

# Archiving: Compliance Module

## Enhance your Archiving platform with Supervision and Case Management functionality

| Supervise and review electronic communications | Spot violations and risks before they become fines and headlines | Conduct eDiscovery and internal investigations | Compliance and Case Management made easy |
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Archiving empowers your business to capture, preserve and quickly retrieve all your unified communications interactions, covering calls, SMS, chat, video meetings and other communications capabilities.

With the Archiving Compliance Module, users can enhance and simplify compliance and e-discovery processes, reducing the time, cost and effort of supervision and case management of their archived communication data. Whether the need is to monitor these communications to stay compliant with global regulatory requirements, respond to litigation and regulatory requests, or prepare for investigations, Compliance Module has you covered.

**Compliance Module offers enhanced functionality for:**

### 1. SUPERVISION and MONITORING:

Helps you proactively spot and quickly review red flags in your employees and customers communications to more effectively prevent risk. Build supervision workflows to efficiently reveal risk using custom lexicons and policies.

### 2. LEGAL CASE MANAGEMENT:

Reduce the time and cost of e-discovery and review with powerful search and case management tools. Rapidly collect, analyze, and assess information across a broad range of communications, all preserved securely in evidentiary formats.

## WHY BUSINESSES NEED COMPLIANCE MODULE:

With the recent regulatory updates in the Financial Services, Insurance, Energy and other regulated industries, compliance professionals are tasked with demonstrating reasonable supervision to regulators. This is driving compliance professionals to pursue new ways to be more effective and efficient in managing their organization's communication data with the same or fewer resources.

Additionally with the increase in litigations, investigations, and general regulations, legal, HR and executive teams must identify and preserve relevant communications, initiate legal holds, conduct first pass reviews, and export all electronic communications data on-demand with limited time and resources.

**Professionals can leverage the Compliance Module functionality, simplifying the process of supervision and monitoring, as well as eDiscovery processes by enabling users to:**

- Leverage a robust policy engine and purpose-built policies and automate the systematic process of identifying important and relevant communications associated with policy hits.
- Filter large communication data sets quickly down to a manageable size, ensuring a more efficient process of selecting and reviewing the relevant messages. Whether you are reviewing within the platform or exporting for further analysis in third party tools, reduce time for collection, review, and subsequent legal action.



# COMPLIANCE MODULE CAPABILITIES:



## SUPERVISION & MONITORING

Empower your compliance team with a purpose-built supervision solution:

**Compliance Policies:** Compliance users can create and back-test compliance policies that will be executed against all uploaded documents, allowing automatic categorization of spam or high-risk communications and significantly reducing the time to manually review data.

**Lexicons:** Users can create lexicon lists of key words and phrases. Multiple lexicon lists can be built and attached to policies.

**Assign and Escalate:** Assign documents to individuals within the compliance teams and escalate documents for additional review.



## LEGAL CASE MANAGEMENT

Streamline your case management process, and respond to litigation, investigations or regulatory requests:

**Case Management:** Employ a complete case management workflow to identify communications that need further investigation, assign them to privileged users for review, and author case policies that will automatically add relevant documents to a case.

**Tags and Filters:** Surface relevant content and enrich with tags for further downstream legal review. Quickly reduce volume and export relevant data from the Archive for use in third-party legal review applications, or continue your legal reviews in-app.

**Legal Holds:** Legal Hold (litigation hold) enables organizations to preserve potentially relevant information when litigation is pending or reasonably anticipated. Quickly place an unlimited number of legal holds across all your captured content sources. All associated communications are protected from deletion and automatic disposal processes.

**Export:** Export all relevant documents to a standards-based format (e.g. CSV, Original Format). Ensure your end users and downstream legal review solutions get your data in seconds.

QUESTIONS? CONTACT US TODAY!

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