



Brochure

Information Management and Governance

Monitor Electronic Communications

**Micro Focus® Supervisor—intelligent, automated
electronic communications supervision and monitoring**

The compliance departments of the world's largest and most demanding financial services, asset management, and private equity firms, as well as pharmaceutical and energy companies, rely on Supervisor to monitor, capture, analyze, and investigate employee electronic communications.

Meet Your Monitoring Requirements

For organizations under regulatory authority, programs to monitor employee communications and behavior are the norm. The standard by which your program is measured centers around whether the system is **reasonably designed** to prevent regulatory violations. The major challenge for the compliance supervision teams is to tackle the creation and maintenance of a reasonably designed employee monitoring program with limited resources at hand.

The compliance supervision departments that operate within unregulated entities face a similar issue because risk mitigation is often supported with limited resources, though the focus here is rarely on monitoring employee communications and behavior. Unregulated industries face separate challenges that involve identifying sources of reputational damage, intellectual property loss, and legal risks. Quite simply, such industries do not have enough personnel to monitor their employee communications properly.

Monitoring Challenges

Compliance teams that attempt to deploy a program to perform automatic supervision monitoring and surveillance inevitably run into these roadblocks:

- Ensuring compliance and supervision over all relevant communication channels
 - How do we gather all the data we need?
- Ensuring supervision over the right employees
- Too much data to manage effectively, given available resources
- Too many irrelevant messages being captured for the program to be effective
 - How do we get to the communications that really matter?
- Program reasonableness and effectiveness
 - Is the supervision program in line with industry peers and business risks?

The answers to these employee surveillance issues involve applying a risk-based approach to compliance, beginning with a risk assessment, and followed by the deployment of a system that can put the controls in

place to mitigate risks. The potential business impacts of not addressing these challenges typically include monetary fines and censure for regulated entities; and lawsuits, reputational damage, and intellectual property loss for both regulated and non regulated organizations.

With all the communication channels available today, it is far too likely that at least one employee will do or say something that will later come back to injure the organization. We have seen news stories of salacious or incriminating messages that the sender, and often the employer, later wish were never sent. Whenever embarrassing communications are made public, you hear everyone say, "How could anyone have put that in an email!"—yet it keeps happening. Further, with the rise of social media, the risk of embarrassment by an employee posting something publically is equivalent to hitting reply all, and sending a confidential message to the entire world—that can never be recalled or erased.

The Micro Focus Legal and Compliance supervision team comprises subject-matter experts and the Supervisor solution provides the expertise and communication monitoring tools to help you implement an effective employee monitoring program—to mitigate operational, legal, regulatory, and reputational risks.

Key Features of Supervisor

- Supervision monitoring and surveillance search capabilities for any piece of content, as it is captured
- Real-time, risk-based monitoring and filtering
- Intuitive review workflows with escalation management
- Advanced analytical options such as information clustering and visualization tools
- Reporting, trend analysis, and executive dashboards
- Implementation and program expertise from the Legal and Compliance team
- Industry best practices from the Micro Focus Compliance Customer Group
- Option to deploy as a standalone application or add compliant archiving for regulated content, either in your data center or hosted in an Micro Focus data center

Holistic Information Governance Platform Using Human Intelligence

Supervisor utilizes the intelligence of Micro Focus IDOL to enable sophisticated analysis of hundreds of file formats, originating from relevant enterprise data sources in more than 150 languages. Leveraging IDOL, content including attachments are cataloged and made available for search.

The value of IDOL is that it uses human understanding to recognize concepts, patterns, and relationships in human information. With this understanding, you can go beyond just a keyword search to monitor the conversational form of employee communications effectively, such as those on social networks.

Micro Focus Offers a Range of Capabilities to Improve Communications Monitoring

- Data connectors to access relevant content sources
- Understanding and processing human information
- Monitoring, searching, and investigating any type of captured electronic content
- Daily, automated employee imports
- Integration with HR systems or Active Directory

Domain Expertise

To support your success, in addition to offering one of the market's leading communications monitoring solution, Micro Focus provides access to legal and compliance experts both within Micro Focus and in your specific industry.

The Subject-Matter Expert Team

Our legal and compliance, as well as supervision experts provide the following services during your implementation and throughout the life of the product:

- Best practices consultation on monitoring the program design
- Implementation oversight and assistance
- Custom risk-based filter design

Customer Advisory Board

A select group of compliance officers, legal counsel, technology administrators, and power users from some of the world's largest organizations provide invaluable industry-specific expertise by:

- Contributing to the product roadmap

- Holding quarterly information sessions
- Providing a forum to discuss industry best practices

Empowering Compliance Officers with a Self-Service System

Supervisor was designed for compliance officers, by compliance officers. Our main goal was to empower non-technically inclined people to manage all operations of the system effectively. Assuming appropriate access rights are in place, compliance officers are free to:

- Automate the import and organization of employees into risk-defined groups from any people or HR management system
- Configure the amount and type of desired sampling using a drag-and-drop interface
- Build new policy filters, or configure existing ones, using an intuitive search form template
- Review, escalate, and investigate alerts using an inbox-like configurable workflow screen

Intelligent, Risk-Based Sampling

Supervisor provides an automated and intelligent approach to monitor captured electronic communications. Using an intuitive drag-and-drop interface, compliance officers are empowered to perform targeted message sampling based on employee, or group risk and communication channel. This helps confirm that the right amount and type of messages are selected based on risks and available review resources. You can sample by:

- Communication channel
- Message direction (inbound, outbound, or internal)
- Entire groups or specific employees
- Desired percentage and mix
 - Random sampling
 - Policy filter alerts only
 - Policy filter alerts plus random percentage
 - Fixed amount with a mixed percentage of random and policy filter alerts

Automated, Risk-Based Filtering

Risk-based sampling confirms that the right type and amount of messages are captured, but built-in, risk-based policy filters within Supervisor only present highly relevant alerts to compliance reviewers. The optional Supervisor Risk Assessment Platform (RAP) module

suspicious conversations, proactively focus on investigations, and even predict potential issues from nonconforming actions throughout the organization. You can leverage Investigative Analytics to:

- Gain insight across structured and unstructured data including email, IM, voice, social media, blogs, market announcements, market events, prices, trades, and directories
- Identify anomalies and patterns such as insider trading, corruption, collusion, and misrepresentation
- Enhance detection and prediction with graph analysis, behavior analysis, semantic analysis, and key risk indicators
- Respond proactively to business and market events using machine learning and prediction
- Implement customized investigation and surveillance applications

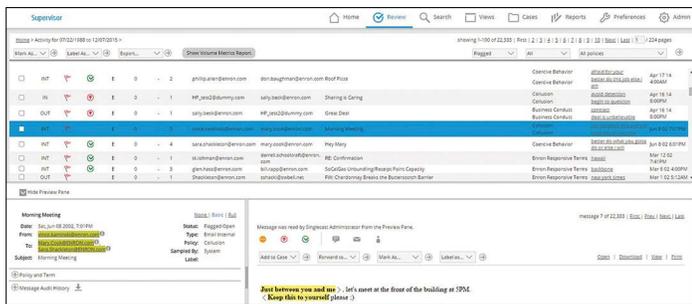


Figure 2. Supervisor review console

Intuitive Review and Escalation Workflows with Reporting and Dashboards

The analysis and disposition of captured alerts may seem like an arduous process. Supervisor, however, allows compliance reviewers the ability find what they need—quickly and easily, and then make informed decisions efficiently using a series of customizable, built-in review and escalation workflows to address the best practice needs of the organization. A set of message-based tools enables one-step approval or escalation, depending on the appropriate action. All actions create an event that is recorded and fully auditable, to demonstrate compliance and proof of supervisory controls along with:

- Full audit trails
- Access controls
- Integrated case management
- Executive dashboards for issue tracking
- Over 60 out-of-the-box reports

- Proof of supervision
- Administrative
- Policy violation trends and effectiveness

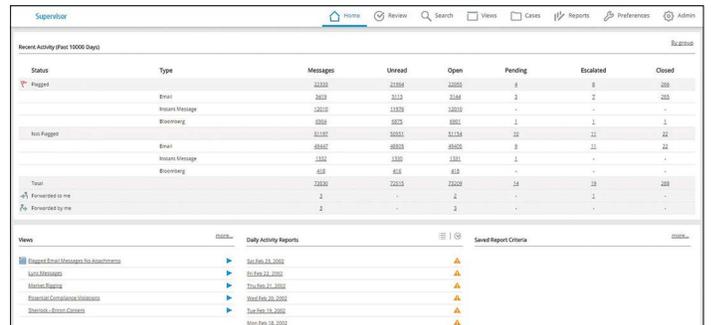


Figure 3. Supervisor dashboard

Flexible Deployments

The Supervisor employee monitoring software solution is designed to fit any business need, and can apply policies either in real time or as they are archived, as part of a company's retention and disposition requirements. With Supervisor, you can:

- Perform pre- or post-send supervision
- Deploy the compliance and supervision system with or without an archive
- Host the system in a Micro Focus or your data center

Micro Focus Enterprise Services Support

Enterprise Services leads and supports all Supervisor implementations.

Effective, Automated Employee Communications Monitoring

Supervisor is a market-leading data monitoring solution for performing effective, automated monitoring of employee communications and investigations of all captured content. Built on a single, highly scalable, and proven information governance platform, Supervisor leverages industry expertise and intelligent filtering to uncover issues that matter most. An easy-to-use interface empowers compliance officers to quickly assess alerts or perform system administration.

About Micro Focus Information Management and Governance

Information Management and Governance gives you the power to transform data into actionable intelligence, so you can capitalize on new opportunities and solve real problems in the moments that matter. We

offer a portfolio of solutions built upon Micro Focus IDOL, allowing you to profit from insights in many forms of data, including human, business, and machine data while providing reliable and legally compliant governance and protection of that data.

IDOL can process unstructured human information including social media, email, video, audio, text, and webpages, with a proven analytics engine that can leverage and access many forms of data across multiple repositories. The Information Management and Governance solutions solve data protection, information archiving, eDiscovery, enterprise document, and records management problems for large global corporations, small and mid sized businesses, and governments in an integrated manner across your organization.

Visit www.microfocus.com/infogov to find out more.

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