

Aungate Real-Time Policy Supervisor

A Fully Automated and Intelligent Approach to Enterprise Communication Monitoring and Supervision

Proper supervision and surveillance of enterprise communications is a key focus of today's regulators; particularly in the area of financial services where recent guidance has increased the scope and specificity of corporate monitoring procedures. Corporations who fail to properly supervise electronic communications face severe and damaging corporate exposure, as well as costly disciplinary actions, sanctions and fines by agencies such as the Securities and Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA) and the Financial Services Authority (FSA).

Autonomy's Aungate Real-Time Policy Supervisor module is the industry's most comprehensive solution to address this challenge by taking an automated and intelligent approach to monitoring all electronic communications within an organization. Using advanced conceptual search and classification tools, the Supervisor module goes well beyond keyword-based solutions to identify potentially damaging information based on its context. Intelligent policies are applied to communications in real-time, either at the point of send or when they are archived as part of a company's retention and disposition strategy. The solution is 100% web-based with the option to be deployed onsite or as part of a hosted service offering. It supports Microsoft Exchange and Lotus Notes and natively supports all types of Instant Messaging and Bloomberg, including Bloomberg Internet Messages, Blackberry pin-to-pin messages, Terminal Messages and Persistent Chats.

The Real-Time Policy Supervisor module is also the only solution available that offers the ability to process video and audio files, creating the most comprehensive risk management solution available. As regulations such as the FSA "Conduct of Business Sourcebook" (COBS) increasingly include rich media such as voicemail from universal messaging systems and recorded turrent calls, this capability has become critically important. Lastly, the solution is fully auditable, capable of creating up-to-the minute reports and trend analysis that may be used to defend compliance practices in case of a regulatory or legal investigation.

Leveraging IDOL Capabilities

Following the successful pattern of the Autonomy Proactive Information Risk Management products, Aungate Real-Time Policy Supervisor utilizes the intelligence of the Autonomy Intelligent Data Operating Layer (IDOL), to enable the sophisticated analysis of over 1,000 file types (including audio and video) originating from 400+ data sources in more than 100 languages. Leveraging this powerful platform, the solution is able to apply conceptual profiles and policies against communications in real-time, enabling corporations to identify and flag those messages which may prove to be truly harmful to the organization.

Through IDOL, Aungate Real-Time Policy Supervisor offers a full spectrum of advanced analytics operations and visualization tools, including multi-dimensional data clustering, tracer maps and message link maps. This functionality provides compliance officers and risk managers with a quick and accurate snapshot of their corpus of employee communications, allowing them to more effectively view problems and suspicious conversations throughout the entire organization for easy escalation if necessary.

Highlights

- Enhances keyword and lexicon-based detection with the addition of conceptual analysis
- Utilizes Policy-based risk management strategy, improving quality and relevancy of information brought forward
- Ability to exclude disclaimer language and distinguish false positive text and concepts for better detection capabilities and more comprehensive risk management
- Intelligent sampling enables enhanced support of latest FINRA practices for post-review of email, Bloomberg and Instant Messages
- Advanced analytics and visualization tools for efficient categorization and contextual insight into problems, escalations and communication threads
- Centralized management with executive dashboard for tracking of issues, resolutions and productivity.
- Proactive policies for real-time blocking, quarantining and routing information flow to enforce information risk policies
- Audit trails at message, case, policy & user levels
- International language support for content, policies and queries
- Comprehensive support for over 1000 file formats, including email, Instant Messages, Bloomberg, audio and video

"Technologically, Autonomy's key differentiators include conceptual search, security and scalability."

—The Forrester Wave: Enterprise Search, Q2 2008



Employing 21st Century Policy Management

Traditional compliance methods have employed lexicon-based detection filters and random sampling “best practices” to monitor their enterprise communications for potentially damaging content. Both of these approaches are inherently limited in that they only catch a percentage of the actual incriminating communications taking place within the organization and, in the case of lexicon filters, often result in many false positive results that can greatly lengthen the review cycle.

The screenshot displays the configuration interface for a policy in the Aungate Real-Time Policy Supervisor. The policy is named "Flagging Policy #1 - Inappropriate Use" and is set to "Apply Policy" always. It is categorized as "Corporate" and applies to "All mailboxes and groups." The policy is configured to match any of the following conditions: "Body" contains "Restricted Term - Confidential" and "Subject" contains "Restricted Term - Confidential". The status is set to "Flag", and it is routed to "Every Assigned Mailbox Group". No labels or return classifications are applied.

Aungate Real-Time Policy Supervisor applies the intelligence of the Autonomy IDOL engine to enhance the lexicon-based approach to supervision by automatically suggesting new terms. More significantly, the solution enables companies to take a more intelligent, policy-based approach to their risk management strategy, and in doing so, greatly increases the quality of information that is brought forward for review. The Supervisor solution allows organizations to define and apply corporate policies against both live and archived communications, resulting in better detection capabilities and an overall more effective approach to risk management. Policies can be based on concepts, keywords, Boolean rules or a combination of all three. They can also be created using existing documents or records as a sample, training the system to flag any content that is similar in context to the communications that have been created.

Aungate Supervisor can detect and exclude false positives generated via disclaimers, embedded tables, ticker symbols or other irrelevant information contained within the messages. This intelligent filtering enables reviewers to focus their supervision efforts on relevant content to determine whether or not the information has been communicated in accordance with the corporate policies. This focus dramatically increases the quality of review, reducing unnecessary review time and cost.

Intelligent Sampling

Aungate Real-Time Policy Supervisor facilitates compliance with the latest FINRA practices for sampling and post-review of email, instant messages and Bloomberg communications. As compared to other technologies which support simple representative or random sampling without any distinction, Aungate Supervisor applies intelligent sampling profiles against a preserved data set according to communication direction, type and frequency. Further, these profiles can automatically exclude records that do not contain potentially damaging language or concepts. Exclusion of records greatly reduces the size of the sampled data set and guarantees higher quality review sets, enhancing the overall speed and ease of the review process.

Report Name: Sampling Profile Report
Autonomy
SANTAL

Purpose: List and description of the available Sampling Profiles
Report Generated By: Singlecast Administrator
Date: Thu, September 27, 2007 at 2:30PM

Summary

Number of Sampling Profiles: 3

Details

Name	Selection Mode	Selection % By Type
Heightened	Inclusive (100)	100% of Inbound Email 100% of Outbound Email 100% of Internal Email 100% of Inbound Instant Message 100% of Outbound Instant Message 0% of Internal Instant Message 100% of Inbound Bloomberg 100% of Outbound Bloomberg 0% of Internal Bloomberg

Enforcing Information Boundaries

Strict industry regulations developed to protect shareholders now hold financial institutions directly responsible for the communications that are sent by their employees. Emails, instant messages and even recorded web events and voicemails that contain privileged client or industry information pose a huge risk should they be sent beyond approved boundaries and should be monitored as closely as possible to marginalize their potential damage. Aungate Real-Time Policy Supervisor addresses this challenge by automatically and proactively applying corporate policies against employee communications at the point and time of origination to identify, block or reroute potentially harmful messages. This preventative approach protects the company against employee indiscretions for which they could be held responsible and drastically reduces the risk of negative exposure.

Robust Review & Supervisory Workflows

Effective and compliant review of employee communications is not achieved in a single step, but through a coordinated workflow process involving multiple actions and responsible parties. Once a data set has been identified through filters, policies, sampling or a combination of each, a series of workflows must be initiated to conduct a thorough review and identify any potential issues. To greatly simplify this process, the Supervisor module provides a series of built-in review and escalation workflows that are fully customizable to address the best practice needs of a particular organization. A set of message-based tools enables one-step approval or escalation depending on the appropriate action. Reviewers may mark an email as accepted, send it back to the author with a warning, or escalate it to a case officer for further action. Each of these is a critical step in creating an auditable monitoring and supervision process that is in compliance with industry standards and regulations.

Real-Time Audits, Reports and Trend Analysis

Aungate Real-Time Policy Supervisor boasts an intuitive central dashboard that enables compliance officers to quickly audit the status of their supervision efforts and generate targeted reports. The system creates audit trails at user and system level, tracking activity like message status, case status, policy administration changes and user management changes. These audit trails enable Aungate Supervisor to present a full 360 degree view of a company's risk management efforts.

In addition, real-time aging reports and delinquency scenarios can be generated against reviewers and supervised messages, enabling a detailed assessment of the productivity of supervision efforts. Compliance officers and risk managers can easily defend their compliance practices at the time of investigation or audit.

The system also boasts an intuitive, easy-to-use early-detection dashboard, alerting risk management officials to suspicious communication threads and patterns in real-time so that they may take a decided form of disciplinary or preventative action if necessary.

recent activity		by group		custom views	
Past 365 Days		Messages	Unread	View	
Flagged	4	(1)	Case Escalations - Last 120 Days	2	(-)
Not Flagged	8	(4)	Insider Trading - Bond Insurers	12	(5)
TOTAL	12	(5)	Z- Departing Branch Employee	3	(1)
Forwarded	-	(-)			

About Autonomy

Autonomy Corporation plc (LSE: AU. or AU.L) is a global leader in infrastructure software for the enterprise and is spearheading the meaning-based computing movement. Autonomy's technology allows computers to harness the full richness of human information, forming a conceptual and contextual understanding of any piece of electronic data including unstructured information, be it text, email, voice or video. Autonomy's software powers the full spectrum of mission-critical enterprise applications including information access technology, pan-enterprise search, information governance, end-to-end eDiscovery and archiving, records management, business process management, customer interaction solutions, and video and audio analysis, and is recognized by industry analysts as the clear leader in enterprise search.

Autonomy's customer base comprises of more than 17,000 global companies and organizations including: 3, ABN AMRO, AOL, BAE Systems, BBC, Bloomberg, Boeing, Citigroup, Coca Cola, Daimler Chrysler, Deutsche Bank, Ericsson, Ford, GlaxoSmithKline, Lloyd TSB, NASA, Nestle, the New York Stock Exchange, Reuters, Shell, T-Mobile, the U.S. Department of Energy, the U.S. Department of Homeland Security and the U.S. Securities and Exchange Commission. More than 350 companies OEM Autonomy technology, including BEA, Citrix, EDS, H-P, Novell, Oracle, Sybase and TIBCO, and the company has over 400 VARs and Systems Integrators. The company has offices worldwide.

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Autonomy Inc.

One Market, Spear Tower, 19th Floor,
San Francisco, CA 94105, USA
Tel: +1 415 243 9955
Fax: +1 415 243 9984
Email: info@us.autonomy.com

Autonomy Systems Ltd

Cambridge Business Park,
Cowley Rd, Cambridge CB4 0WZ, UK
Tel: +44 (0) 1223 448 000
Fax: +44 (0) 1223 448 001
Email: autonomy@autonomy.com

Other Offices

Autonomy has additional offices in Antwerp, Barcelona, Beijing, Bogota, Boston, Buenos Aires, Calgary, Cambridge, Chicago, Dallas, Darmstadt, Kuala Lumpur, London, Madrid, Mexico City, Milan, Munich, New York, Oslo, Ottawa, Paris, Pleasanton, Rome, San Francisco, Santa Clara, Shanghai, Singapore, Santiago, Sao Paulo, Stockholm, Sydney, Tokyo, Utrecht and Washington, D.C.

