# Regulatory Compliance Solution for Communications Surveillance

Analyze, classify, and discover data across email, chat, voice, and video.

In a world of multichannel platforms, communication surveillance is more demanding than ever. Regulatory scrutiny and penalties increase constantly. As you're forced to contend with ever-expanding volumes of content across email, chat, audio, and video platforms, reliance on sampling-based and lexicon search-based detection are no longer enough.

Veritas Alta™ Surveillance simplifies your ability to capture and surface only relevant content. Automate and streamline tasks, save time, and prevent costly fines. Veritas Alta Surveillance leverages innovative and transparent AI, machine learning (ML), and natural language processing to meet your compliance obligations.

Through integration with the SaaS-based Veritas Alta data compliance and governance platform, Veritas delivers full end-to-end communication compliance to satisfy your regulatory obligations, from content capture to compliant archival, search, review, and audit.
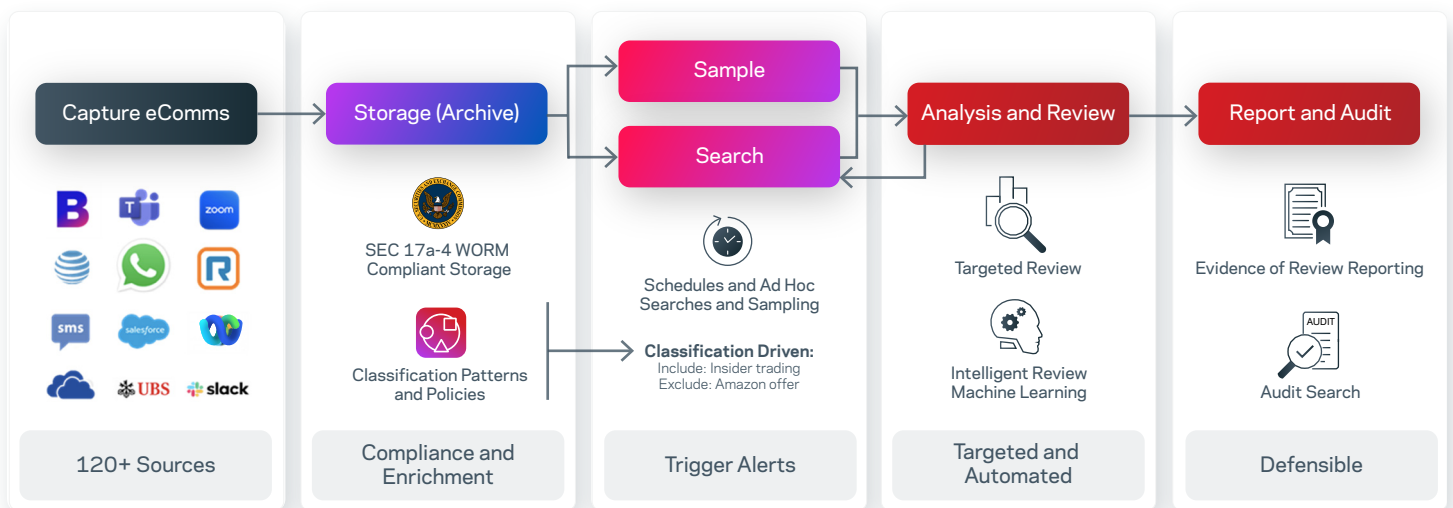
Elements of Veritas Alta Surveillance

Capture Every Conversation

Collect content from more than 120 content sources, including email, Microsoft Teams, Bloomberg, WhatsApp, and Zoom, from a SaaS-based configuration (Figure 1). Additional benefits include the ability to:

- Ingest and consolidate various forms of communication and content
- Quickly adapt to new message platforms to mitigate compliance risk
- Start running data collection cycles without training
- Automatically update and maintain server infrastructure
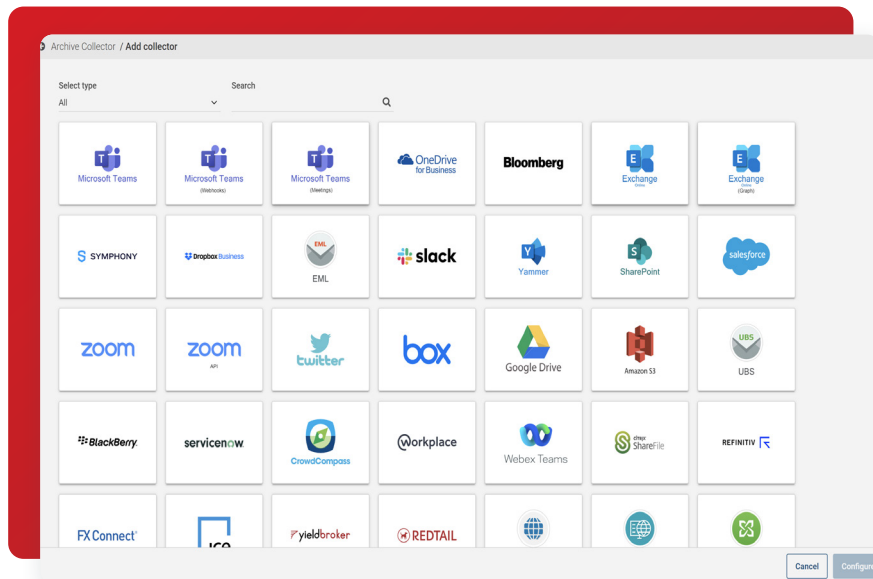- Flag specific information to enhance future data collection

Figure 1. Some of the more than 120 content sources accessible by Veritas Alta Capture

Deepen File Analytics

More than half of enterprise data is dark or unknown, which creates regulatory risk. Provide your compliance teams with the ability to classify and contextualize content. Simplify searching through data, gaining insights, and meeting regulatory requirements. In-depth risk analytics also allow you to:

- Leverage easy-to-use reporting to eliminate waste, reduce costs, and consistently apply classification policies

- Identify data you should keep, and what you can defensibly delete

- Reduce duplicate, stale, orphaned, and dark data

- Analyze user behavior and protect against data theft within your organization

- Flag anomalies automatically and identify suspicious or malicious user behavior

- Control global access permissions and locate ransomware that may be hidden in your files

Enrich Content Metadata

You can automatically classify all content by policy during ingestion and indexing. Leverage more than 200 pre-trained, expert-vetted policies with more than 1,100 patterns for use or customization out of the box. Satisfy a variety of data-driven use cases including communication compliance, corporate compliance, legal, healthcare, security, privacy, and public sector. Additional features and benefits include:

- AI-based natural language processing with built-in features such as sentiment analysis and language detection for more than 30 languages

- Policies designed to identify noise such as newsletters and auto-generated email, plus trigger rules to automatically exclude content from review

- Industry-expert authored communication compliance policies to identify and alert on behaviors including customer complaints, outside business activities, off-channel signaling, and trade execution concerns

- Policies that provide full transparency into logic as specific as keywords and proximity distances

- The ability to create or customize policies using nested condition logic, Boolean and regular expressions, document similarity, confidence levels, minimum and maximum counts, and other elements

- Rapid development and maintenance for new and existing policies, with updates every three months

Maintain Compliant Content Storage

Veritas Alta Surveillance stores all content securely in an immutable, regulation-compliant WORM archive. With granular controls over retention, expiry, access, and management, Veritas delivers enterprise-grade security and lifecycle for your data. Key benefits include the ability to:

- Preserve content by policy as journaled records in a high-availability repository protected against unauthorized or accidental deletion
- Ensure retention practices are defensible and comply with applicable laws and regulations, including attestation letters
- Deliver search results across all content within the archive within seconds using enterprise-grade rapid indexing
- Reduce costs and improve productivity of IT and litigation support staff with rapid search, legal hold, case management, and eDiscovery workflows
- Use the built-in Direct Migration feature to move content, eDiscovery, and compliance work product from on-premises Veritas archives
- Provide end-user access to archived content using the Personal Archive feature for end-user search and retrieval

Enhance Surveillance

Compliance teams can manage the entire review process. You can design and control built-in workflows to create departments; assign reviewers and permissions; add monitored employees; schedule searches and samples; and conduct reviews, reports, exports, and audits. Drive alerts based upon customized lexicon, classification policies, and Intelligent Review ML. Specific features include:

- Built-in Intelligent Review ML trains itself to score relevance on all content with full transparency
- Built-in noise reduction automatically reduces false positives caused by allow-listed users and disclaimers
- Hit Highlight Navigation directs reviewers to relevant content without having to read across an entire message
- Ability to conduct purpose-built reviews of collaboration, audio, and video content
- Granular access controls ensure you can enable or disable each function for specific roles and users
- Audit search capabilities guarantee that each action is logged, indexed, findable, and exportable

Improve eDiscovery

A complete, one-step discovery capability enables defensible collection of your relevant content sources, purpose-built review of all data types, and efficient production of relevant documents. Support cross-functional collaboration on matters and investigations so that internal and external legal teams, IT, human resources, and other stakeholders can work more efficiently. Benefits include:

- Defensible and targeted EDRM content collection from more than 120 sources for collaboration, chat, social media, and voice communication
- Quick location of relevant data for discovery, supervision, privacy, and legal challenges
- Advanced early-case assessment and reviews using fast response time for searches
- Easy self-service for online exports of search results by designated reviewers and administrators
- Acceleration of reviews using relevant data with reactions produced in legally defensible formats

Intelligent Review: Machine Learning with Transparency

Take advantage of cutting-edge ML to optimize review. Intelligent Review is designed on a continuous active learning framework and updates itself daily. The learning is an automatic background task that observes your review team as they mark and label items for relevance. Because it uses reviewer history, there is no need to create a special training set or tune the engine.

In essence, the ML simply observes your team and learns continuously. You don't need a subject matter expert or a data scientist. The framework is built into the system and enabled with a simple button click. While most legacy systems require discrete training events and teams, this system never goes stale nor drifts toward inaccuracy or irrelevancy. Instead, accuracy increases over time — the more data you feed it, the more it improves.
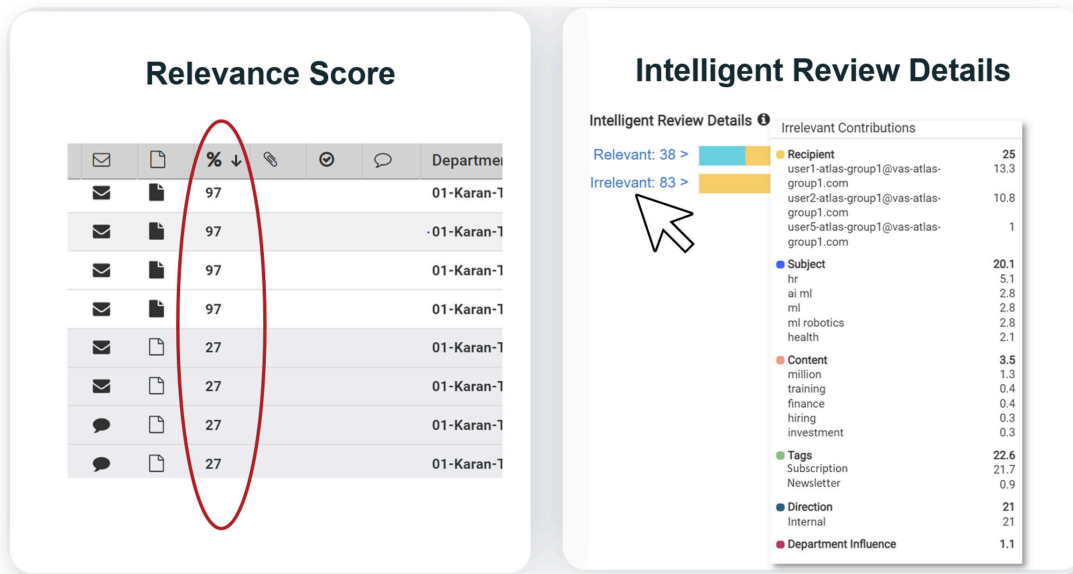
Figure 3. Identify the Machine Learning predictions within Intelligent Review

Transparency is another key theme of Intelligent Review within Veritas Alta Surveillance. With Intelligent Review, the reviewer can understand the ML prediction quickly. All messages receive a relevance score that you can filter and sort by priority. Each item includes a breakdown of the score, so users can simply click to evaluate a message based upon its individual contributions. The elements that might factor include criteria such as participants, message direction, subject line, user-selected content snippet, classification tag, department influence, and reviewer mark.

Optimized Review and Hit Highlight Navigation

Review guides users to relevant messages according to more than 20 facets, multicolumn select and sort, and advanced search filters. At the item level, users access relevant content through Hit Highlight Navigation. The reviewer clicks on Next to go directly to the relevant sections(s) of the message.
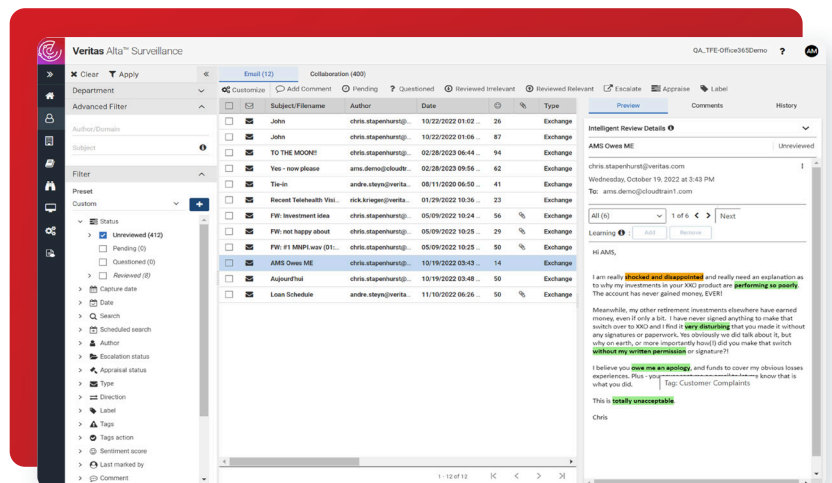

Figure 4. A view of Hit Highlighting Navigation within email communications

Purpose-Built Reviewing

Purpose-built review of audio, video, and collaboration content allows native review of content. By preserving the actual view and metadata, as well as by delivering continuous scroll through an item's history, reviewers can access the entire context during review. It presents audio and video content as a message with transcription, plus a dedicated media player with a smart transcript of the recording to jump directly to the sections that trigger an alert.
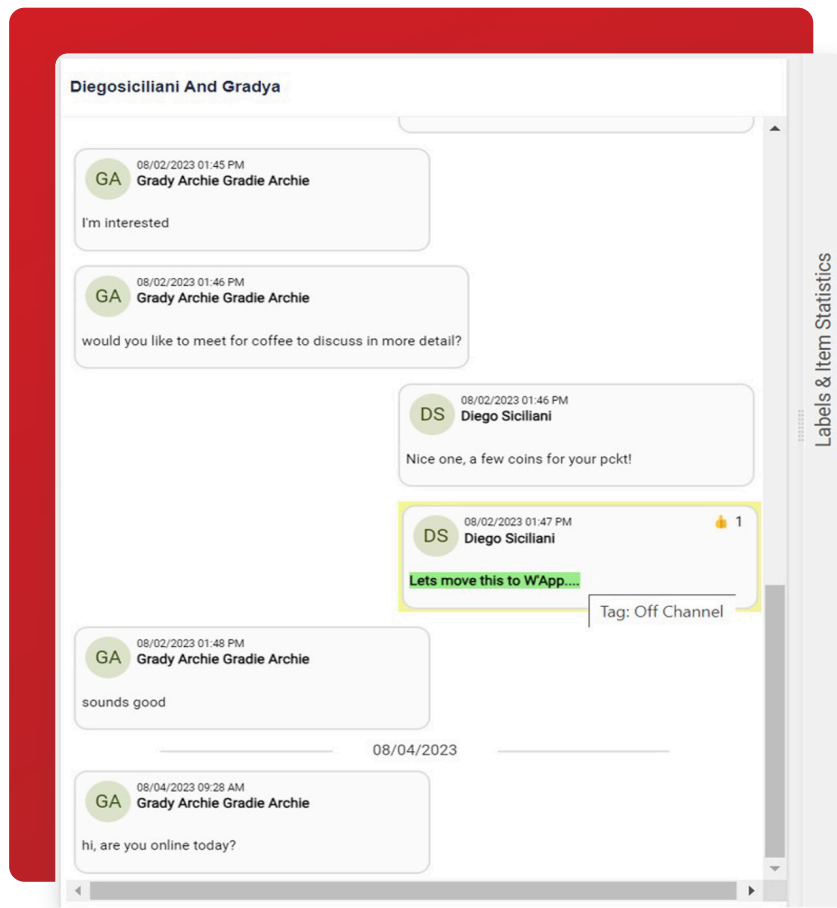

Figure 5. An example of purpose-built review

Enhanced Reporting and Audit Viewer

Out-of-the-box reports have never really met the need for the very granular reporting requirements of managers, executives, internal and external auditors, and regulators. Enhanced reporting provides fully customizable reporting by directly accessing the data through a PowerBI template or through a highly secure open API.

Access Data Directly for Reporting via the Framework

With Audit Viewer, you can access and report on all system changes. The systems record all changes to audit roles, roles assignment, departments, hot words, monitored employees, and searches. It indexes all activity, making it searchable and exportable. Audit Viewer identifies who made the change and when, as well as current and previous values.
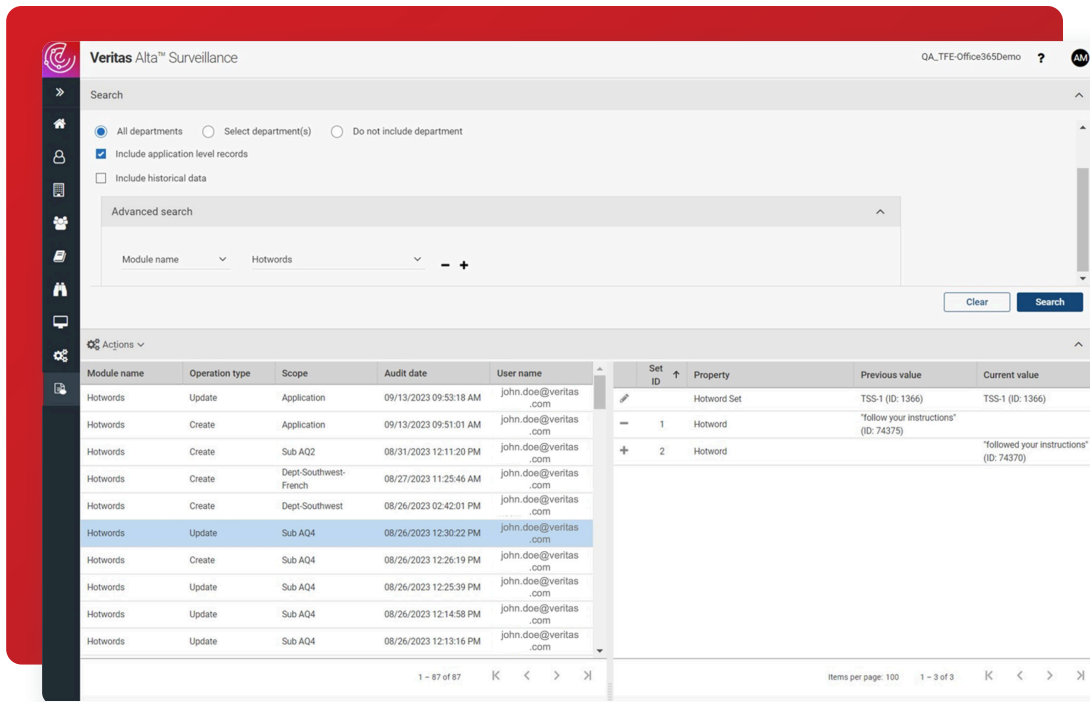
Figure 6. An example of Audit Viewer

Learn more about Veritas Alta Surveillance.

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