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.
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

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 monitoring 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
also allows real-time supervision without the need to pre-review. You can utilize and configure data monitoring policy filters covering over 80 areas of risk, such as:

- Money laundering
- Customer satisfaction
- Business conduct
- Legal or ethical conduct
- HR issues
- Intellectual property loss
- Insider information leaks
- Inappropriate trading conduct

Supervisor policy filters are easily configured using an intuitive search-like interface based on direction of communication, type of communication, and organizational groups. This aligns the policy filter and sampling profiles based on the risks associated with different groups to provide policy precision. Policy filters may be built and customized to perform the inclusion or exclusion of messages based on:

- Content type analysis, such as a social media “post” versus a “reply” or a “like”
- Group sampling
- Participant analysis
- Contextual analysis such as the appearance or absence of other key information
- Word and phrase proximity analysis
- Message content, attachment, and subject line analysis

### Integrated Surveillance Search and Investigation Capabilities

Supervision of electronic communications is no longer a static exercise of merely reviewing a set of messages sampled by the system or triggered by a policy. Today’s compliance departments must have the ability to go beyond the initial set of information provided in a review queue to perform searches and investigations of all relevant content. For example, it may make sense to perform a retroactive “look back” at an employee’s communications, prior to their resignation, in search of intellectual property loss or the potential poaching of other key personnel.

Performing this type of analysis usually involves a time-consuming and lengthy request to the eDiscovery team, where a search of the entire archive is performed. The challenge is to provide compliance officers with the tools needed to act immediately on events.

The Supervisor is an employee surveillance solution that provides advanced search capabilities of all captured communications from within the application while maintaining proper access rights to entitled information.

As an option, Micro Focus Investigative Analytics provides expanded capabilities to derive insights and understanding from communication-centric information, and further support the needs of compliance, supervision, and legal personnel. These insights are a result of enriching and curating human and business information, and then using analytics to locate patterns of behavior, determine anomalies, and understand complex data sets using a wide array of Big Data techniques.

Leveraging this additional functionality, compliance officers and risk managers can—quickly and effectively—detect problems and
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

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

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.

Learn more at www.microfocus.com/supervisor