Veritas Alta Surveillance

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 chat, 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 Supervisory Compliance

Veritas Alta™ Surveillance (formerly known as Veritas Advanced Supervision) is a powerful compliance solution that lets organizations perform a streamlined supervisory review of regulated communications. Providing the framework to select and sample 120+ content sources through our Veritas Merge1 or Veritas Alta™ Capture integration enables you to manage reviews by appropriate supervisors and record the process for audit purposes (see Figure 1).

Veritas Alta Surveillance 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.
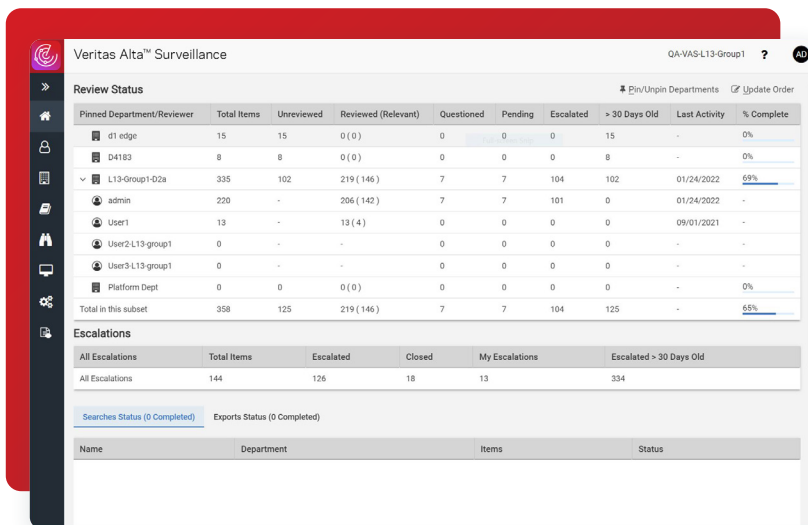

Figure 1. Dashboard for Veritas Alta Surveillance.

Key Benefits

- New, intuitive user interface provides:
  - Navigation workflow to direct reviewers to the most relevant content quickly
  - Review status details
  - 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 Veritas Alta™ Classification to filter noise and ensure the most relevant content is included in the sample set
- Supervise massive global environments and monitor entire departments and sub-departments (see Figure 2).
- Ability to assign and monitor teams of reviewers
- Review files and collaboration tools in a multi-faceted, sortable interface
- Intensive classification abilities with over 250 policies and 1,100+ pre-built patterns that automatically identify Personal Data, Health, Financial, Government, and internationally regulated data (see Figure 3)
- Leverage multiple search and sample mechanisms to capture content based on differing variables

How it Works

Superior content archiving

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

Enhanced supervision, sampling and review

Veritas Alta Surveillance 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
- Prioritize Include or Exclude content that has been automatically classified by Veritas
- Exclude specific text (for example, email disclaimers) from the scope of a search

Figure 2. Hierarchical Administration of Monitored Departments.

Step 2: Apply sampling and search rules

Customize to your department's needs:

- Sample all content or on a per-channel basis for an entire department or specific individual
- Sample a specific percentage sample
- Leverage guaranteed or statistical sampling
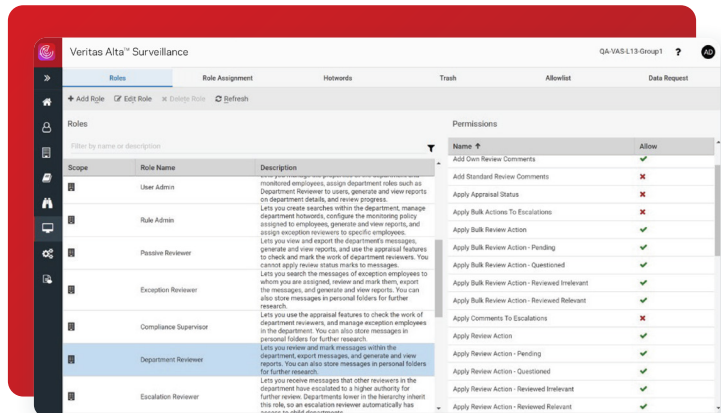
Figure 3. Review Pane with Hotword and Classification Hit Highlight Navigation.

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, be flagged against the original email.

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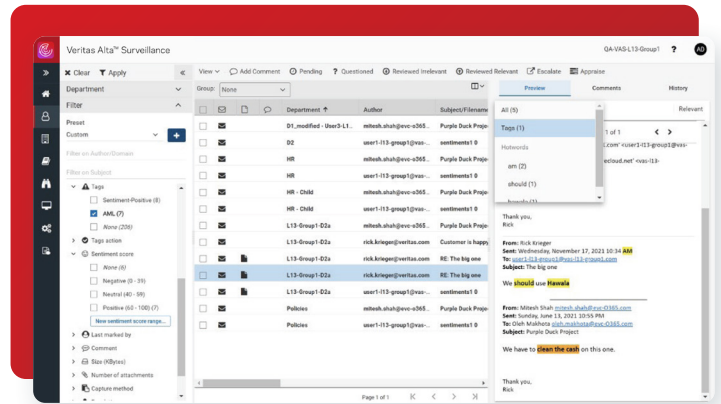- Close a review sample when everyone has reviewed it and everything is recorded and reported

Step 4: Log

Keep an audit trail of the whole process (see Figure 4). Should disputes arise, it is easy 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

Veritas Alta Surveillance 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)

Figure 4. Enhanced Search for Audit Events.

- **Easy to use**—User model is a set of audited groups (for example, dealer desks, branches), each with an 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 and Classification**—Utilize Machine Learning to predict what reviewers will find relevant and irrelevant based on prior decisions. Incorporate the use of AI for Sentiment Analysis and Language Detection.

- **Tagging** – Tag items during review for relevance. Leverage built-in escalation workflows to deal with pressing alerts.

- **Roles-based access** (see Figure 5)—Create and modify roles and granular functions at the application and department level.

- **IR**—Automatically classify items based upon learning from past reviewer actions. It is a complete, passive learning engine that is always on and requires no manual training regimen.
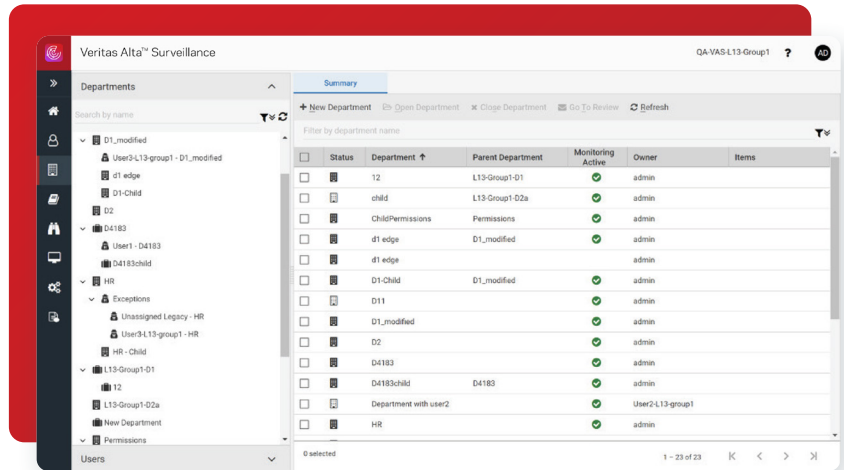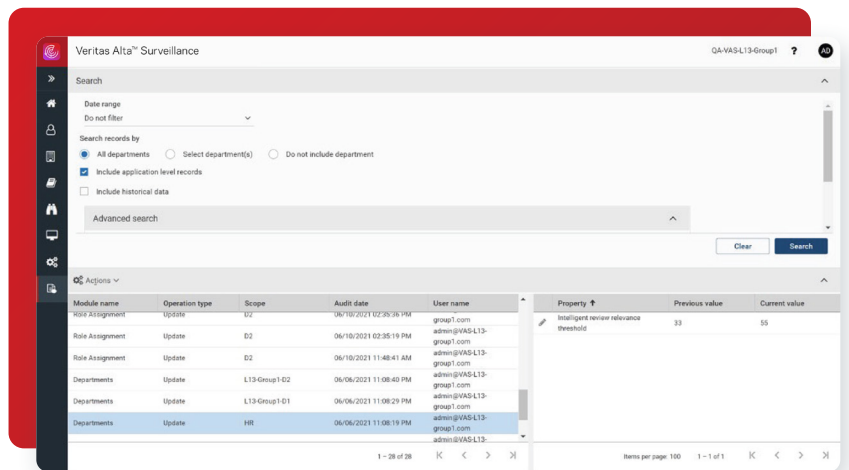

Figure 5. Granular Roles-Based Access Controls.

Prioritize Review by Category

Applying context to archived content optimizes the compliance review process. Analyze all ingested content and drive what is included for review with the addition of Veritas Alta™ Classification. You can use classification policies to facilitate more effective reviews by flagging messages for review by category. This process helps ensure review staff examines 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

VERITAS™

2625 Augustine Drive
Santa Clara, CA 95054
+1 (866) 837 4827
veritas.com

For global contact
information visit:
veritas.com/company/contact