continues normally, Compliance Accelerator now analyzes the judgments of the reviewer and learns from their behavior. A machine learning engine evaluates the relationships of those under review, continuously learning and prioritizing relevant content for the reviewer. Intelligent Review enables reviewers to easily and efficiently review high quality, high-risk content first and proactively eliminate non-relevant conversations from their review process.

ACCELERATOR OPEN REPORTING AND POWER BI TEMPLATES

Providing validation of compliance processes is key to any compliance or supervision strategy. Strong reporting drives a feedback loop to improve future outcomes. For example a report on Hotwords and Hotword Groups found will help determine which words/phrases and even lexicons are working an which
need to be fine-tuned. Compliance Accelerator has always offered reports to establish a baseline for organizations. Once started, however, organizations are often presented with additional use cases that they must fulfill for their particular industry. For this reason, Compliance Accelerator features Open Data Protocol (OData) reporting and PowerBI templates which provide customizable reports to allow customization to suit most needs.

NEW IN ENTERPRISE VAULT 12.5

With the Enterprise Vault 12.5 release, Compliance Accelerator offers more powerful supervision capabilities than ever before. Reviewers can now locate relevant content quickly and easily, with the following enhancements:

- **Hit Highlighting Navigation**—Navigate between the search keywords, and select an individual hotword if a search is performed using multiple hotwords.

- **Hotword Statistics**—Display the location (top level message and/or attachment) and count of hotwords found in the selected item.

- **Hotword Count Sorting**—Allows sorting of review screen content by number of hotwords found so that the reviewer can start on content with the most hits.

- **Customizable Reports**—New PowerBI templates coupled with existing ODATA integration allow highly customizable reports to suit any need

- **Feedback Loop**—New classification and hotword reporting allow for constant monitoring of which policies and lexicons are working to allow modification where needed.

- **Filter by Content Type, Hotword and Hotword Group**—Filter review messages on the most relevant content by leveraging these new facet filtering during review.

- **Time Based Search**—Create granular searches to look for specific events (for example – insider trading and communications around a specific trade).

- **Department Hierarchy View**—Departments, sub-departments and research folders displayed in the review tab to help reviewers concentrate on specific department hierarchy.

GENERAL SYSTEM REQUIREMENTS

For compatibility information for your system environment please refer to the compatibility guide at http://www.veritas.com/docs/000097605.

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Veritas Technologies is a global leader in enterprise data management. Over fifty thousand enterprises—including 90% of the Fortune 500—rely on us to abstract IT complexity and simplify data management. Our 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 50 clouds. Learn more at www.veritas.com or follow us on Twitter at @veritastechllc.