VERITAS ADVANCED SUPERVISION AND ADVISORMAIL COMPARISON

Abstract

Discover how to perform various AdvisorMail functions in the Advanced Supervision environment, how to perform compliance activities on your archived messages, and how to configure and manage Advanced Supervision. The purpose of this document is to ensure that your organization meets its requirements for the proper supervision of its archived electronic communications.

Legal Notice

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Overview

About AdvisorMail and Advanced Supervision

Advanced Supervision is the successor product to AdvisorMail and provides organizations with a comprehensive compliance and supervision solution as well as a new and modern user experience.

Whereas AdvisorMail was a standalone archiving solution, Advanced Supervision is built on the Enterprise Vault.cloud archiving platform. As a result of your transition from AdvisorMail to Advanced Supervision, your organization also gains access to the Enterprise Vault.cloud administration console as well as Enterprise Vault Discovery.cloud.

Both the applications meet FINRA, SEC, GLBA, SOX, and HIPAA regulatory requirements. AdvisorMail is designed to archive, monitor, search, and retrieve emails and instant messages (IMs). Advanced Supervision is a software-as-a-service (SaaS) offering that reports on, samples, monitors, searches and retrieves emails and messages. Advanced Supervision meets regulatory compliance requirements while it supervises electronic communication items.

AdvisorMail automatically and securely captures the emails and IMs and it indexes, archives them, and backs them up in a central online repository. Approved personnel can monitor, search, and retrieve messages at any time. Similarly, Advanced Supervision helps your organization meet compliance and retention requirements without requiring that you invest in hardware, software, integration services, or IT personnel.

Advanced Supervision offers a simple and an intuitive user experience. It delivers end-to-end supervisory workflow to Enterprise Vault.cloud customers, greatly reducing audit review time, minimizing compliance risk and increasing organizational efficiency for global enterprises.

Users' roles determine the features they can access. Using Advanced Supervision

- Administrators can configure, manage, and control the application workflow.
- Reviewers can monitor, review, hold reviews, question, escalate, appraise, and comment on the items that they review either manually or with hotwords.

Terminology

Table 1 explains terminology used in AdvisorMail and Advanced Supervision.

Table 1 - Terminology used in AdvisorMail and Advanced Supervision

Terms used in AdvisorMail	Terms used in Advanced Supervision
Corporate offices and their nested offices	Departments and their nested departments
Outbound Address	Monitored Employees
Inbound Address / Inbound rules	Trash / Searches
Keywords and phrases	Hotwords and hotwords sets
Data request	Exports
Auditor	Reviewer
Privilege auditor	Exception reviewer

Advanced Supervision features

Advanced Supervision provides simple workflows to speed up the routine compliance search and review tasks. Its interface follows industry best practices and standards to provide an intuitive interaction.

Advanced Supervision uses the Enterprise Vault.cloud platform to access:

- Archived employee communication items
- Inbound and outbound employee communications
- Details of users who can monitor and supervise communication items and provide information on demand

Based on roles and responsibilities, Advanced Supervision reviewers can:

- Map organization structure in the form of departments and nested departments
- Add employee addresses to departments
- Move departments to other departments along with the associated employees
- Assign reviewers to departments
- Configure monitoring policies at a granular level to set the scope of reviews
- Maintain the record that policies have been implemented and executed
- Define criteria for manual or scheduled searches
- Assign the communication items of selected reviewers to exception reviewers

During analysis, you can:

- Choose your display preference for reading communication items
- Read and assign review status to captured items
- Comment on items
- View the history of items
- Print and download items

After analysis, you can:

- Generate reports for the collected information
- Export the items for offline reviews or for approved third-party use

Supporting documentation

Table 2 lists the documents that describe Advanced Supervision. Before you start working with Advanced Supervision, you must understand how Advanced Supervision is associated with Enterprise Vault.cloud, its Administration Console, and its Discovery Archive. This documentation is also available in PDF and HTML formats in the Veritas Documentation Library.

Table 2 - Supported product documentation

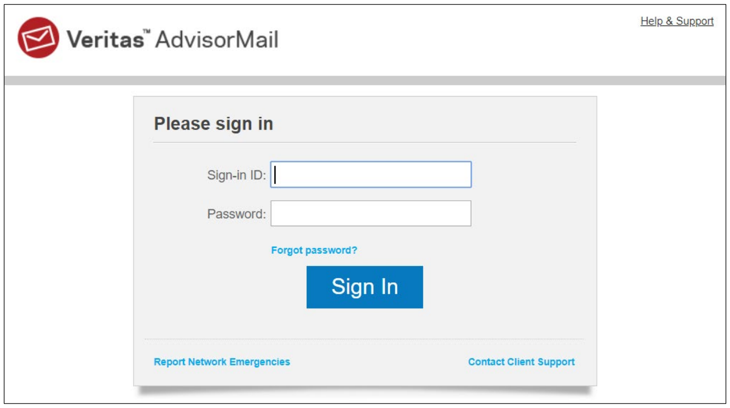
Document	Description
Enterprise Vault.cloud™ Archive Administration Help	Describes how to search for archive accounts, create archive accounts, deploy users and enable their access to Advanced Supervision, and remove user access.
Enterprise Vault.cloud™ Discovery.cloud User Guide	Describes how to use all the key features of Enterprise Vault Discovery.cloud, including search.
Advanced Supervision 1.0 User Help	Describes how to manage monitoring employees, reviewers, departments, searches, hotwords, roles and responsibilities, exports, and compliance reports by using Advanced Supervision.

Getting started

Signing in

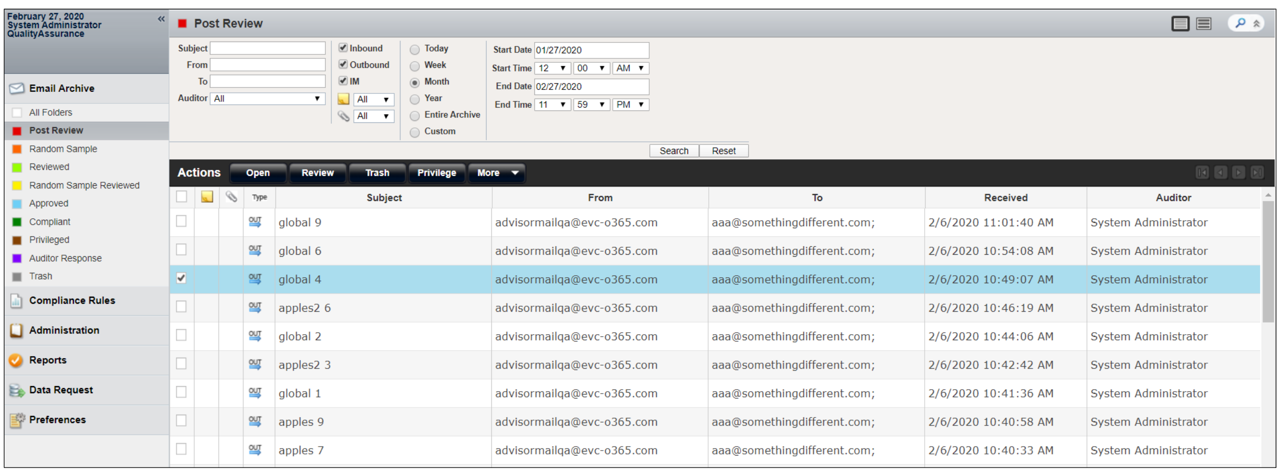
To sign in to the AdvisorMail user interface

1. Enter the AdvisorMail URL in an AdvisorMail compatible internet browser.
2. Enter your Sign-in ID and Password in the authentication screen.



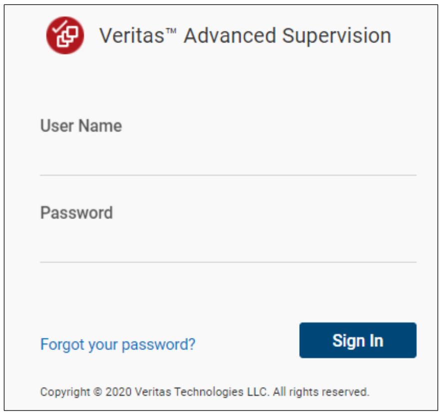
3. Click **Sign In**.

   After successful authentication, the system displays the default login page that you have specified on the **Preferences** page.



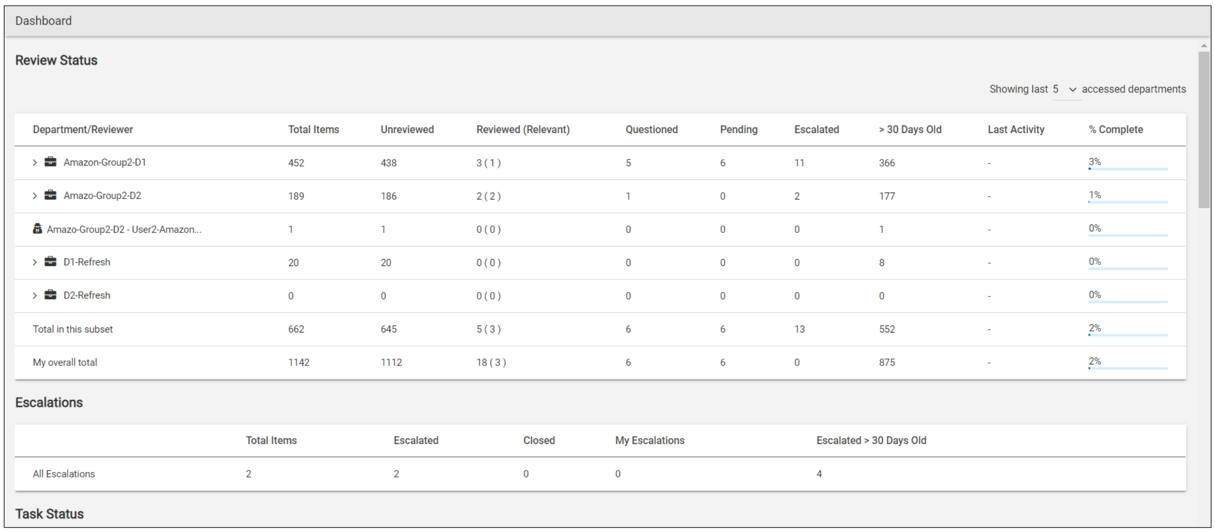
To sign in to the Advanced Supervision user interface

1. Enter the Advanced Supervision URL in the Advanced Supervision compatible internet browser.
2. Enter your user name and password in the authentication screen.



3. Click **Sign In**.

   After successful authentication, the Advanced Supervision **Dashboard** appears.



Dashboard

Review Status

Showing last 5 accessed departments

Department/Reviewer	Total Items	Unreviewed	Reviewed (Relevant)	Questioned	Pending	Escalated	> 30 Days Old	Last Activity	% Complete
Amazon-Group2-D1	452	438	3 (1)	5	6	11	366	-	3%
Amazo-Group2-D2	189	186	2 (2)	1	0	2	177	-	1%
Amazo-Group2-D2 - User2-Amazon...	1	1	0 (0)	0	0	0	1	-	0%
D1-Refresh	20	20	0 (0)	0	0	0	8	-	0%
D2-Refresh	0	0	0 (0)	0	0	0	0	-	0%
Total in this subset	662	645	5 (3)	6	6	13	552	-	2%
My overall total	1142	1112	18 (3)	6	6	0	875	-	2%

Escalations

	Total Items	Escalated	Closed	My Escalations	Escalated > 30 Days Old
All Escalations	2	2	0	0	4

Task Status

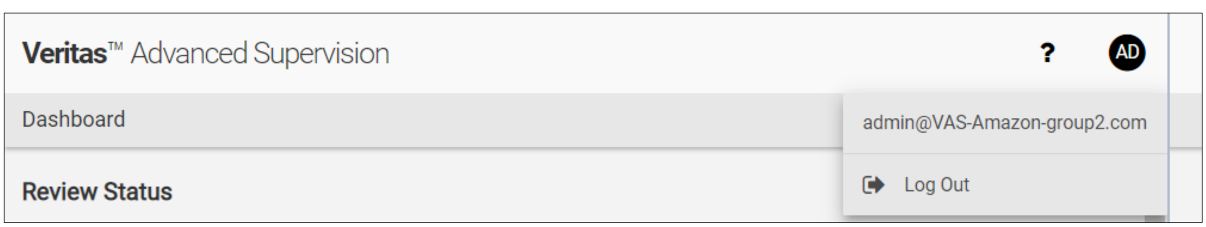
Signing out

To sign out from AdvisorMail

On the upper banner of the Advanced Supervision user interface, click **Logout**.

To sign out from Advanced Supervision

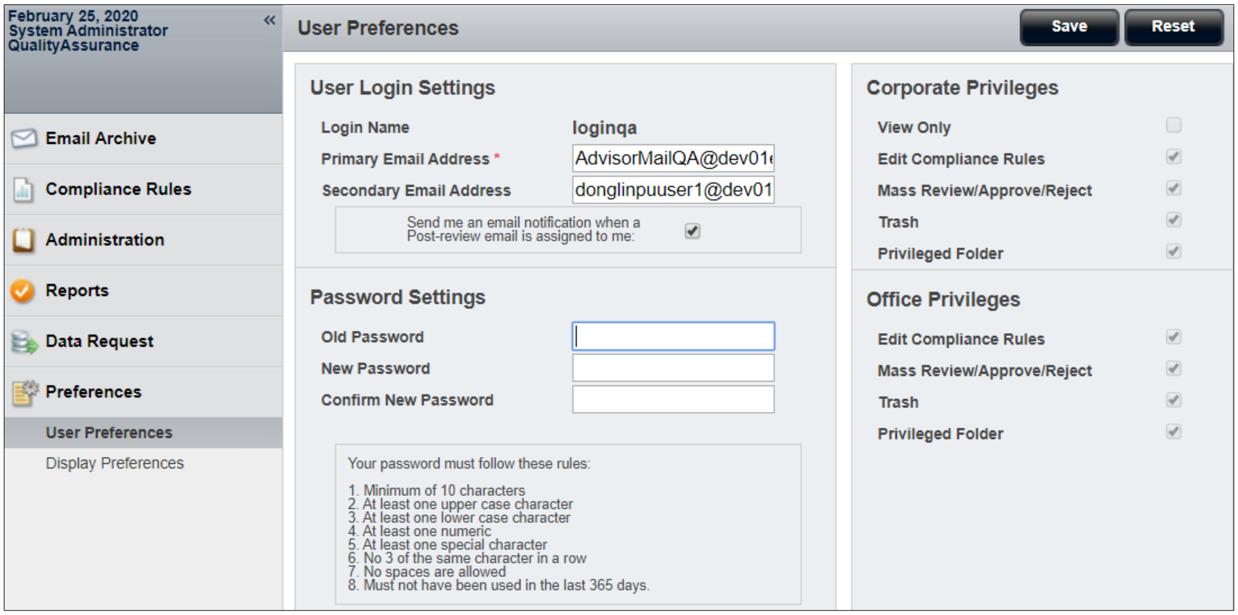
On the upper banner of the Advanced Supervision user interface, click **Log out**.



Resetting passwords

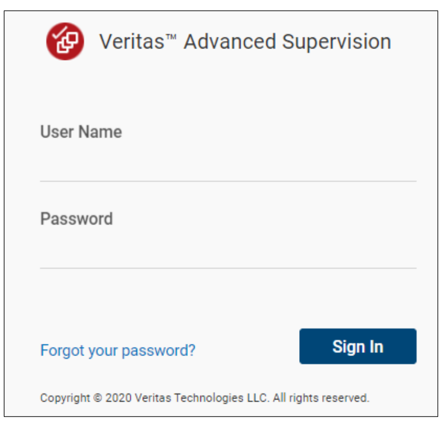
To reset passwords in AdvisorMail

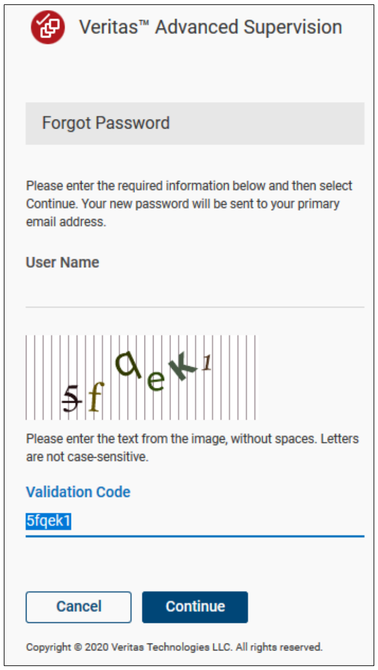
1. In the left navigation pane, click **Preferences** > **User Preferences**.
2. Under the **Password Settings** section, provide the old password and the new password.
3. Retype the new password for confirmation.
4. Click **Save**.



To reset your password in Advanced Supervision

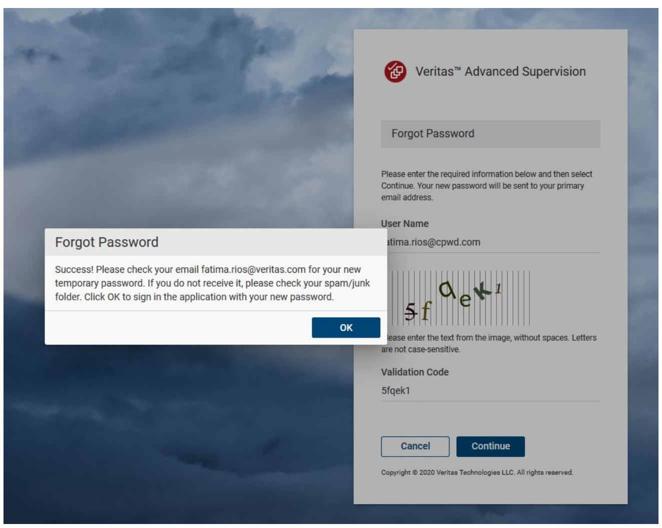
1. In the authentication screen, click the **Forgot your password** link.





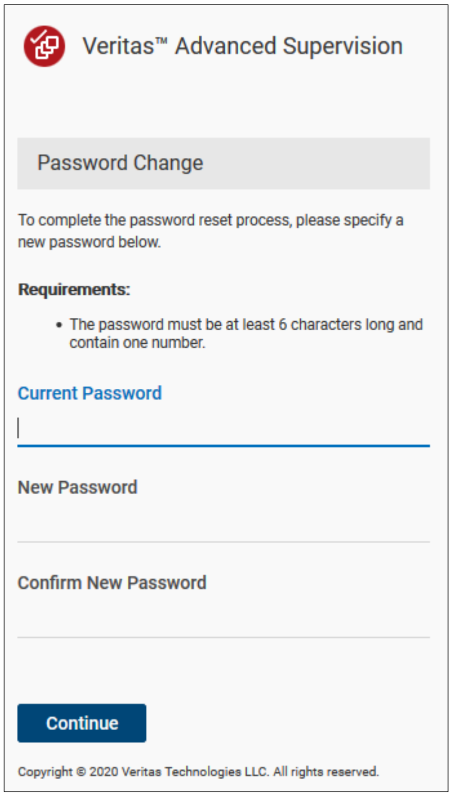
2. In the **User Name** field, provide your user name.
3. In the **Validation Code** field, enter the alphanumeric captcha text without spaces.

   Note: The captcha text is not case-sensitive.
4. Click **Continue** to receive a temporary password on your primary email address.



Note: Advanced Supervision sends the temporary password to the specified email address. If you cannot find the email in your Inbox, check your spam or junk folder.

5. Click **OK**.



6. In the **Current Password** field, enter the temporary password.
7. In the **New Password** field, enter the new password.
8. In the **Confirm Password** field, enter the new password for confirmation.
9. Click **Continue**.

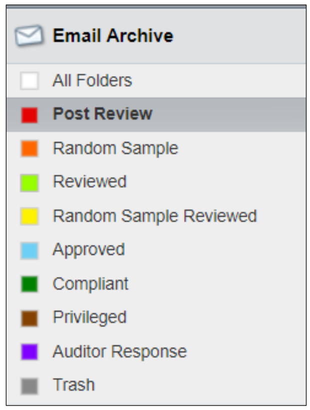
Archiving and reviewing emails

Archiving emails

In AdvisorMail, emails from different offices are organized in specific folders such as Post Review, Random Samples, Reviewed, Random Sample Reviewed, Approved, Compliance, Privileged, Author Response, and Trash. Based on the compliance rules, sensitivity, and message delivery policies, AdvisorMail stores emails in the appropriate folders.

Any email that has violated a compliance rule is initially stored in one of three folders: All Folders, Post Review, or Random Sample. Auditors typically review emails in these folders. Based on the reviewer's action, the email is moved to the relevant folders.

The folders in AdvisorMail have a unique color code to help simplify the user experience.



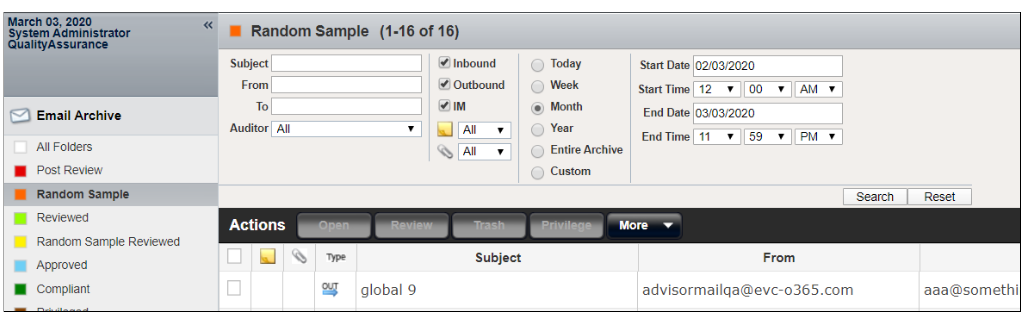
Advanced Supervision is not an email archiving application. Therefore, it does not have a concept of folders to store communication archives. It deals with the sampling, monitoring, searching, retrieving, and reporting of emails and messages. It is designed to meet a wide variety of regulatory requirements for the supervision of electronic communications.

To archive email, you use the Discovery Archive application of Enterprise Vault.cloud. Reviewers have the flexibility to pull a set of emails from departments.

Performing advanced searches

To perform advanced searches of items in AdvisorMail

1. In the left navigation pane, click **Email Archive**, and select a required folder.
2. Specify the details in the fields shown in the following image:



3. Click **Search**.

To perform advanced search of items in Advanced Supervision

1. In the left navigation pane, click **Departments.**
2. Search and select the department in which you want to search items.

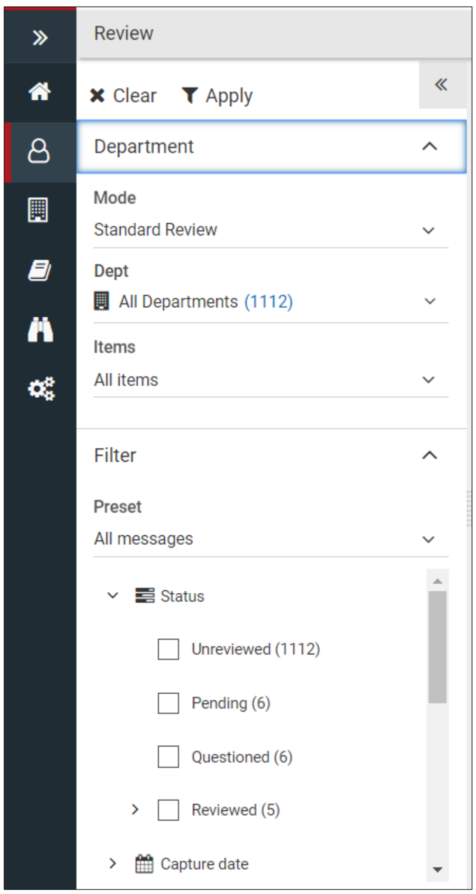
   Note

   In the drop-down list, complete the following steps:

   - In the **Mode** drop-down list, choose whether to perform a standard review of the items in the review set or an escalation review.

     Note: Escalation Review mode is available to escalation reviewers only. It lets these reviewers view and change review status of the items that other reviewers have escalated to them for further attention.

   - In the **Dept** drop-down list, select the department or a nested department for which you want to display the items in the review set.
   - In the **Items** drop-down list, select a group of items you want to review.



   - In the **Filter** drop-down list, select the facets (item classifications) that you want to apply.
   - Click **Apply**.
3. Navigate to the **Searches** tab, and then click the completed searches.

Customizing views

To shorten the review time, AdvisorMail has the following view modes:

List View	This default view provides a list of emails that are displayed in a table format.
Focus View	If you double-click an email in the List View, the email displays in Focus View.
Snippet View	This view lets you quickly review emails by displaying a portion of the sentence before and after each violation. You can view up to five violations at once in each message snippet with the option to advance to the next set of five violations.

Advanced Supervision has the following view modes:

List View	This default view provides a list of emails that are displayed in a table format.
Email Preview	If you double-click an email in the List View, the email displays in the email content and metadata.

Right-click menu

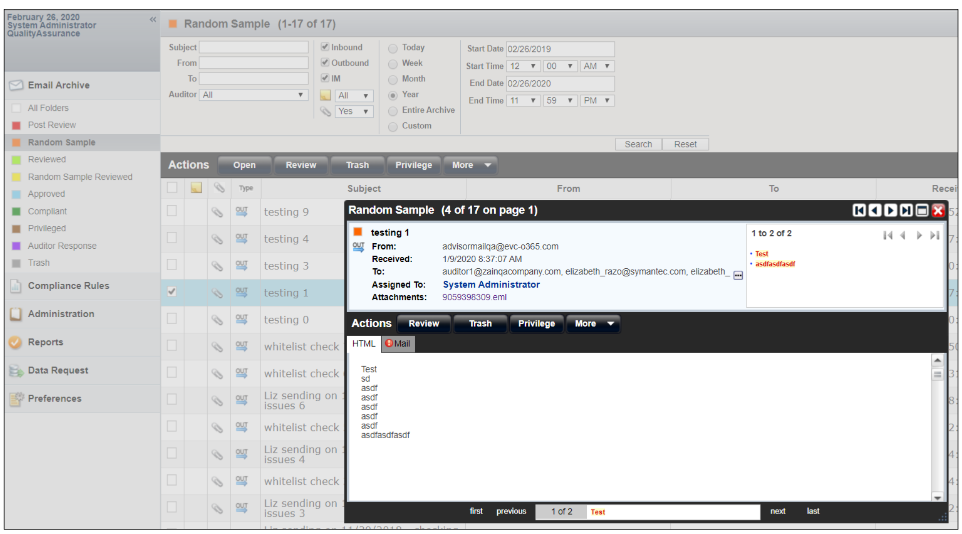
AdvisorMail has a right-click menu. By using the right-click menu, you can perform most of the functions available on the **Action** bar.

Advanced Supervision does not have the right-click menu that makes this application compatible with various devices such as tablets.

Manually reviewing emails

To view email content in AdvisorMail

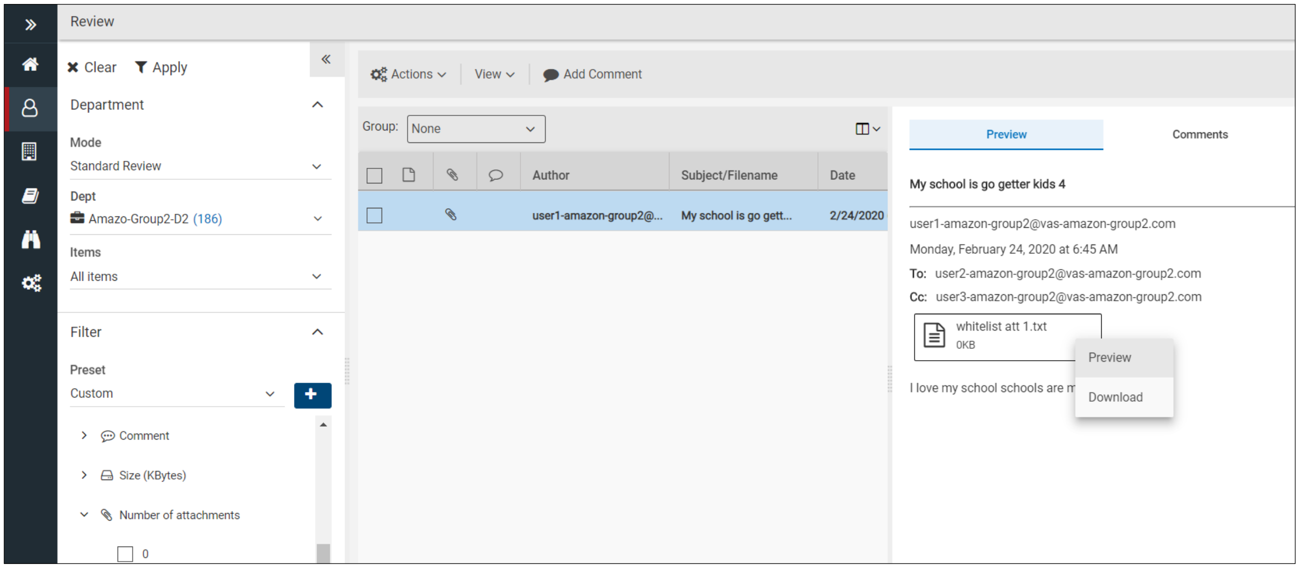
1. In the left navigation pane, click **Email Archive**.
2. Navigate to the appropriate folder, then search for and select the email.
3. On the **Actions** bar, click **Open** or double-click on the email row.



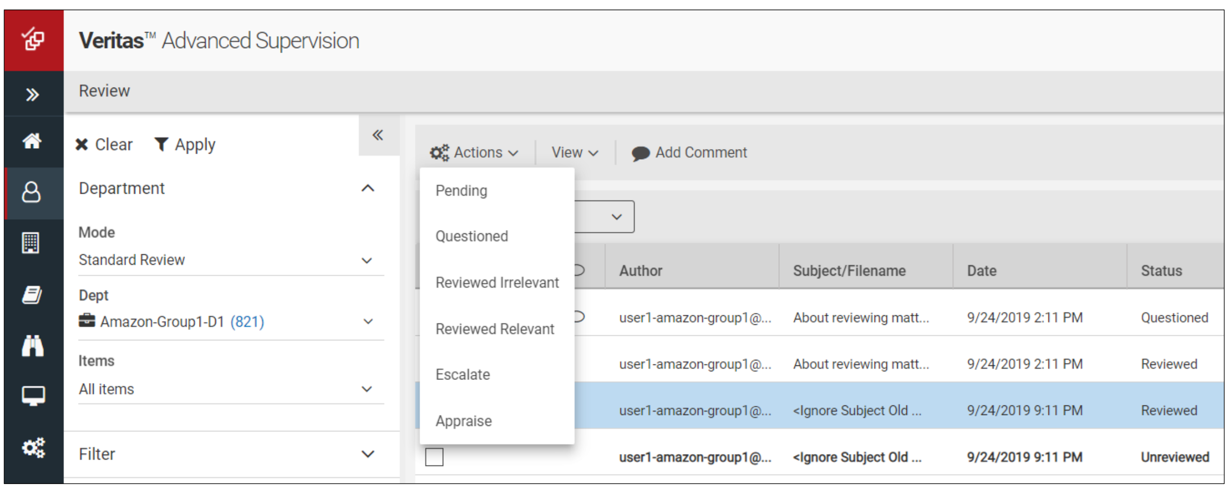
In Advanced Supervision, while reviewing emails manually, you can mark the emails as Pending, Questioned, Reviewed Relevant, or Reviewed Irrelevant. You can also escalate and appraise the items.

To assign a status to review items in Advanced Supervision

1. In the left navigation pane, click **Review**.
2. Navigate to the department, search for and select the email
3. Click the **Preview** page to view content in Microsoft Outlook style.



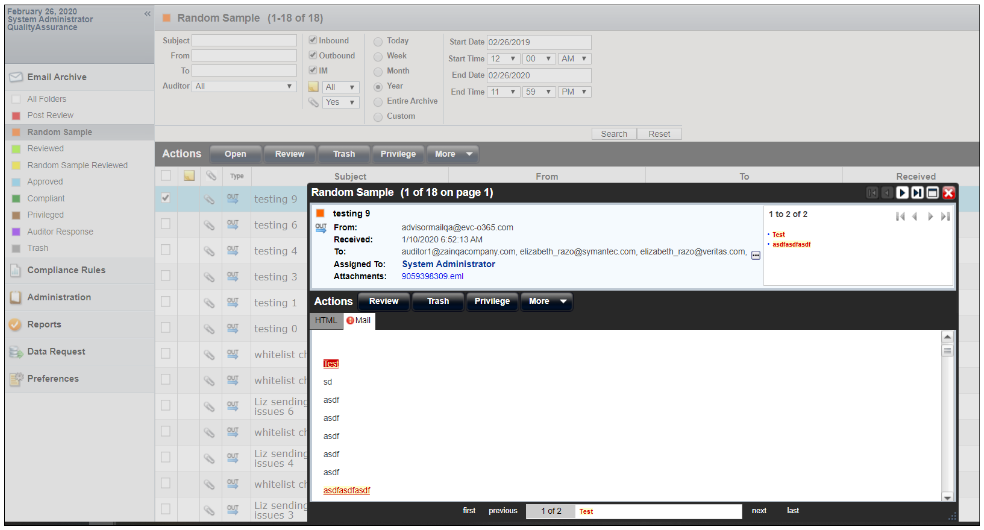
4. To assign a status to an email, expand the **Actions** drop-down menu, and select the required option.



Viewing and downloading email attachments

To view and download email attachments in AdvisorMail

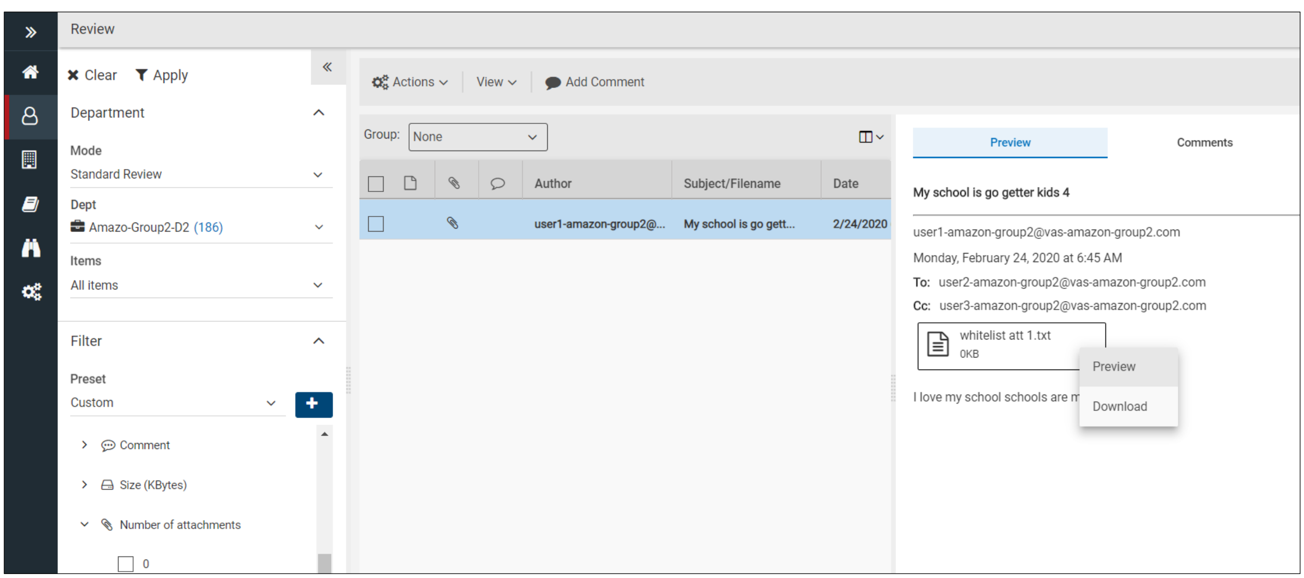
1. In the left navigation pane, click **Email Archive**.
2. Navigate to the folder and search for the emails.
3. Select the email that you want to view and download the attachment.
4. On the **Actions** bar, click **Open**, or double-click the email.



5. Click the attachment to download it on your local computer.

To view and download email attachments in Advanced Supervision

1. In the left navigation pane, click **Review**.
2. Navigate to the department and search for the emails.
3. Select the email that you want to view and download the attachment.
4. On the **Preview** tab, select the attachment, and click **Download**.

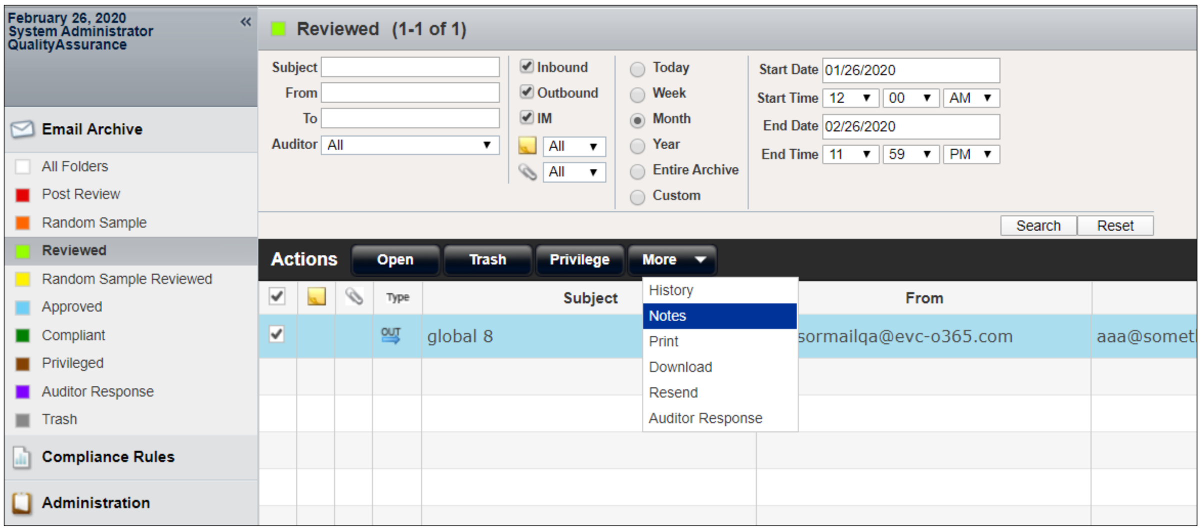


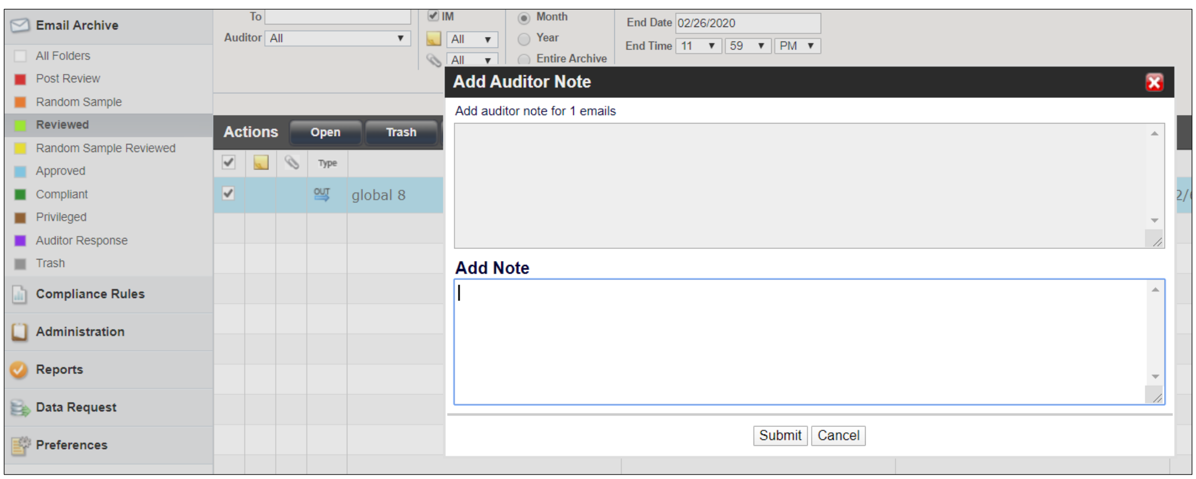
Adding notes or comments to emails

A reviewer of an email can appends a note or a comment to emails.

To add notes to emails in AdvisorMail

1. In the left navigation pane, click **Email Archive.**
2. Navigate to the folder and search for the email.
3. Select the email to which you want to append notes.
4. On the **Actions** tab, select **More** > **Notes**.

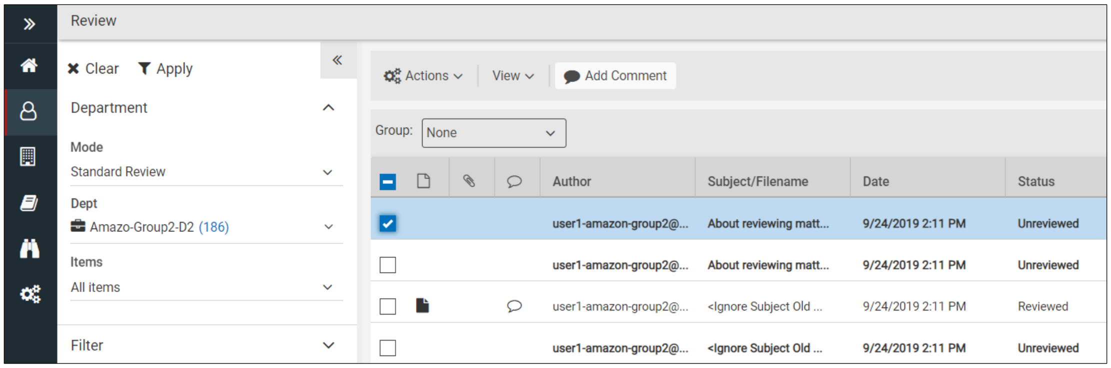




5. Click **Submit**.

To add comments to emails in Advanced Supervision

1. In the left navigation pane, click **Review**.
2. Search for and select the email to which you want to comment.
3. Click **Add Comment**.

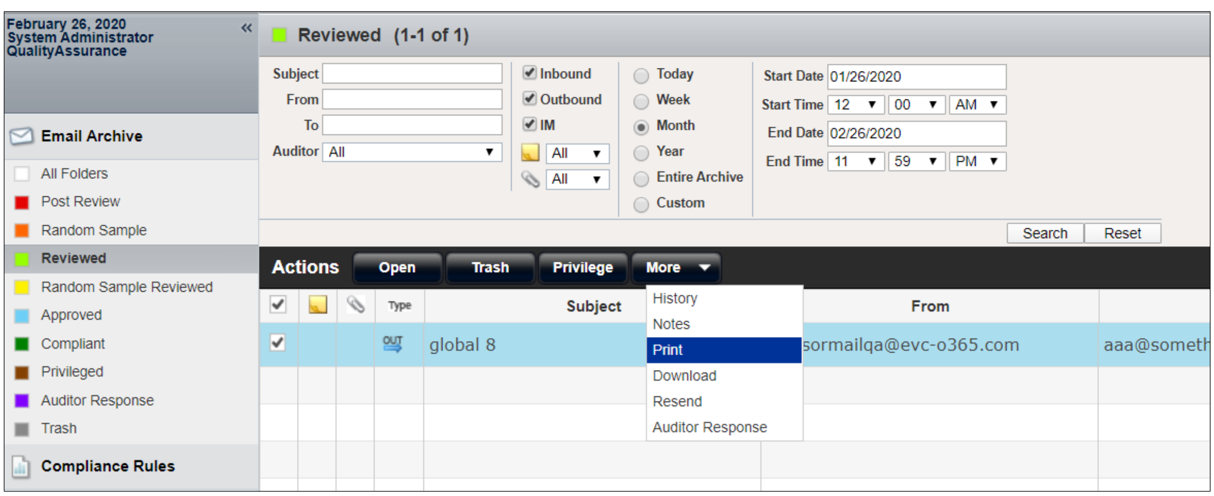


4. Click **OK**.

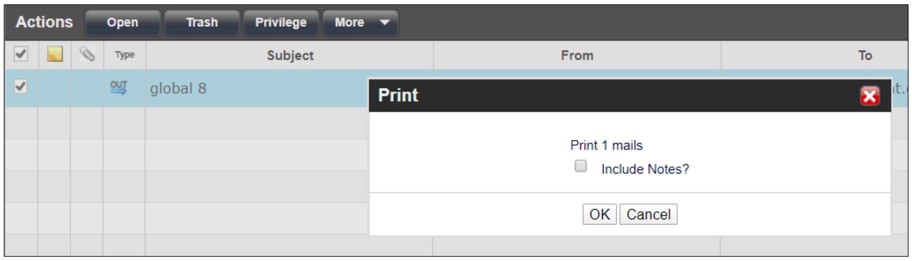
Printing emails

To print emails in AdvisorMail

1. In the left navigation pane, click **Email Archive.**
2. Navigate to the folder from which you want to print an email.
3. Search for and select the email you want to print.
4. On the **Actions** bar, select **More** > **Print**.



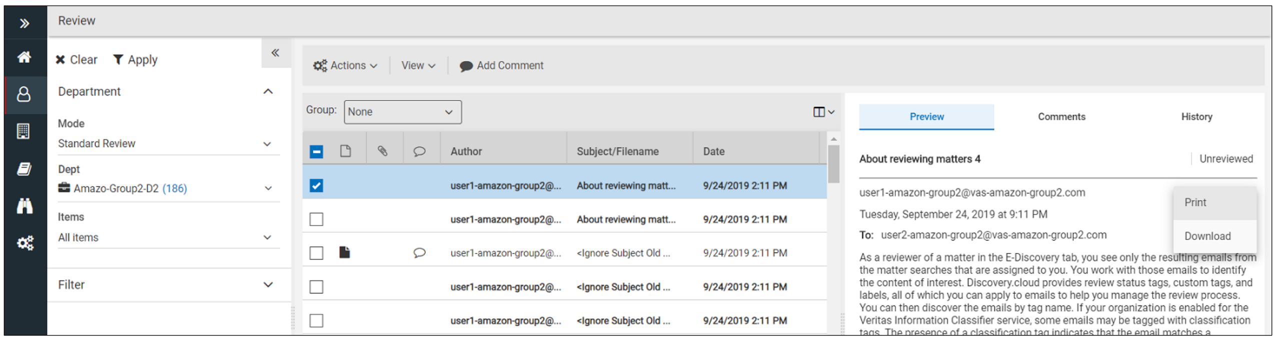
5. Select the **Include Notes** check box to print notes.



6. Click **OK**.

To print emails in Advanced Supervision

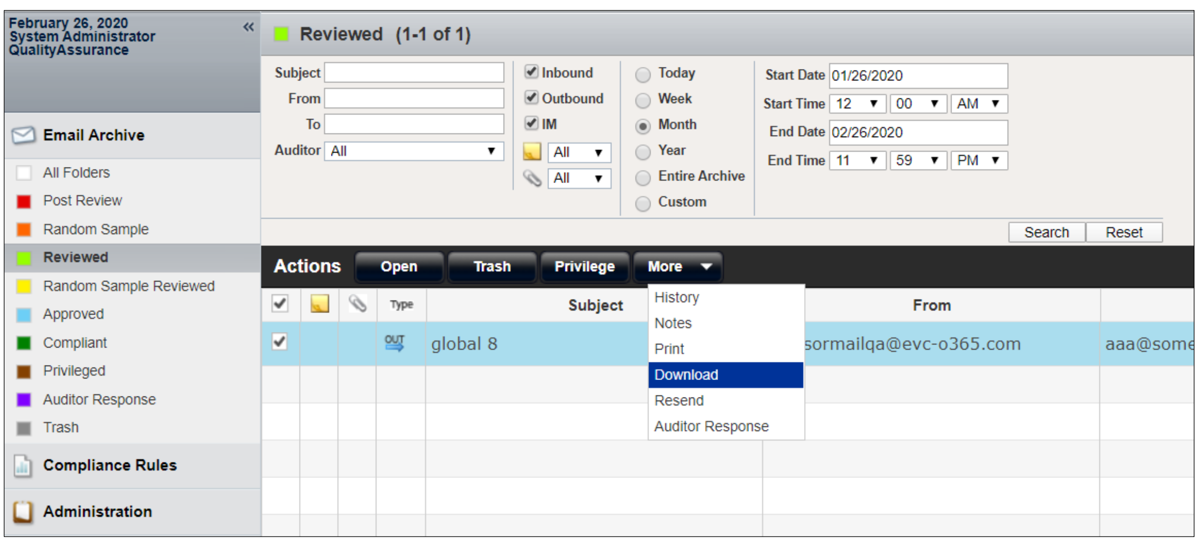
1. In the left navigation pane, click **Review.**
2. Search for and select the email you want to print.
3. On the **Preview** page, click **Print**.

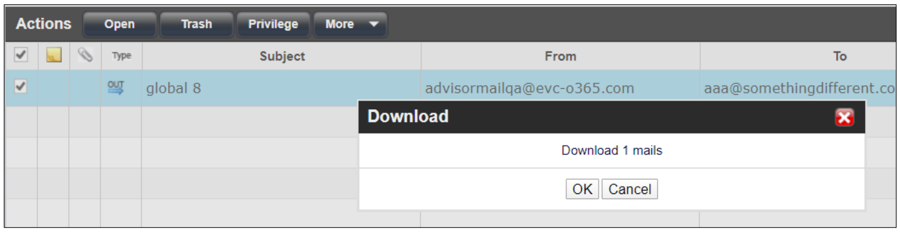


Downloading emails

To download emails in AdvisorMail

1. In the left navigation pane, click **Email Archive.**
2. Navigate to the folder from which you want to download an email.
3. Search for and select the email you want to print.
4. On the **Actions** bar, select **More** > **Download**.

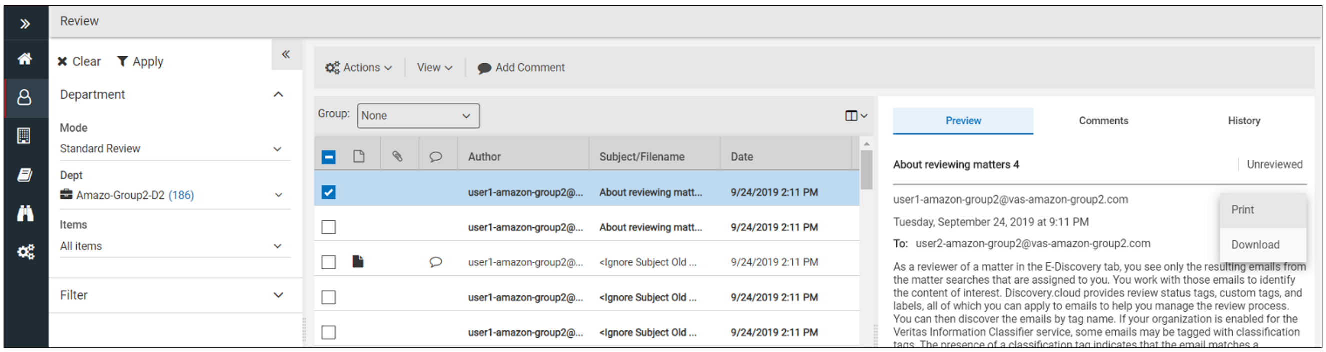




5. Click **OK**.

To download emails in Advanced Supervision

1. In the left navigation pane, click **Review.**
2. Search for and select the email you want to download.
3. On the **Preview** page, click **Download**.

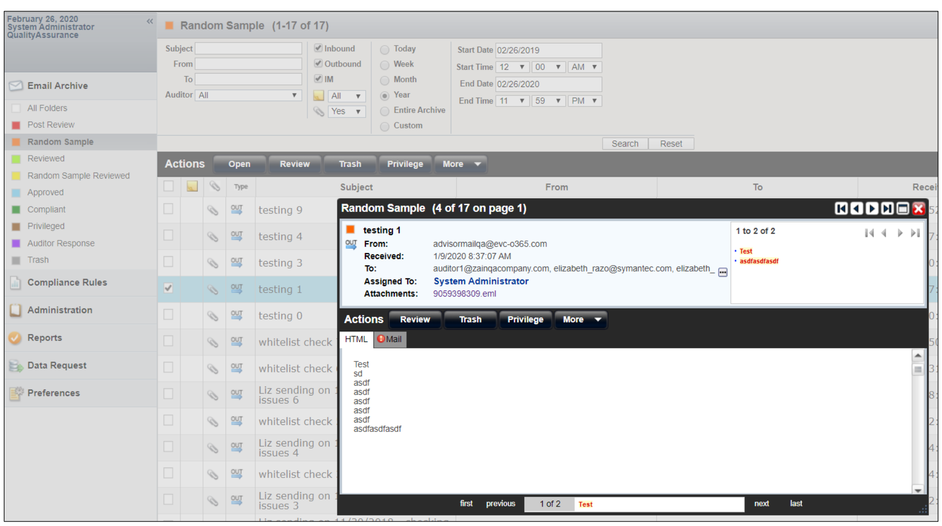


Resending emails

As an auditor, you can resend the selected emails (up to 1000 emails at a time) to the original recipients.

To resend emails to original recipients in AdvisorMail

1. In the left navigation pane, click **Email Archive**.
2. Navigate to the required folder, search for and select the email.
3. On the **Actions** bar, select **More** > **Resend**.

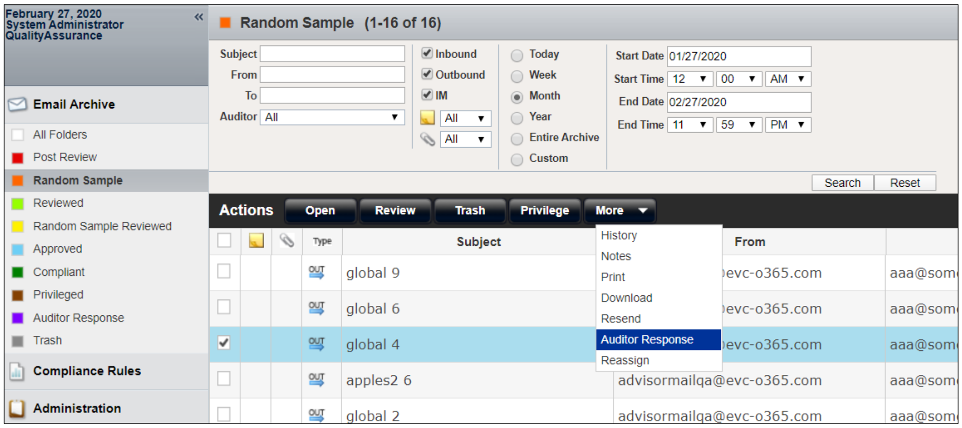


Sending auditor response

As an auditor, you can send a separate email with comments to the original sender or recipients that you define with the original email attachment. You can respond to one email at a time in any folder, except Privileged and Auditor Response folders.

To resend emails to original recipients in AdvisorMail

1. In the left navigation pane, click **Email Archive**.
2. Navigate to the required folder, search for and select the email.
3. On the **Actions** bar, select **More** > **Auditor Response**.



Advanced Supervision does allow you to download an email with a violation and send it as an attachment to the original recipient or sender along with your comments.

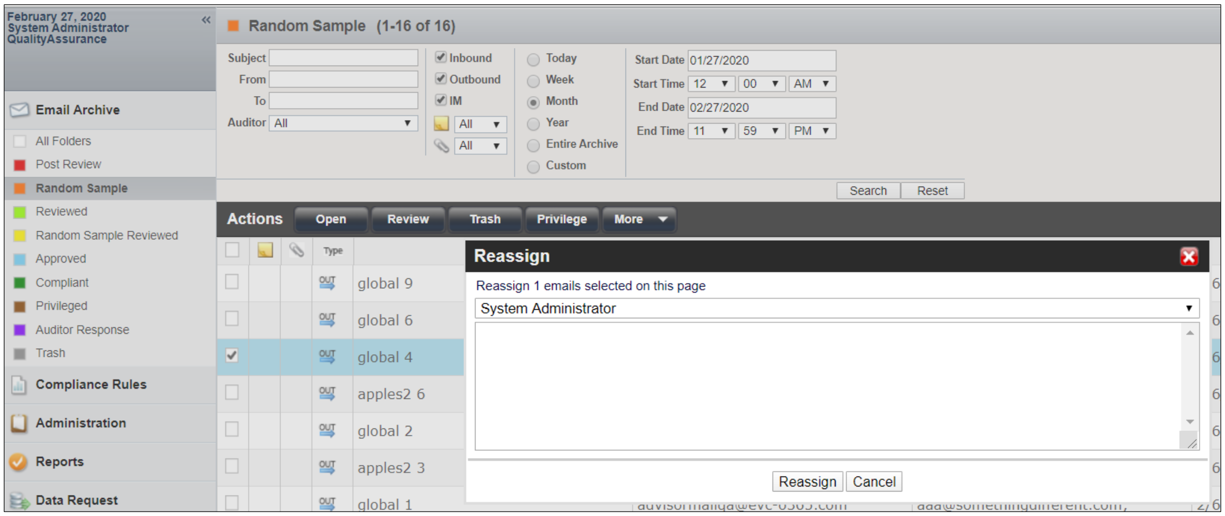
Reassigning emails

In AdvisorMail, there is no hierarchy of auditors. Therefore, a corporate or an office auditor can reassign emails with violations to any other corporate or office auditor for review or for other reasons such as redistributing workload. When a corporate auditor reviews an email that is reassigned from an office, the email is permanently moved from the corporate archive to the office archive.

Auditors can reassign emails to themselves or to other auditors within the same office. Auditors in a remote office can reassign emails to another auditor in the remote office or to an auditor at the corporate office level.

To reassign emails in AdvisorMail

1. In the left navigation pane, click **Email Archive.**
2. Navigate to the folder from which you want to reassign an email.
3. Search for and select the email you want to reassign.
4. On the **Actions** bar, select **More** > **Reassign**.



5. Click **Reassign**.

Reassigning emails is not required in Advanced Supervision, because every user can pull several items for review after signing in to Advanced Supervision. These review items are not available for other reviewers from the time user is logged in. The unreviewed items become automatically available for other reviewers after the user logs out from Advanced Supervision.

In Advanced Supervision, there is a hierarchy of reviewers. Therefore, a reviewer can set exception reviewers and escalation reviewers.

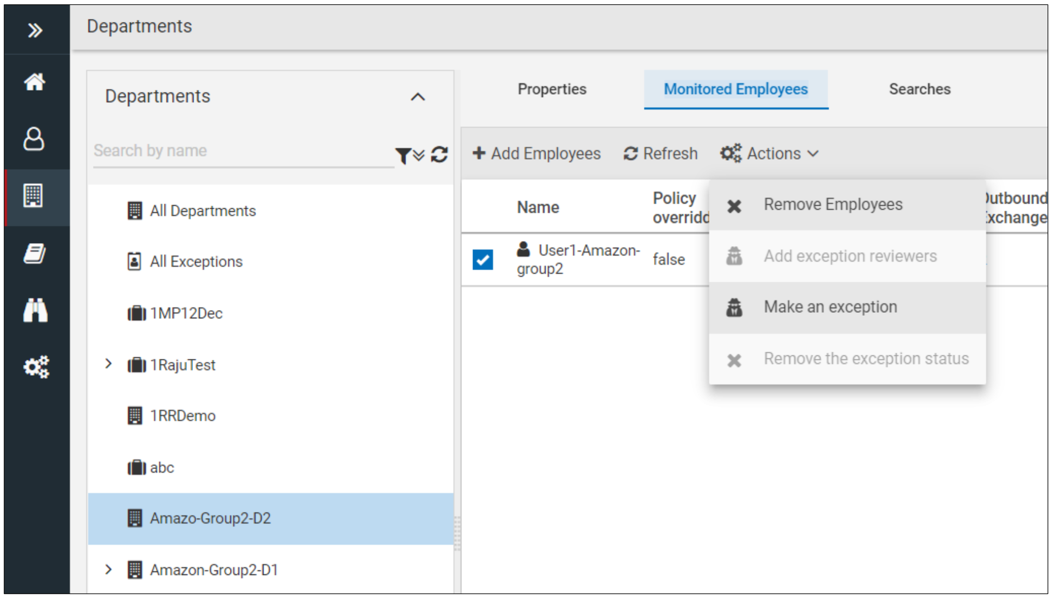
Escalation reviewers	Can receive items that other reviewers in the department have escalated for further review. Departments that are lower in the hierarchy inherit this role, so an escalation reviewer automatically has access to nested departments. Escalation reviewers can export the review items from Advanced Supervision to review items offline or present them as evidence to an approved third party. Escalation reviewers have the higher authority to take decisions. The emails can be escalated to any escalation reviewer to ensure appropriate review workflow.
Exception reviewers	Can search items of exception employees to whom they are assigned. They can also review and export these items and generate reports. An exception is a monitored employee who requires a different reviewer from the rest of the employees in the department. For example, the sensitive nature of a senior manager's communications may require a more senior person to review them.

To designate an employee as an exception reviewer

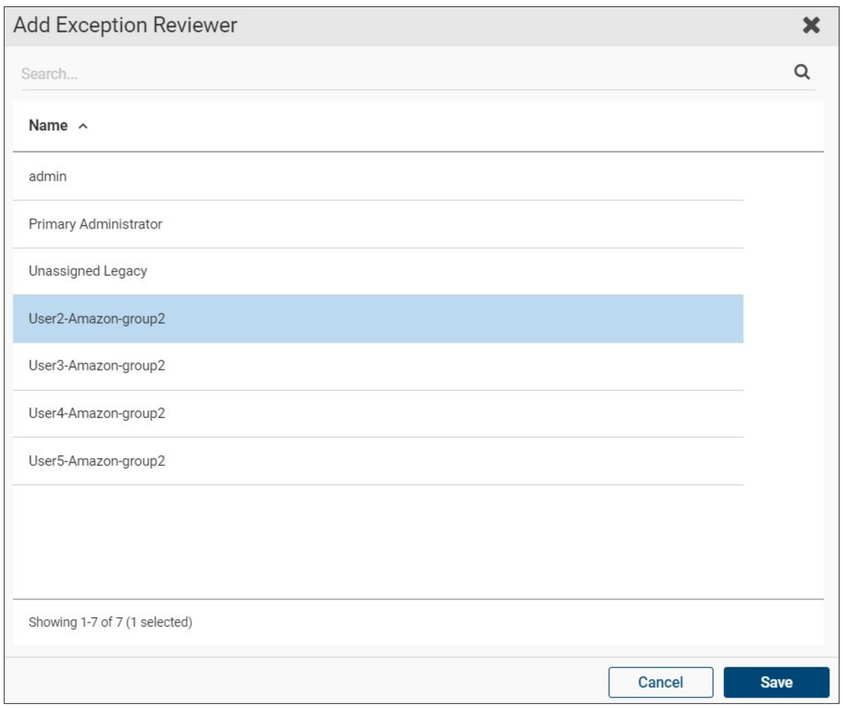
Note: You must have Manage Exceptions permission in the department to make an exception for an employee. By default, the users that have the Compliance Supervisor, App Rule Admin, or User Admin roles have this permission.

1. In the left navigation pane, click **Departments**.
2. Search for and select the department in which you want to make an exception for certain employees.
3. In the **Monitored Employees** tab, select the employee, and click **Make an exception**.

   The Add Exception Reviewer dialog box appears.



4. Search for and select the employee you want to set as an exception reviewer.

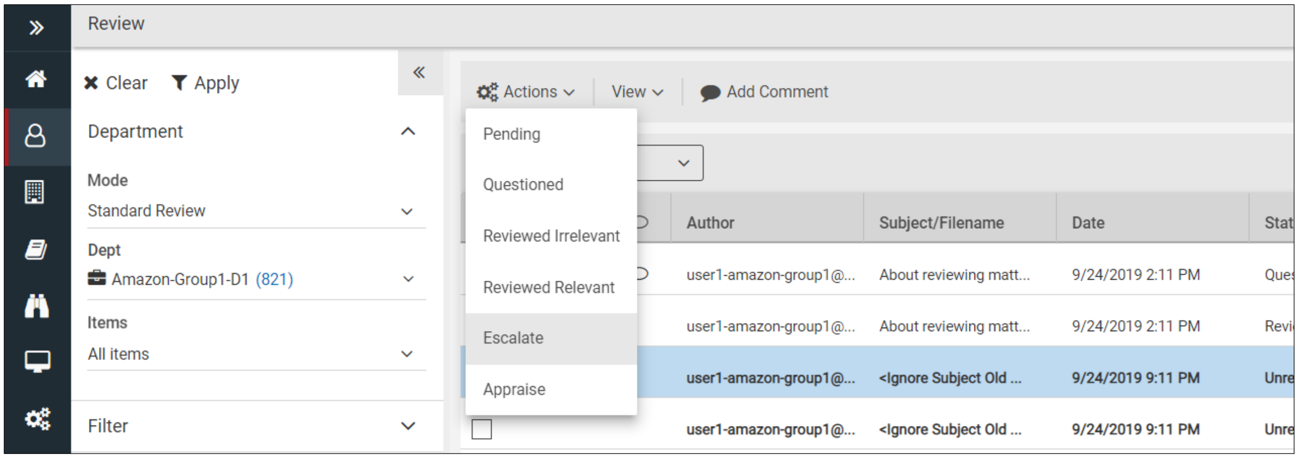


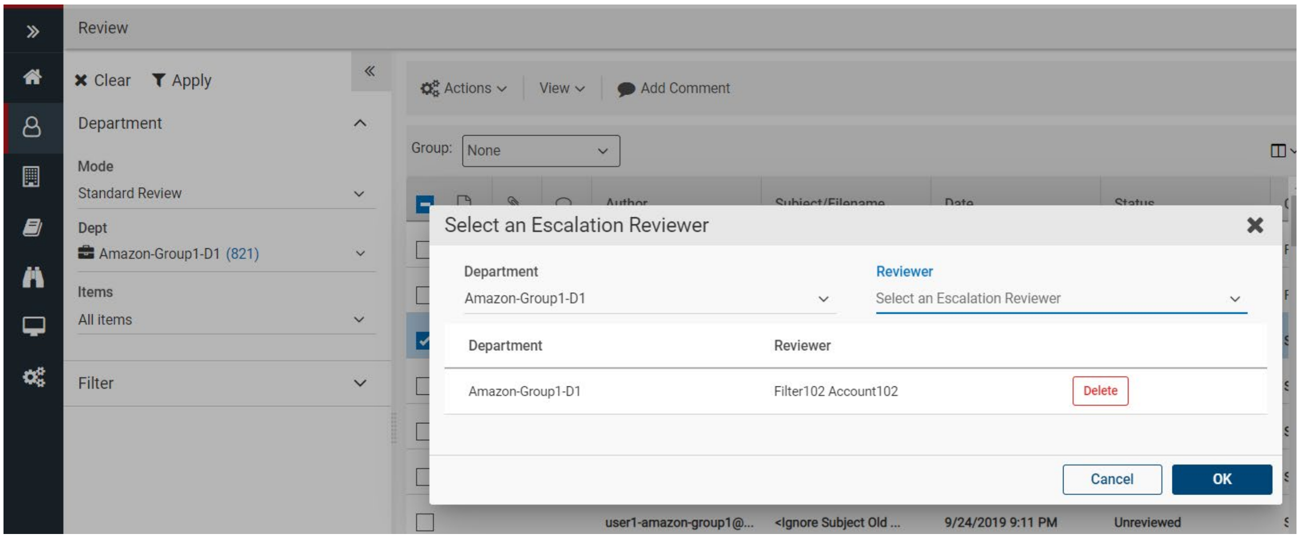
5. Click **Save**.

To designate employees as escalation reviewers

Note: You must have permission in the department to make an exception for an employee. By default, the users that have the Compliance Supervisor, App Rule Admin, or User Admin roles have this permission.

1. In the left navigation pane, click **Review**.
2. Search for and select the email in the required department.
3. In the **Actions** drop-down menu, select **Escalate**.





4. Select an escalation reviewer and click **OK**.

Managing compliance rules

Creating keywords and phrases

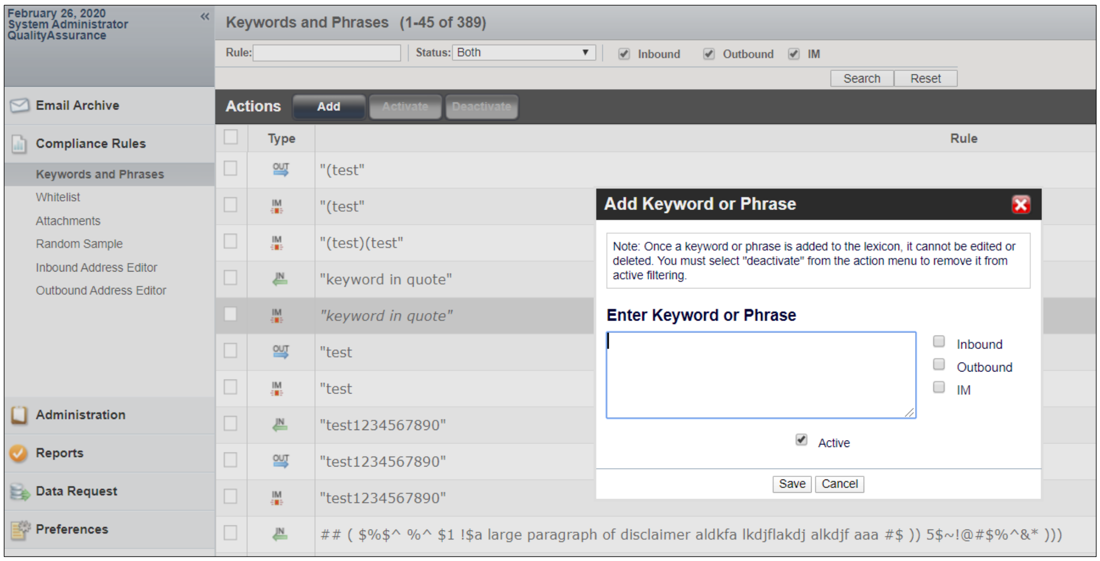
Creating sets of department-specific hotwords in Advanced Supervision is similar to creating keywords and phrases in AdvisorMail.

When you create hotwords and hotwords sets, you need to create a corresponding search that uses the hotwords and hotwords sets in a sample search. This is required for Advanced Supervision to consider the phrase for searching and sampling.

Advanced Supervision captures email violations in attachments through a guaranteed sample search. A guaranteed sample search adds randomly-sampled items by adding a lexicon and keywords to the review set to compensate for any shortfall that the deduplication process can cause. It runs at the selected sampling time, which is 1:00 A.M. by default.

To create keywords and phrases in AdvisorMail

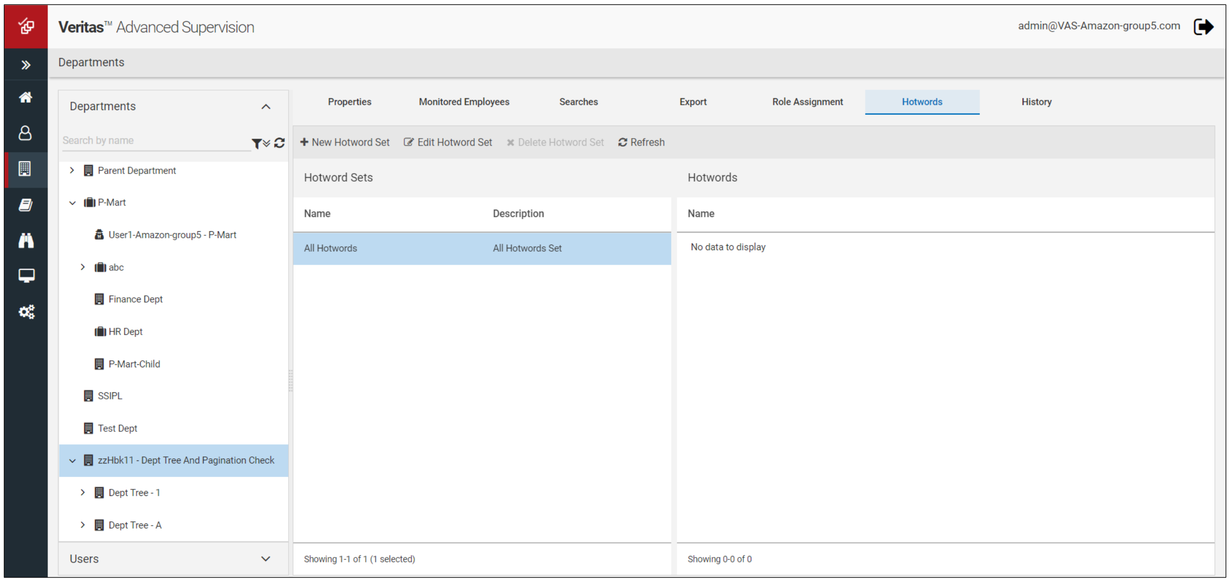
1. In the left navigation pane, click **Compliance Rules** > **Keywords and Phrases**.
2. Click **Add**.



3. Enter the keyword or phrase.
4. Select the **Active** check box to keep this keyword or a phrase active for the searches.
5. Click **Save**.

To create the department-specific hotwords set in Advanced Supervision

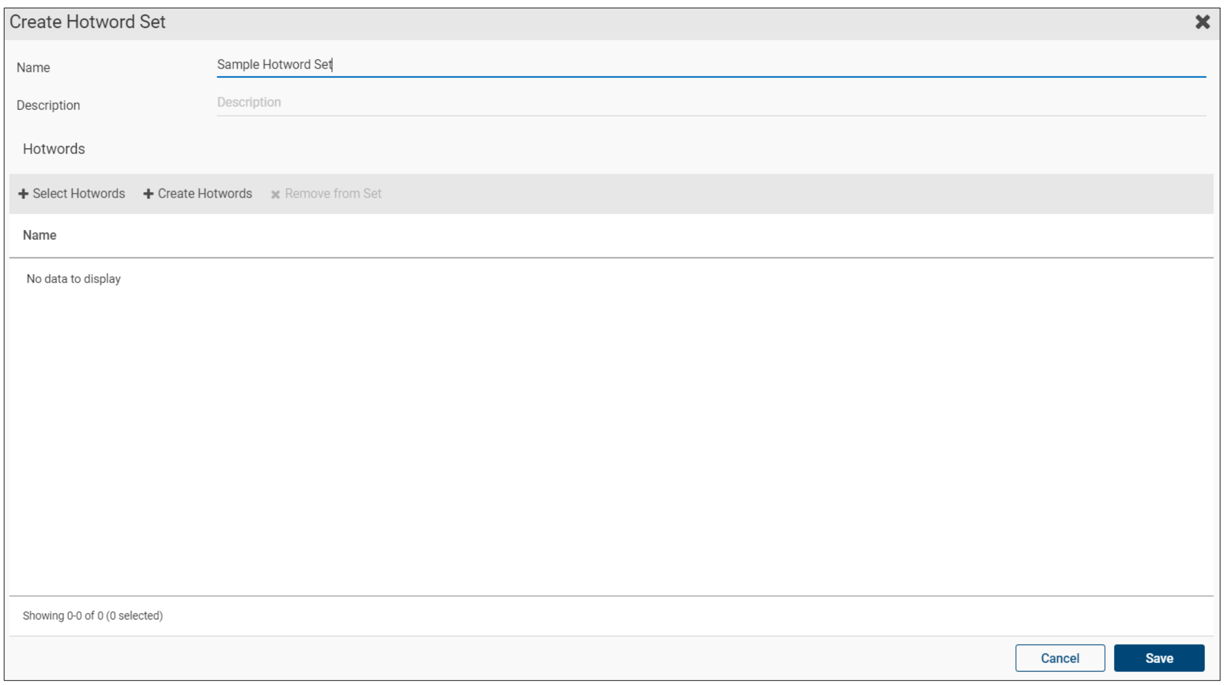
1. In the left navigation pane, click **Departments**.
2. Search for and select the department for which you want to add hotwords and hotwords sets.



3. In the **Hotwords** tab, click **New Hotwords Set**.

   The **Create Hotwords Set** dialog box appears.

4. In the **Name** and **Description** fields, type a unique name and an optional description for the hotwords set.



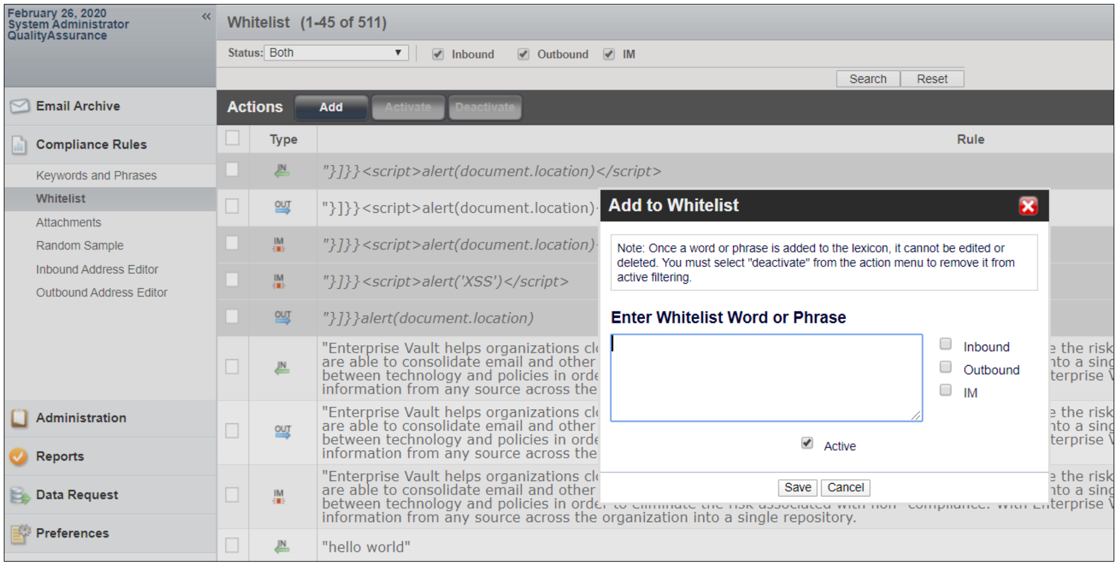
5. Under the **Hotwords** section, click **Select Hotwords** to search and choose hotwords from the available list.
6. To add multiple hotwords simultaneously, press enter after each word (to separate the words with a new-line character).
7. Click **OK** to add the words.
8. Click **Save**.

Creating whitelists

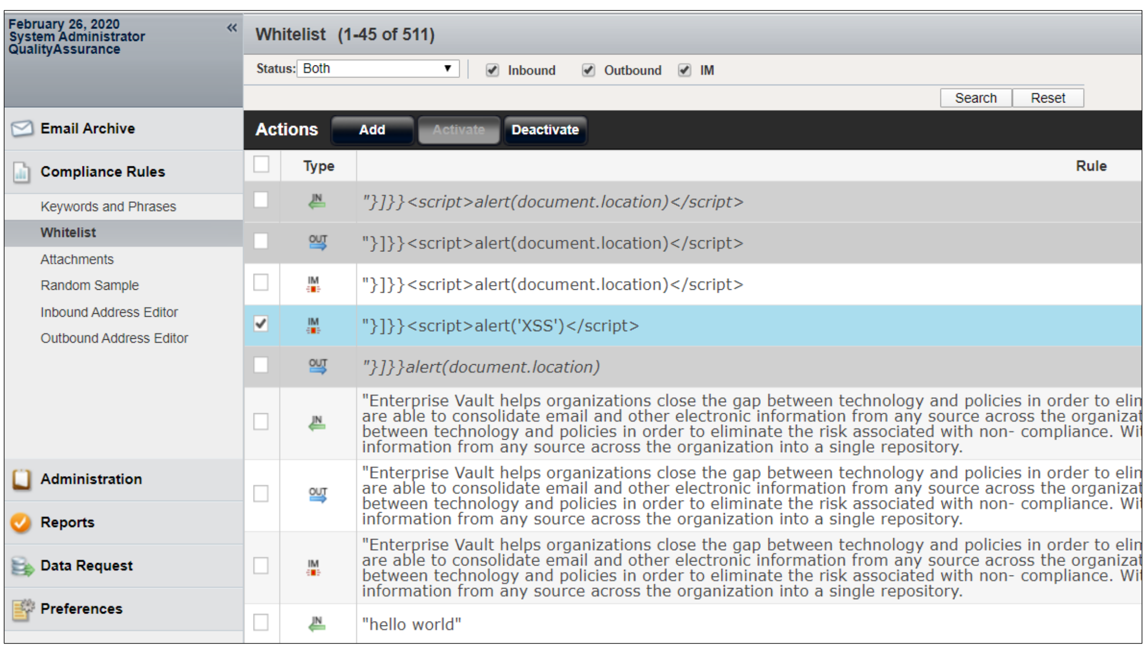
Creating department-specific whitelists in Advanced Supervision is similar to creating whitelist in AdvisorMail.

To create whitelist in AdvisorMail

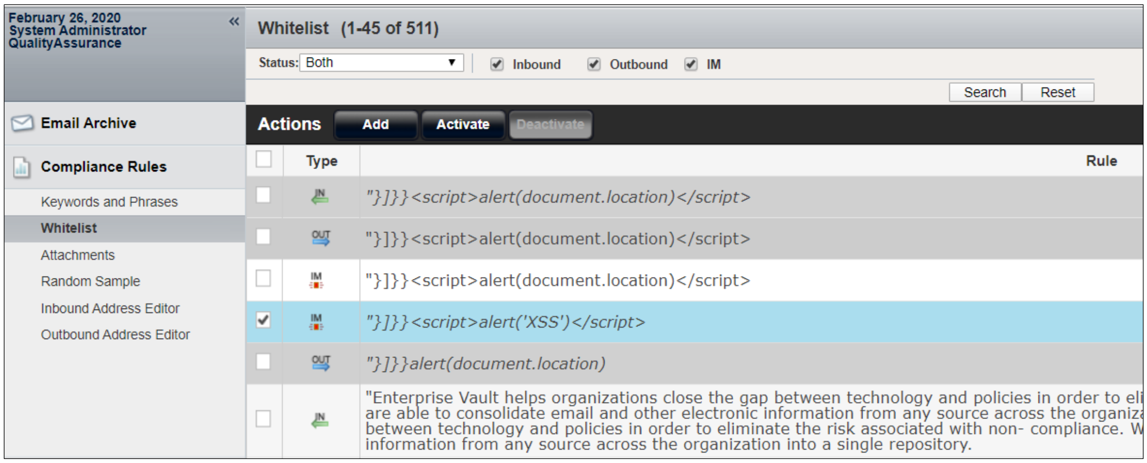
1. In the left navigation pane, click **Compliance Rules > Whitelist**.
2. Click **Add**.



3. Enter the whitelist word or phrase.
4. Select the **Active** check box to keep this whitelist word or a phrase active for searches.
5. Click **Save**.
6. To deactivate the activated whitelist, click **Deactivate** on the Actions bar.



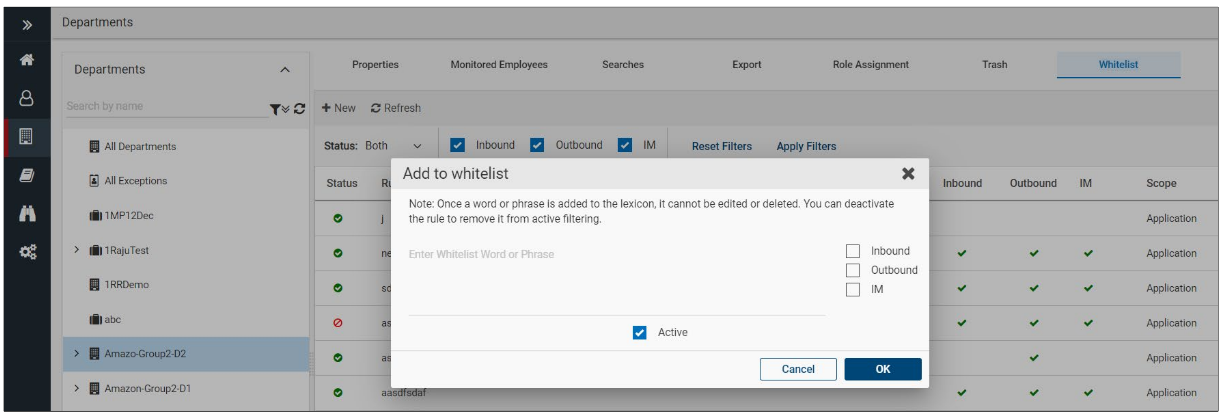
7. To activate a deactivated whitelist, click **Activate** on the Actions bar.



To create whitelist in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Search for and select the department for which you want to add a whitelist word or phrase.
3. In the **Whitelist** tab, click **New**.

   The Add to whitelist dialog box appears.



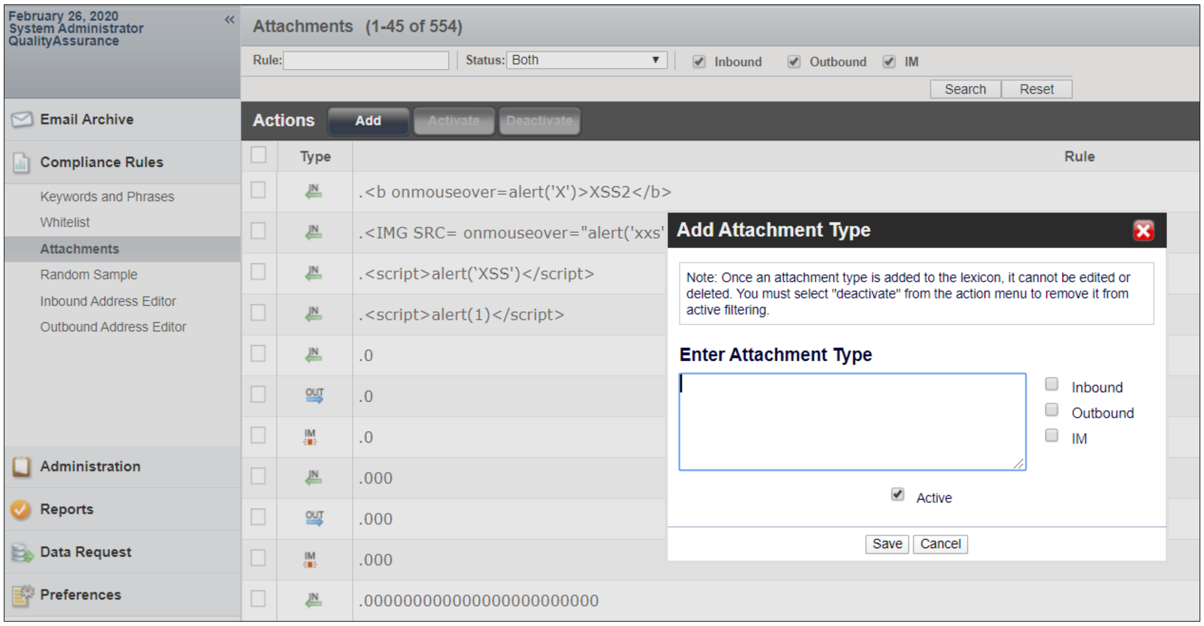
4. Type a whitelist word or phrase.
5. Click **OK**.

Creating attachment rules

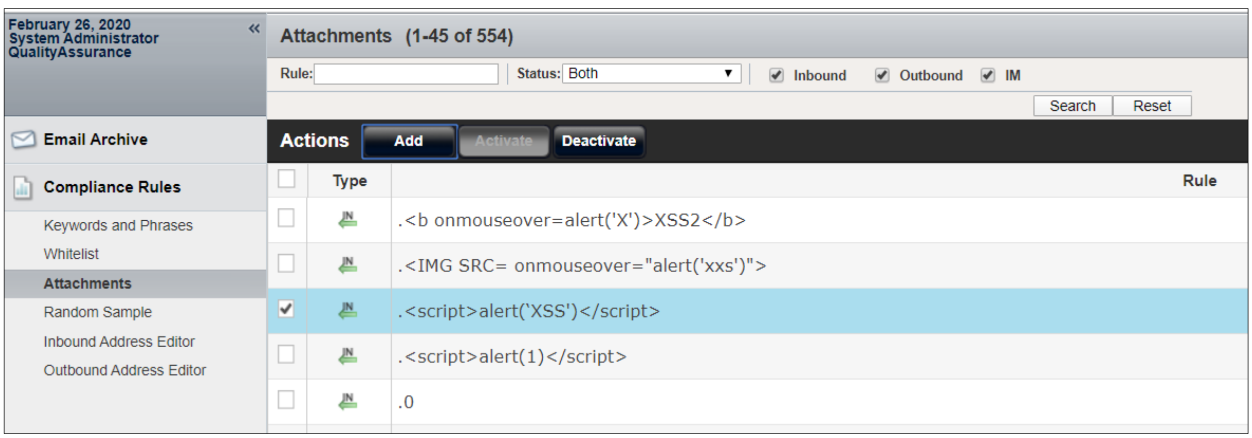
Configuring the attachments section while creating or editing Searches in Advanced Supervision is similar to configuring attachments rules in AdvisorMail.

To create attachment rules in AdvisorMail

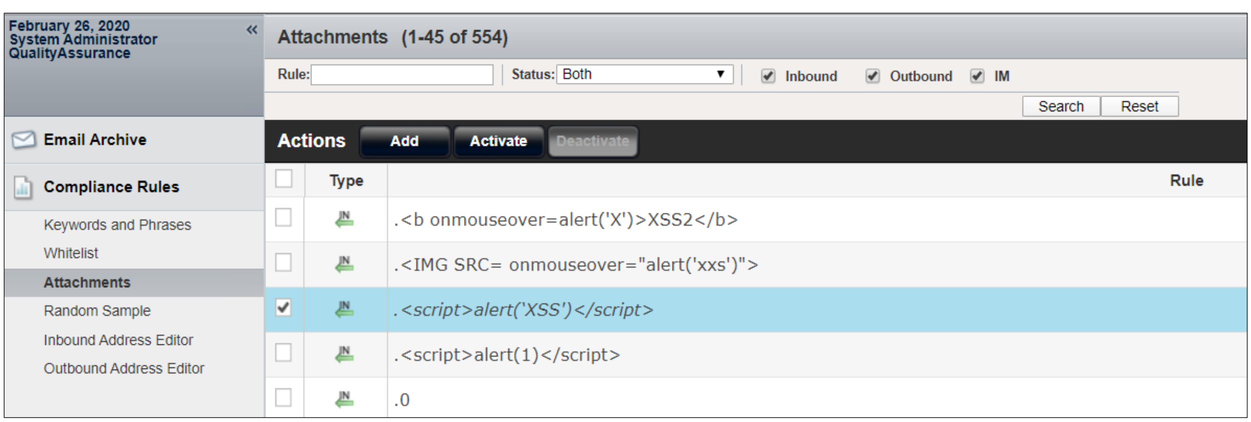
1. In the left navigation pane, click **Compliance Rules > Attachments**.
2. Click **Add**.



3. Enter the attachment type.
4. Select the **Inbound**, **Outbound**, and **IM** check boxes to display attachments.
5. Select the **Active** check box to keep this whitelist word or a phrase active for searches.
6. Click **Save**.
7. To deactivate the activated attachment type, click **Deactivate** on the Actions bar.



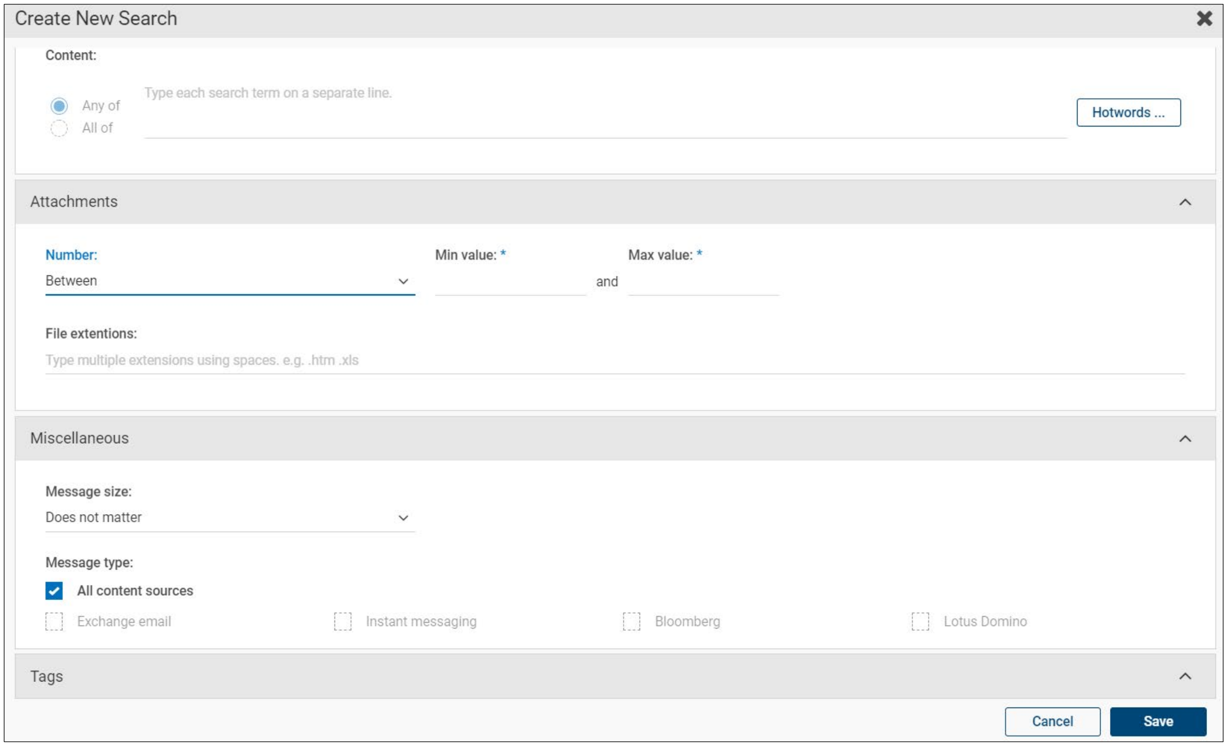
8. To activate a deactivated attachment type, click **Activate** on the Actions bar.



To configure attachment rules in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Search for and select the department for which you want to configure attachment rule.
3. In the **Searches** tab, click **New Search**.

   The Create New Search dialog box appears.



4. In the **Attachments** section, specify the relevant information in the respective fields. The options are as follows:

Number	Specify the required number of attachments. You can search for items with a specific number and specific type of attachments. The default **Does not matter** option allows zero or more attachments. All the other options require you to provide one or two values that specify the required number of attachments.
File Extensions	Specify the file extensions you want to review. Separate extensions with commas: `*.pdf, *.jpg`

5. Click **Save**.

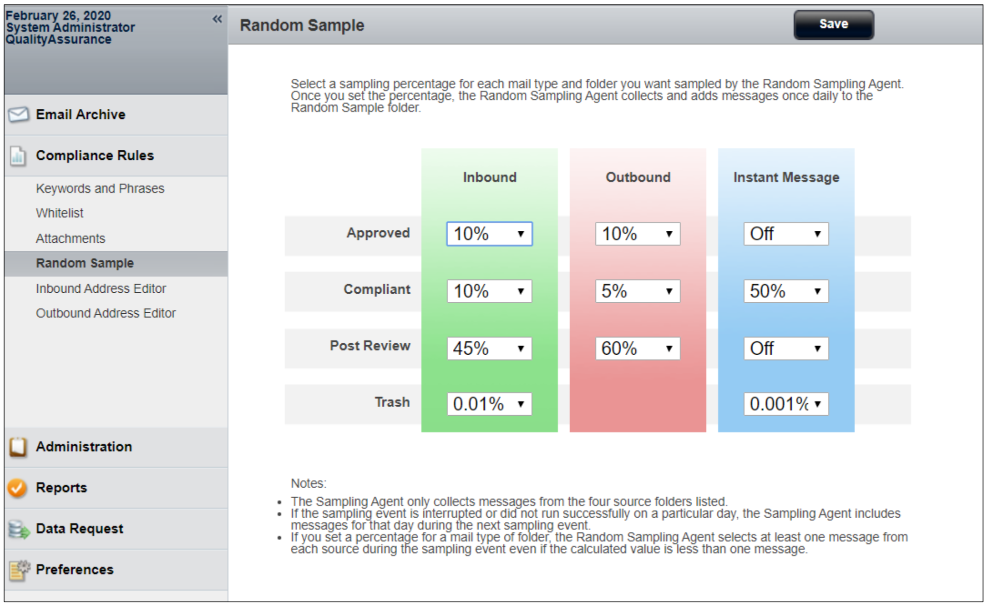
Configuring random sampling rules

In AdvisorMail, you can specify a sampling percentage for each email type and folder you want the Random Sampling Agent to sample. After you set the percentage, the Random Sampling Agent collects and adds messages one time each day to the Random Sample folder.

An advantage to Advanced Supervision is that it lets you configure monitoring policies at the department level and at the employee level.

To set the percentage for Random Sampling in AdvisorMail

1. In the left navigation pane, click **Compliance Rules** > **Random Sampling**.
2. Specify the details in the fields shown in the following image:



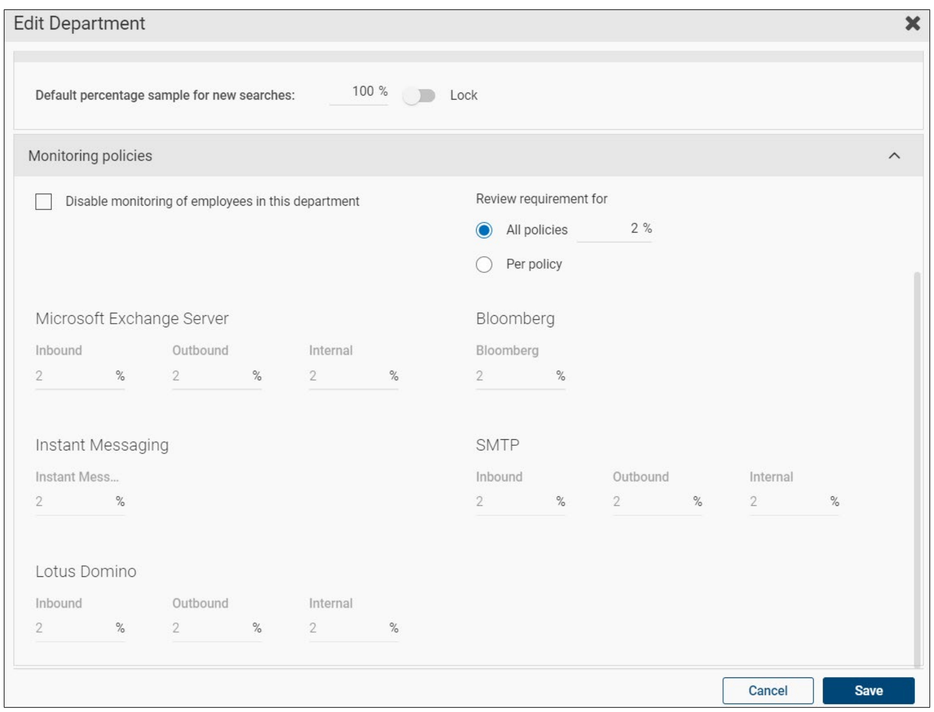
3. Click **Save**.

In Advanced Supervision, you can set the percentage while configuring a Monitoring Policy for a department.

To configure the monitoring policy of department in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Click New Department.

   Note: To change the monitoring policy of the existing department, click **Edit Department**.
3. Specify the details in the fields shown in the following image:



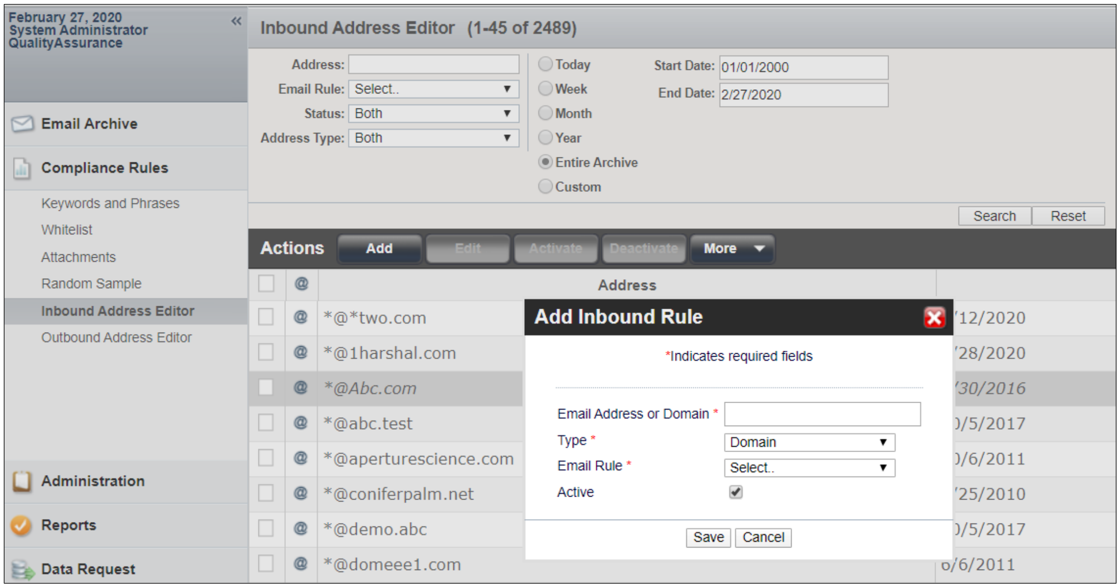
4. Click **Save**.

Creating and running inbound addresses

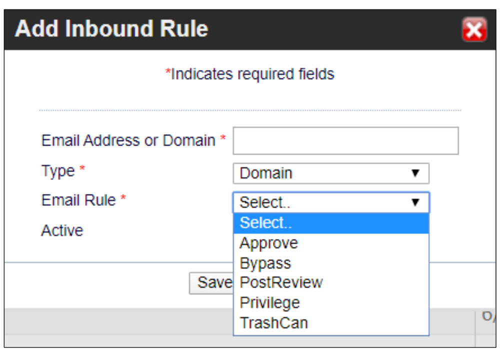
Creating and running inbound addresses option in AdvisorMail is similar to the creating and searches in Advanced Supervision. In AdvisorMail, based on the Inbound rule, review items are redirected to different folders.

To create and run an inbound rule in Advanced Supervision

1. In the left navigation pane, select **Compliance Rules** > **Inbound Address Editor**.
2. To create a new rule, click **Add**.



3. Specify the address text, domain text, and type.
4. Select an email rule that specifies where to route your items.



5. To keep the rule active, select the **Active** check box.

   To deactivate, clear the **Active** check box.

6. Click **Save**.

In Advanced Supervision, users can create searches instead of setting inbound rules. Unlike AdvisorMail, there is no message routing to specific folders.

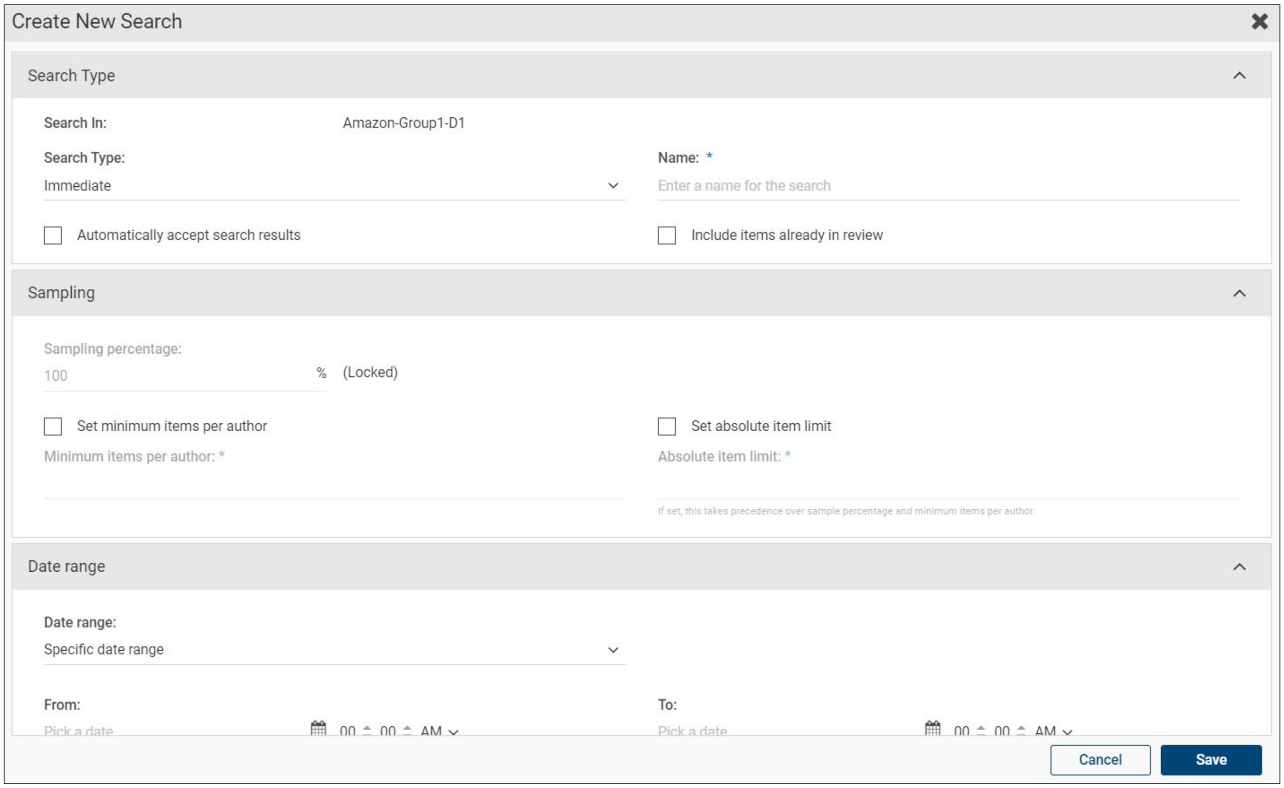
To create and run search criteria in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Search for and select the department for which you want to create and run a search.

   Note: Advanced Supervision lists all departments. You can use the filtering options to manage the search. Options include filtering by department name, by exception employees, and by reviewers associated with the department.

3. In the **Searches** tab, click **New Search**.

The New Search dialog box appears.



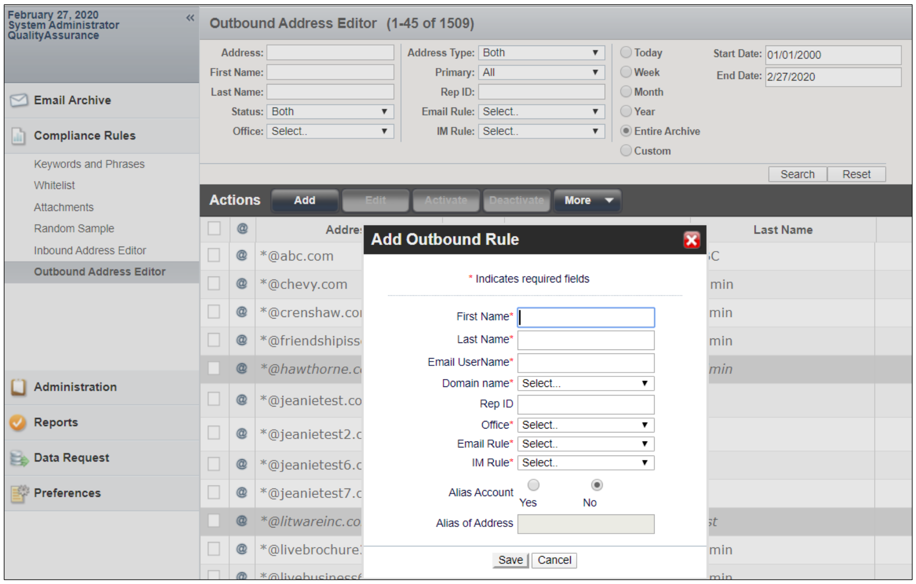
4. Specify the search type, sampling percentage, date range, message direction between sender and recipient, hotwords to be searches for violation, attachment types, messages types, and tags.
5. Click **Save**. For more informaiton, see Creating Searches in the Advanced Supervision help .

Creating and running outbound addresses

Creating and running outbound address rules in AdvisorMail is similar to monitoring employees in Advanced Supervision. In AdvisorMail, based on the outbound rule, review items are redirected to various folders.

To create and run outbound rule in AdvisorMail

1. In the left navigation pane, select **Compliance Rules** > **Outbound Address Editor**.
2. To create a new rule, click **Add**.

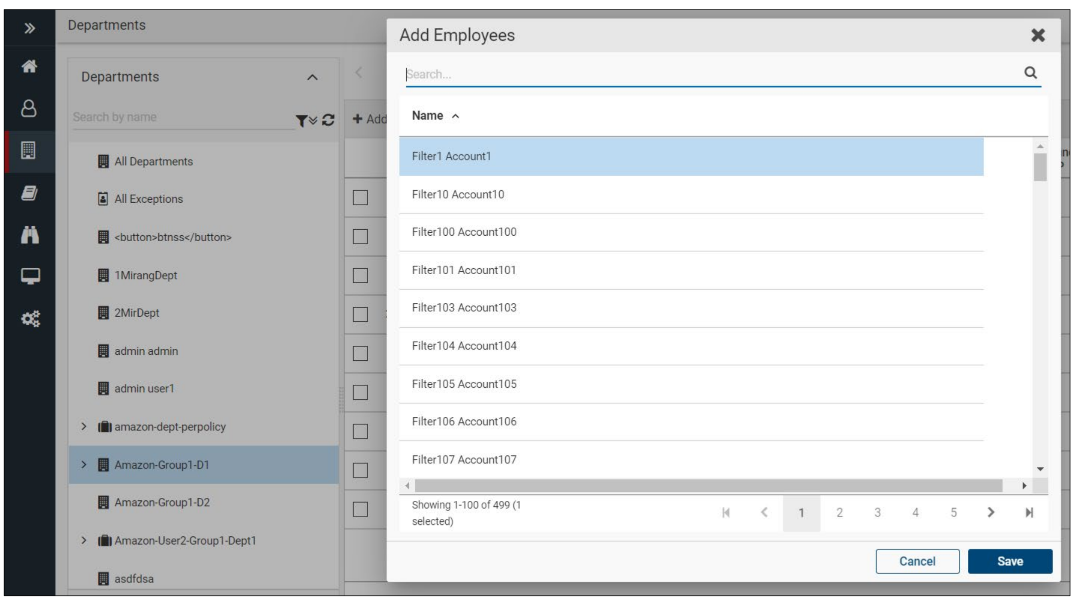


3. Specify the required information.
4. Select an email rule to set the folder to which you want to route items.
5. To keep the rule active, select the **Active** check box.
6. Click **Save**.

In Advanced Supervision, users can add monitoring employees instead of setting outbound rules. Unlike AdvisorMail, there is no message routing to specific folders. Messages are routed to the specified departments.

To add monitoring employees in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Search for and select the department to which you want to add monitoring employees.
3. In the Monitoring Employees tab, click **Add Employee**.



4. Select one or more employees.
5. Click **Save**. For more information, see Creating Departments in the Advanced Supervision help .

Managing administration

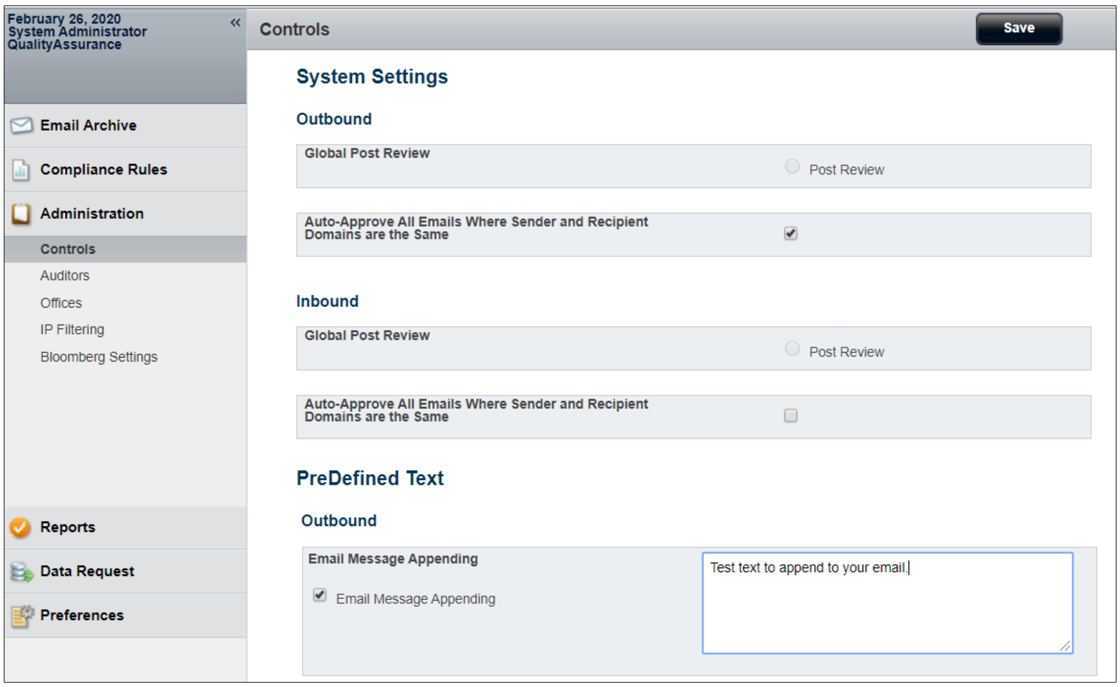
Controlling system settings

An AdvisorMail administrator can select the **Auto-Approve All Emails Where Sender and Recipient Domains are the Same** to automatically approve all inter-domain (usually inter-company) emails. This setting applies only if the domain of the sender matches the domain of every recipient.

This functionality reduces an auditor's workload by preventing non-compliant emails between company members from appearing for review.

To set auto approval in AdvisorMail

1. In the left navigation pane, click **Administration** > **Controls**.
2. Under the Outbound and the Inbound sections, select the **Auto-Approve All Emails Where Sender and Recipient Domains are the Same** check box.



3. Click **Save**.

Advanced Supervision also has this functionality. This rule is applied automatically and is implemented while creating searches.

Controlling predefined text

AdvisorMail administrators can create the predefined text for rejection emails and notification emails. The available options are:

Rejected Email: Manual

Rejected Email: Hold Time Expiration

Rejected Email: Address Compliance Rule Triggered

Trapped Email Notification

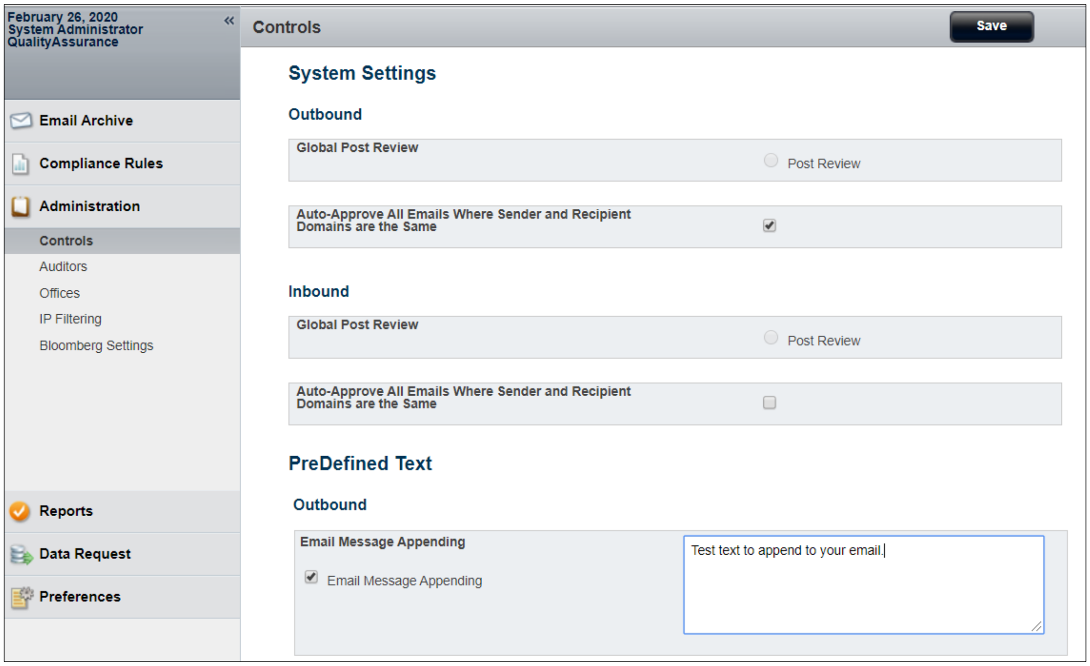
Trapped Email Approved Notification

Message Appending

The **Email Message Appending** field is only available if AdvisorMail is configured for **Pre-Review** capabilities. You can customize your text message in this field, and it is appended to your replies.

To draft predefined text in AdvisorMail

1. In the left navigation pane, click **Administration** > **Controls**.
2. Under the **Predefined text** section, provide the text you want to append to emails.



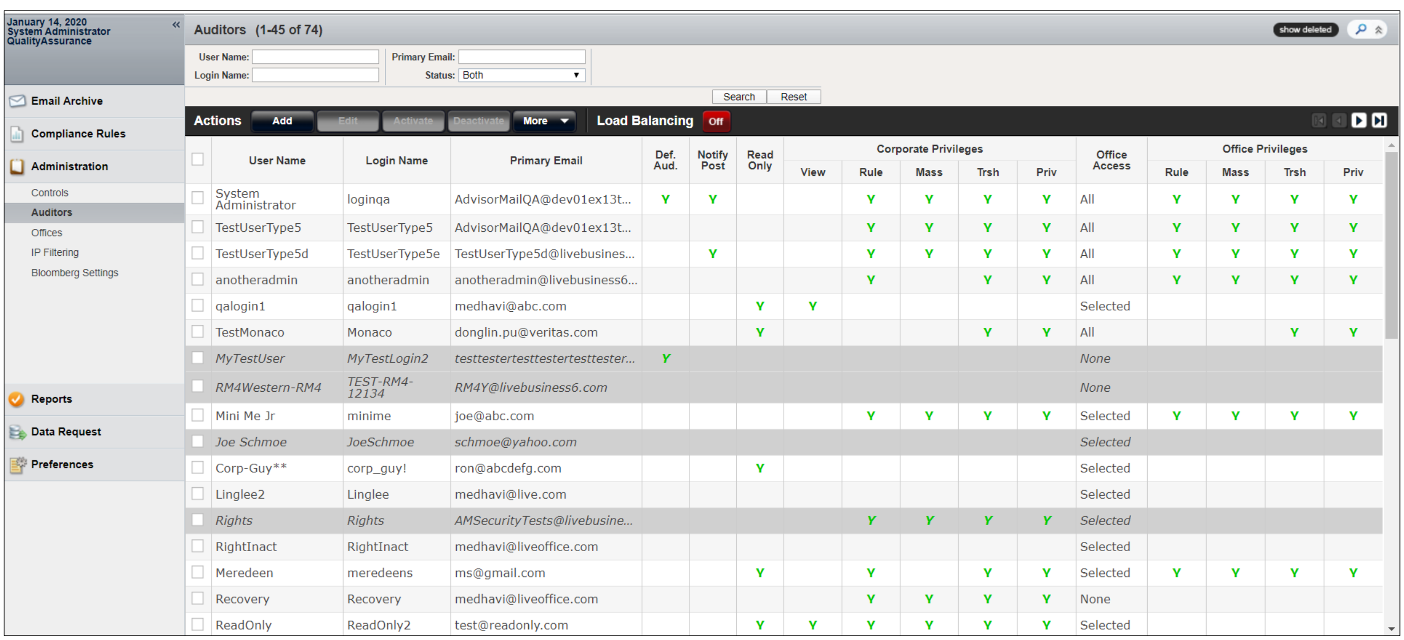
3. Click **Save**.

Advanced Supervision currently does not have this functionality.

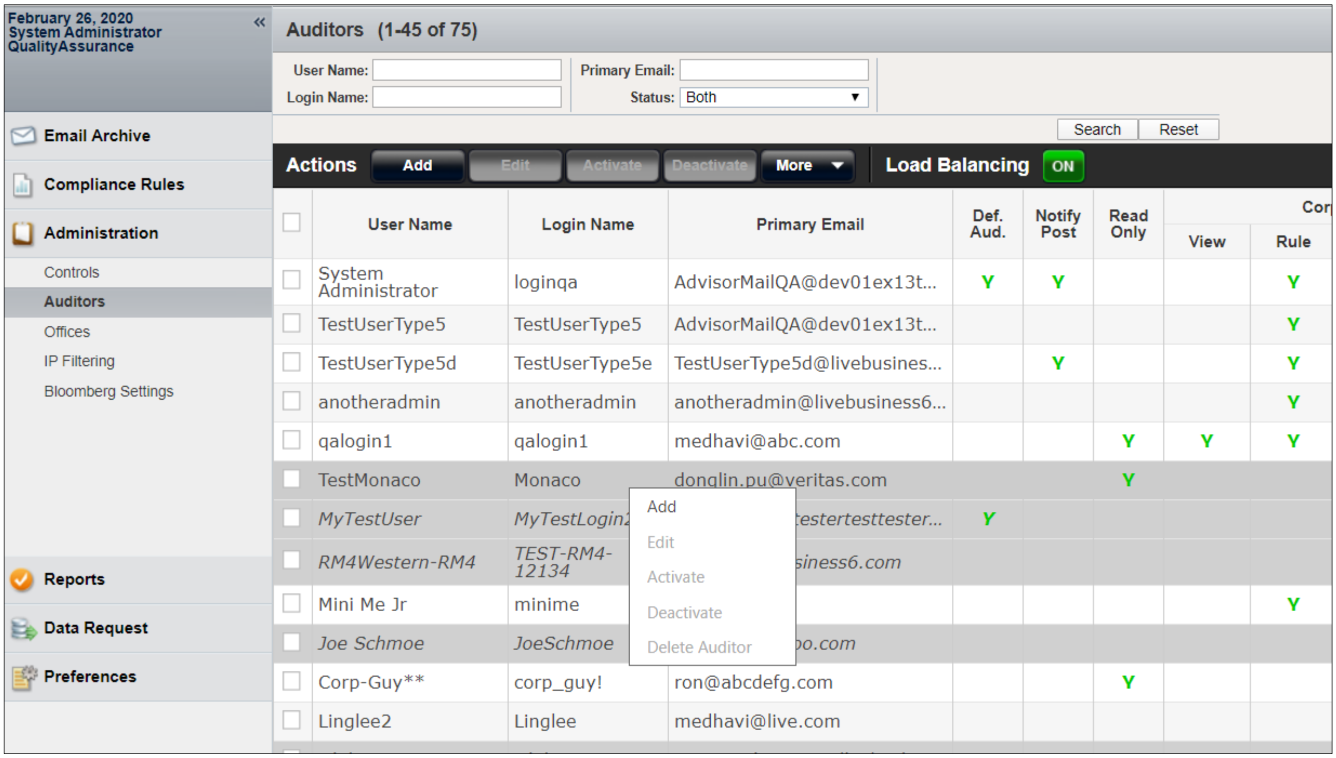
Managing auditors

AdvisorMail Auditors perform the same function as Reviewers in Advanced Supervision.

In AdvisorMail, managing users includes activities like searching for, adding, editing, removing, activating and deactivating auditors, and assigning permissions to auditors. The options are available on the **Actions** bar. While adding or editing auditor profiles, administrators can provide corporate and office privileges to auditors. Refer to the following images.



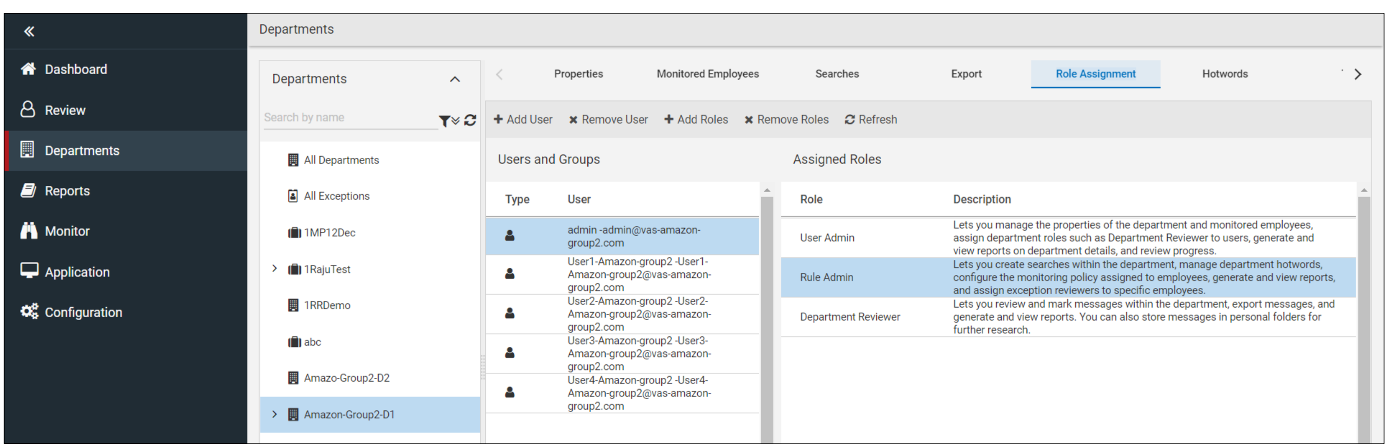
AdvisorMail has a right-click menu for adding, editing, activating, deactivating, and deleting the auditors.



In Advanced Supervision, there is a hierarchy of reviewers. Therefore, a department reviewer can set the exception reviewers and escalation reviewers.

Escalation reviewers	Can receive the items that other reviewers in the department have escalated for further review. Departments lower in the hierarchy inherit this role, so an exception reviewer automatically has access to nested departments. (In AdvisorMail, this is referred as propagation.) Exception reviewers can export the review items from Advanced Supervision to review items offline or present them as evidence to an approved third party. By default, all the reviewers in the department have the Export Messages permission.
Exception reviewers	Can search the items of exception employees to whom they are assigned. They can also review and export these items and generate reports

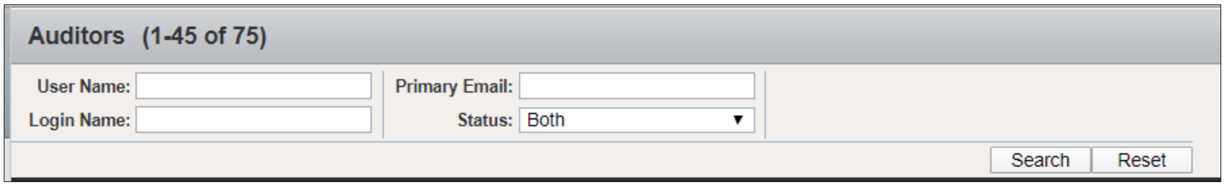
Department-specific reviewers



Searching auditors

To search auditors in AdvisorMail

1. In the left navigation pane, click **Administration** > **Auditors**.
2. Specify the details in the fields shown in the following image:

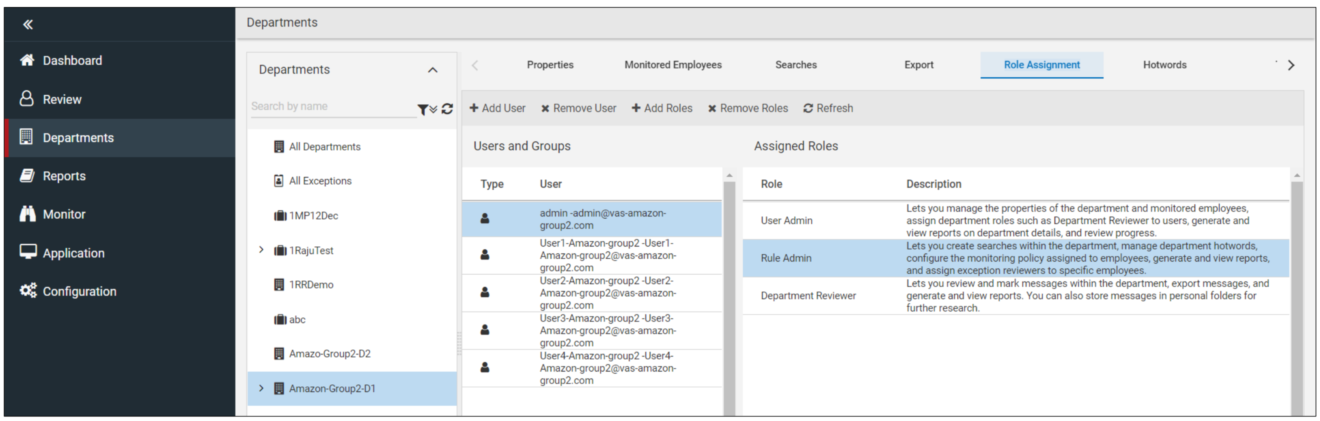


3. Click **Search**.

To search for department-specific reviewers in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Select the department in which you want to search for a reviewer.
3. Navigate to the **Roles assignment** page.

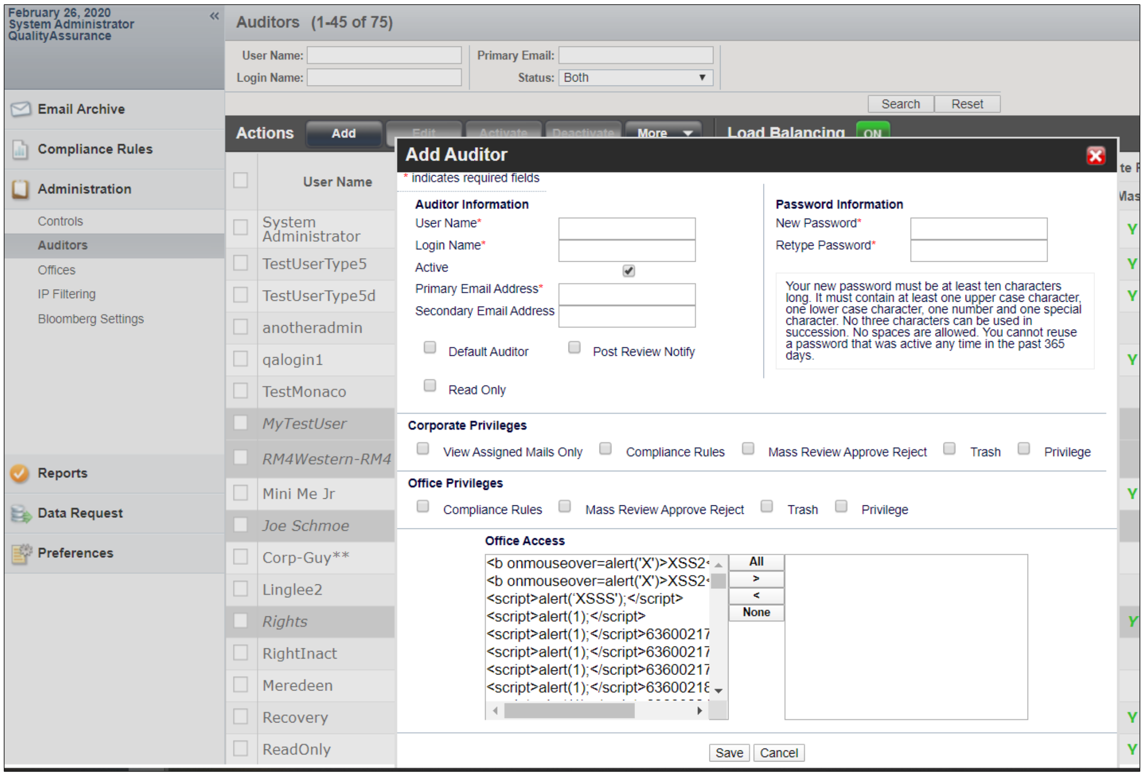
   A list of reviewers and their roles and permissions appears.



Adding auditors

To add auditors in AdvisorMail

1. In the left navigation pane, click **Administration** > **Auditors**.
2. Click **Add**.
3. Specify the details in the fields shown in the following image:



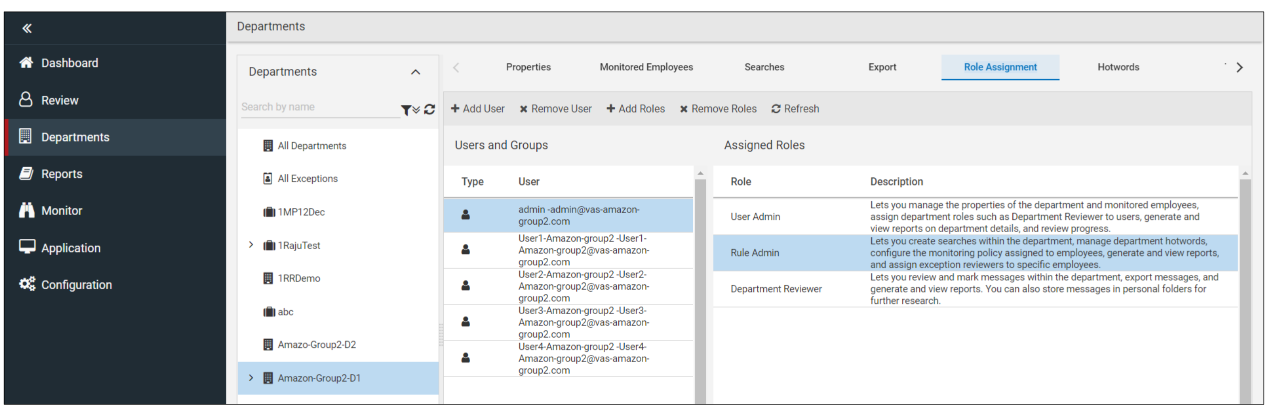
4. Click **Save**.

To add department-specific reviewers in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Select the department in which you want to add a reviewer.
3. Navigate to the **Roles assignment** page.

   A list of reviewers and their roles and permissions appears.

4. Click **Add User** to associate a user to a department.
5. Click **Add Roles** to assign roles to it.
6. Click **Save**.

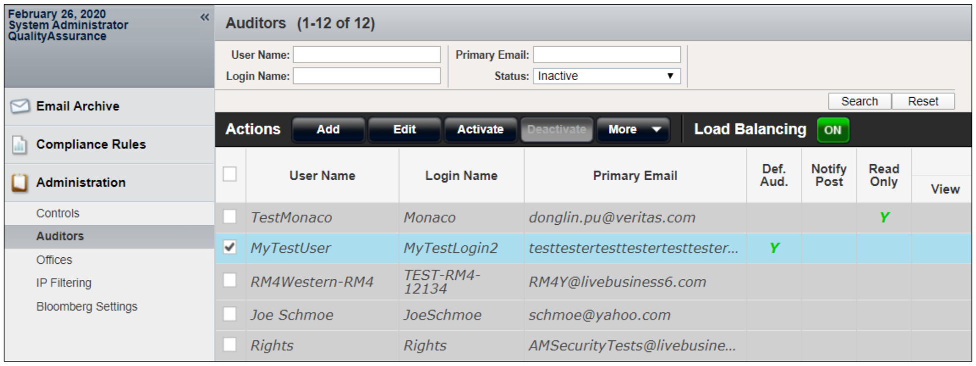


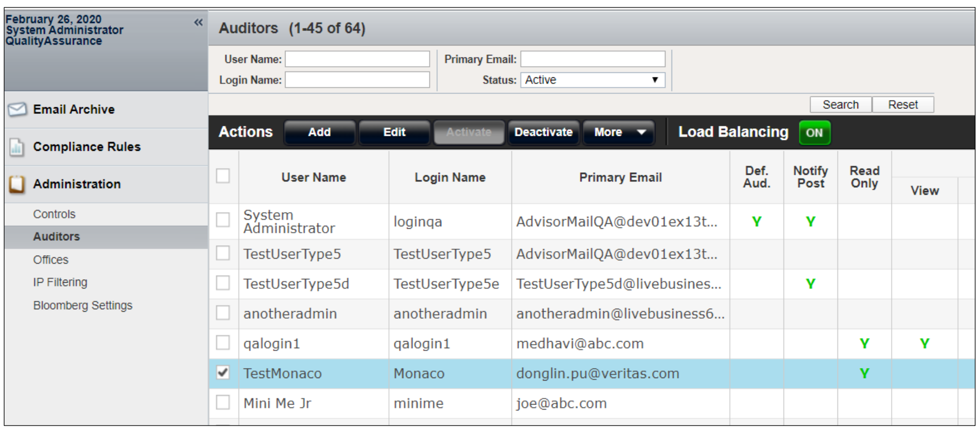
Activating and deactivating auditors

In AdvisorMail, if an auditor is no longer required, you can deactivate the auditor. In Advanced Supervision, if the reviewer is no longer required, you remove the reviewer from the department and application.

To activate or deactivate auditors in AdvisorMail

1. In the left navigation pane, click **Administration** > **Auditors**.
2. Search for and select the auditor that you want to activate or deactivate.
   - Click **Activate** to activate the deactivated auditor.
   - Click **Deactivate** to deactivate the activated auditor.

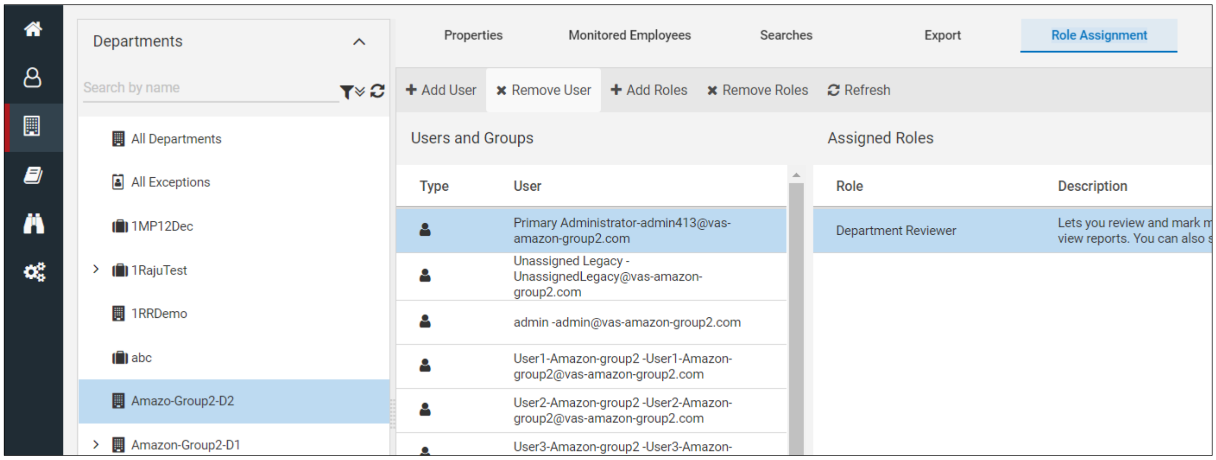




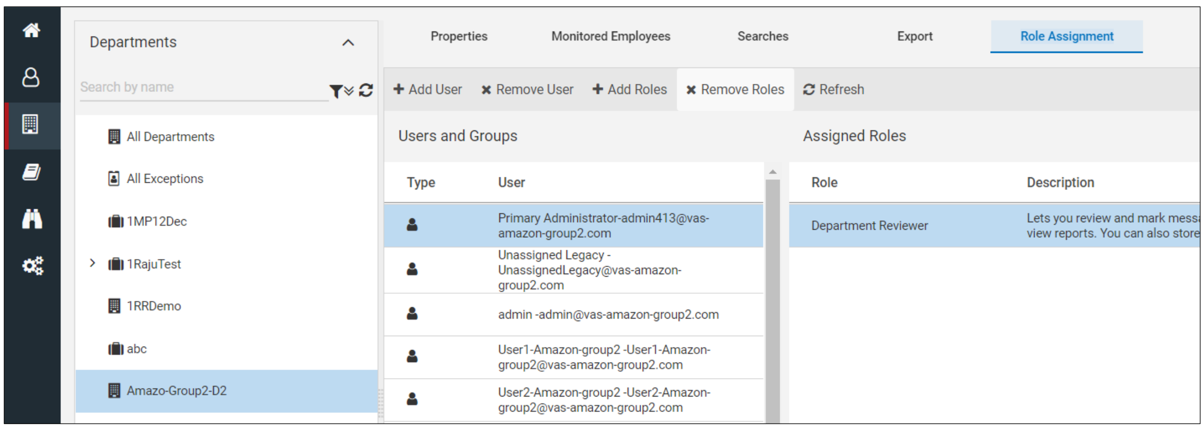
To remove department-specific reviewers in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Navigate to the **Roles Assignment** tab.
3. Select a reviewer and remove the user or remove roles from the user:

- Click **Remove User** to remove a reviewer and all associated roles.



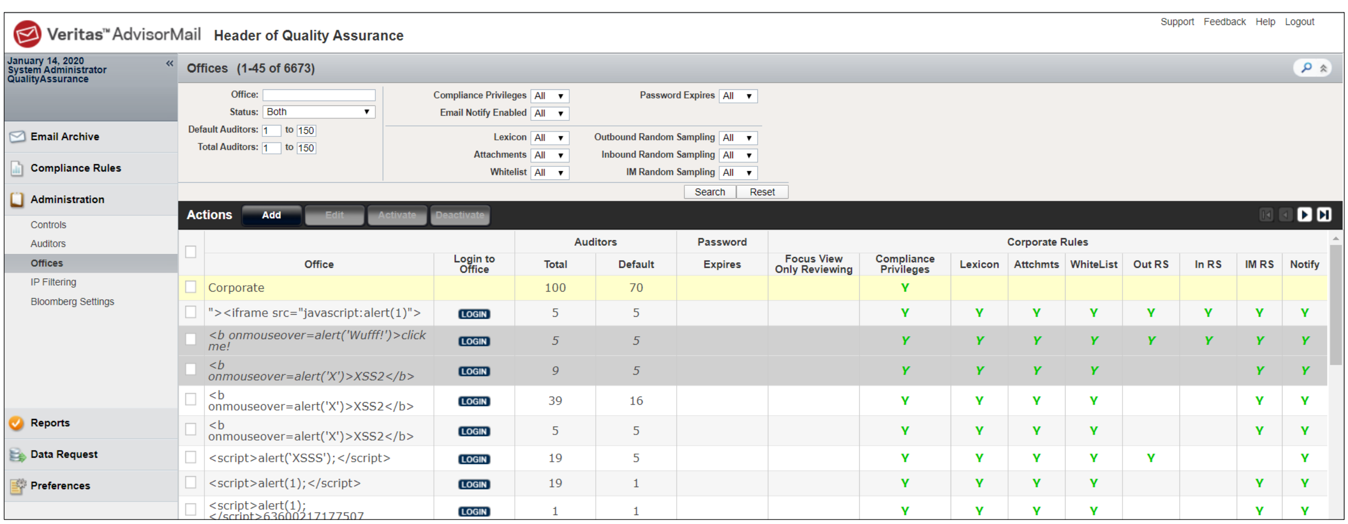
- Click **Remove Roles** to remove a specific role assigned to this reviewer.



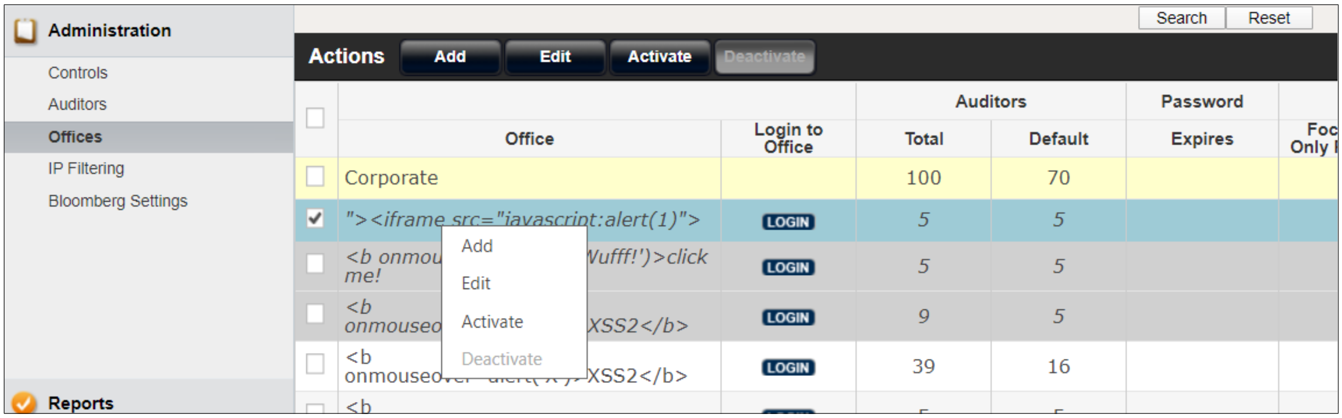
Managing offices

Offices in AdvisorMail perform the same functions as Departments in Advanced Supervision.

In AdvisorMail, users can create offices, but cannot create a hierarchy of offices. Managing offices include activities such as searching in, editing, removing, activating, and deactivating offices. The options are available on the **Actions** bar. While adding or editing offices, administrators can determine the outbound and inbound controls parameters for the office, set compliance rules, and determine the number of auditors allowed for the office. Refer to the following images.

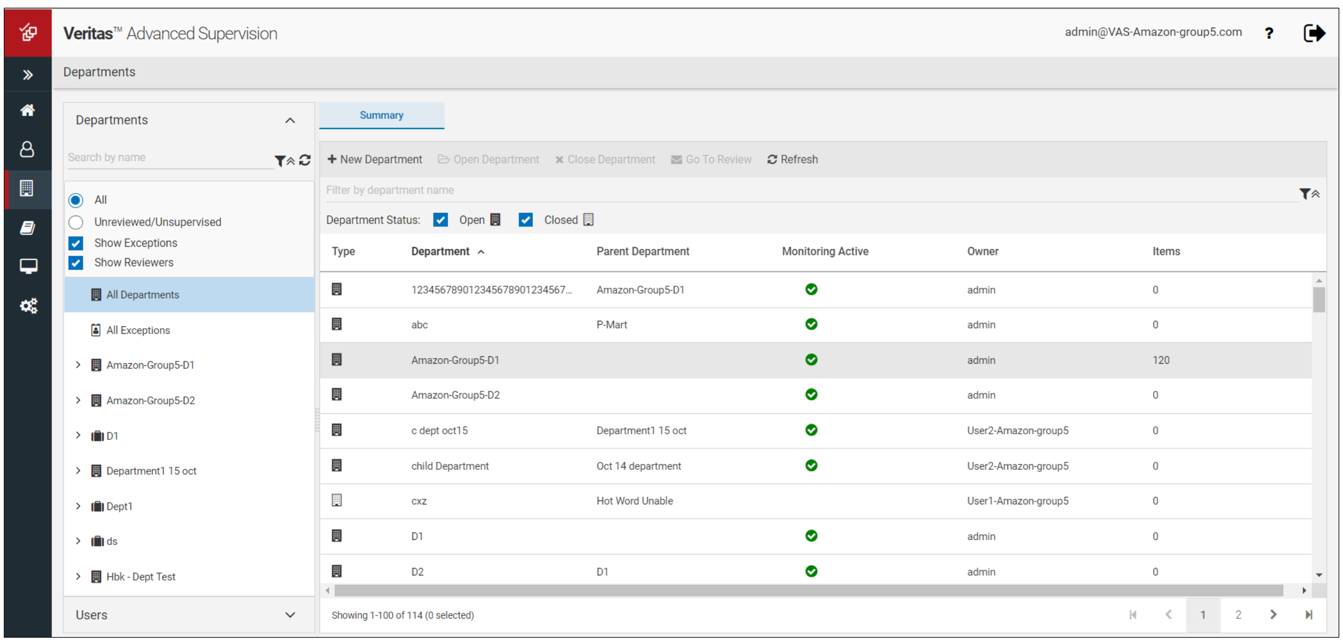


AdvisorMail has a right-click menu for adding, editing, activating, and deactivating offices.



In Advanced Supervision, users can create a hierarchy of departments, which also provides inheritance of organization structure. This hierarchy allows a user who has a specific role in the parent department to inherit the permissions for the nested departments. This feature is only available in Advanced Supervision.

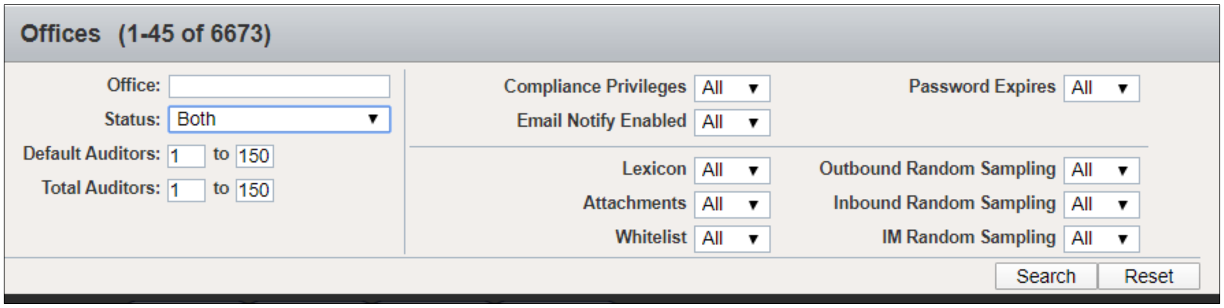
Managing departments includes activities like searching, creating, and moving departments. Administrators of a department can assign users, remove users, and set the monitoring policies for the department. While adding users to departments, administrators can assign multiple roles to the reviewers and set multiple permissions to all the customized roles. Advanced Supervision does not have the right-click menu for adding, editing, activating, and deactivating the offices. Refer to the following images.



Searching offices

To search offices in AdvisorMail

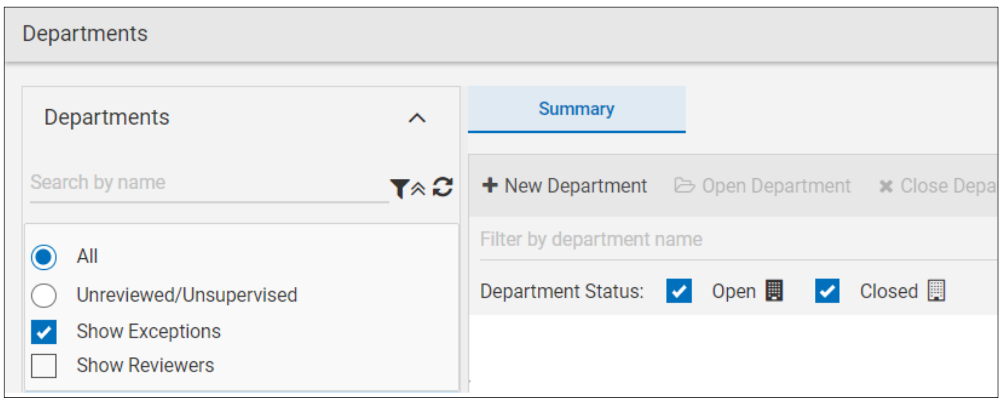
1. In the left navigation pane, click **Administration** > **Offices**.
2. Specify the details in the fields shown in the following image:



3. Click **Search**.

To search departments in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Specify the details in the fields shown in the following image:

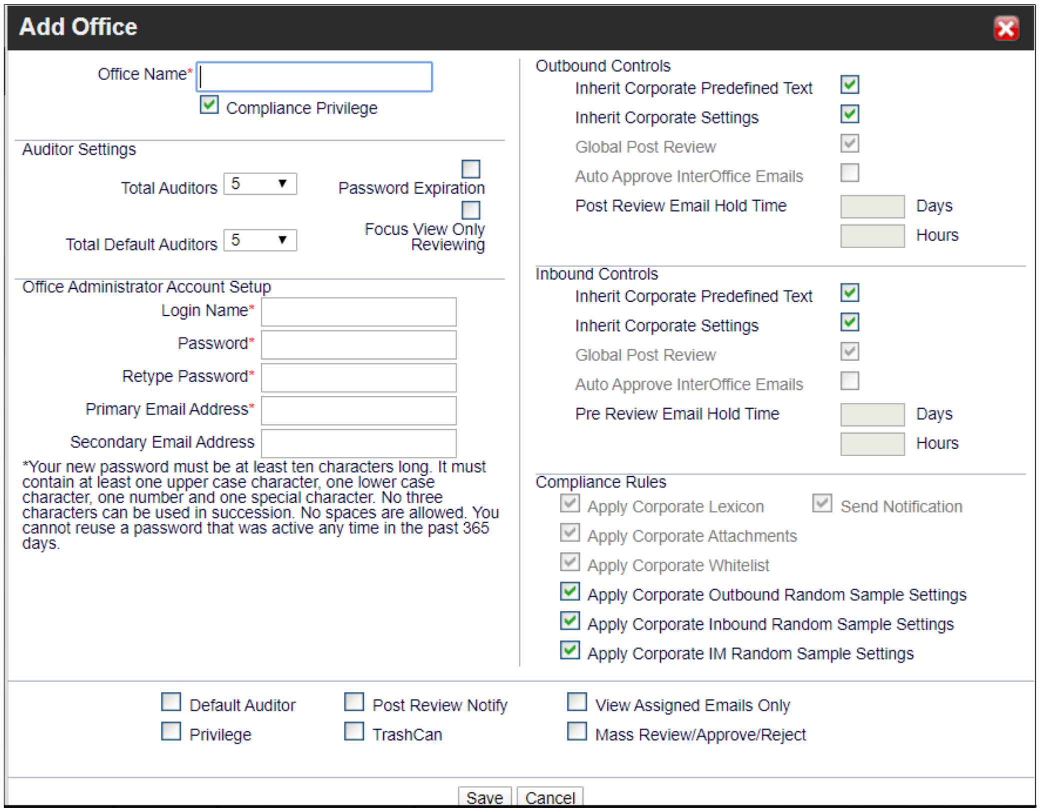


3. Click the **Filter** icon.

Adding offices

To add offices in AdvisorMail

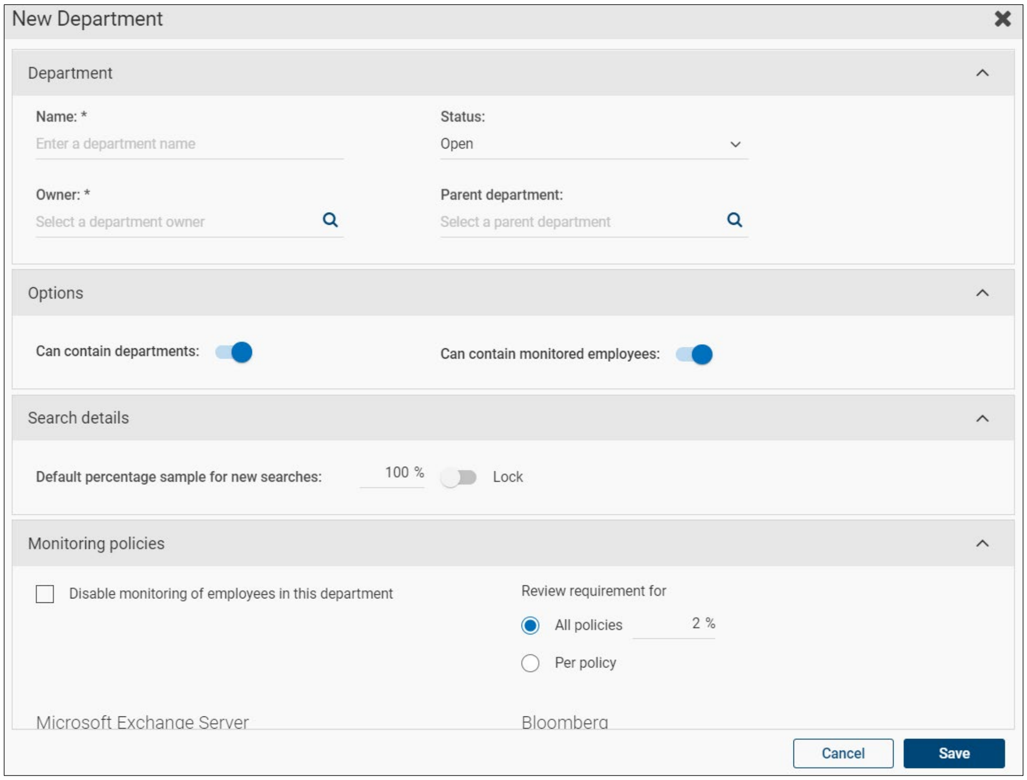
1. In the left navigation pane, click **Administration** > **Offices**.
2. Click **Add**.
3. Specify the details in the fields shown in the following image:



4. Click **Save**.

To add departments in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Click New Department.
3. Specify the details in the fields shown in the following image:

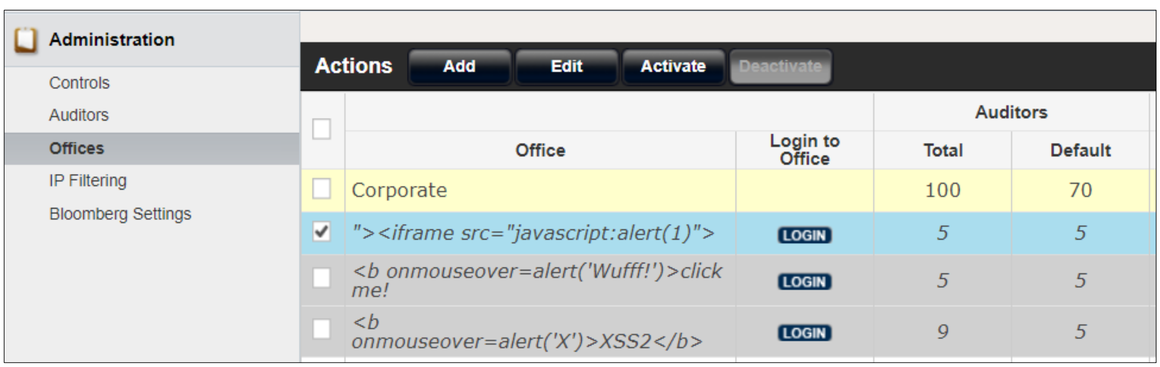


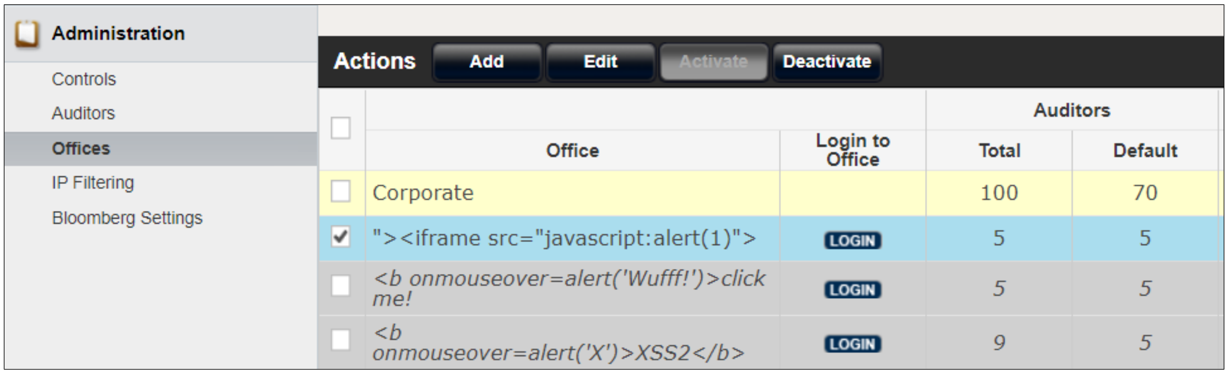
4. Click **Save**.

Activating and deactivating offices

To activate or deactivate offices in AdvisorMail

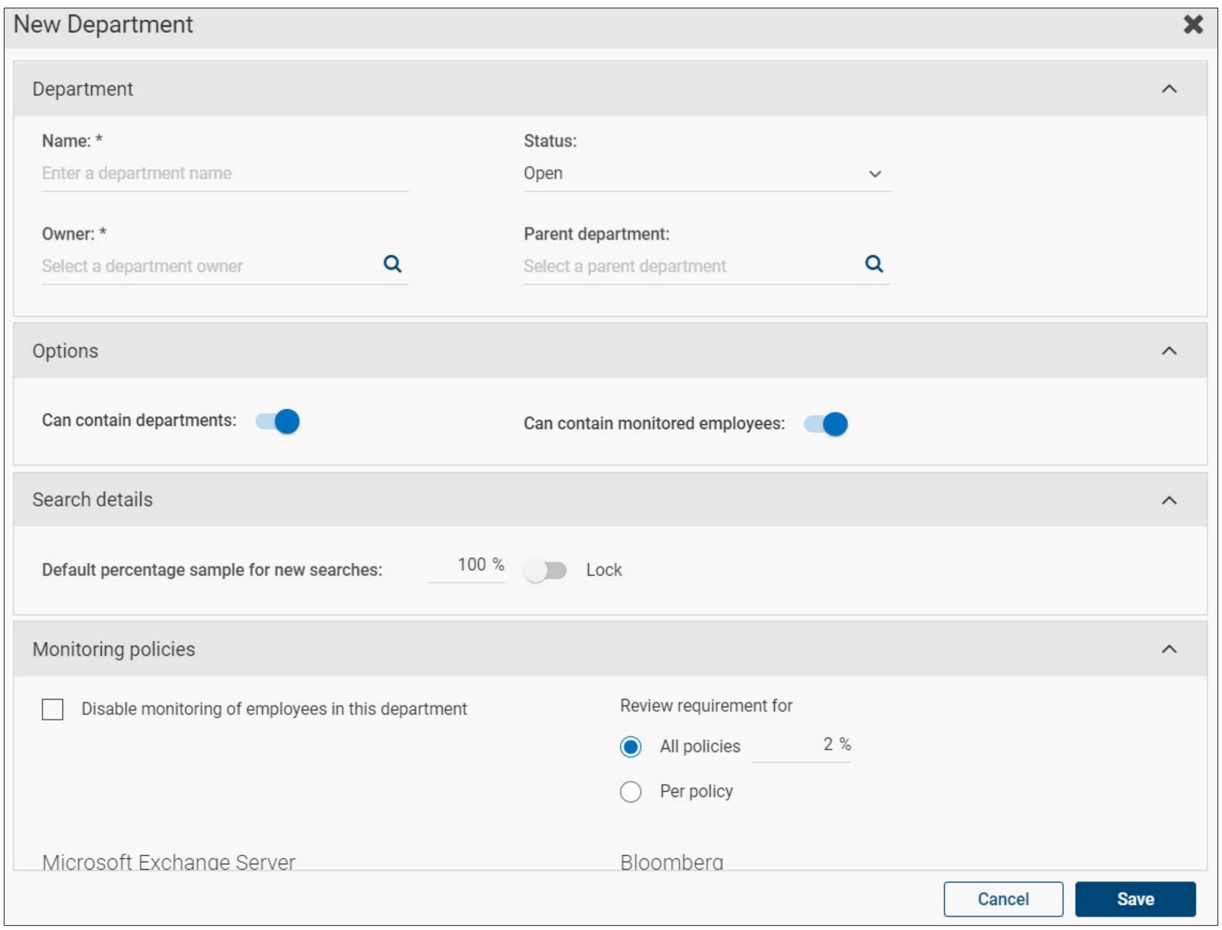
1. In the left navigation pane, click **Administration** > **Offices**.
2. Select the department you want to activate or deactivate.
3. Click **Activate** to activate the department or click **Deactivate** to deactivate the active department.





To enable or disable new departments for monitoring in Advanced Supervision

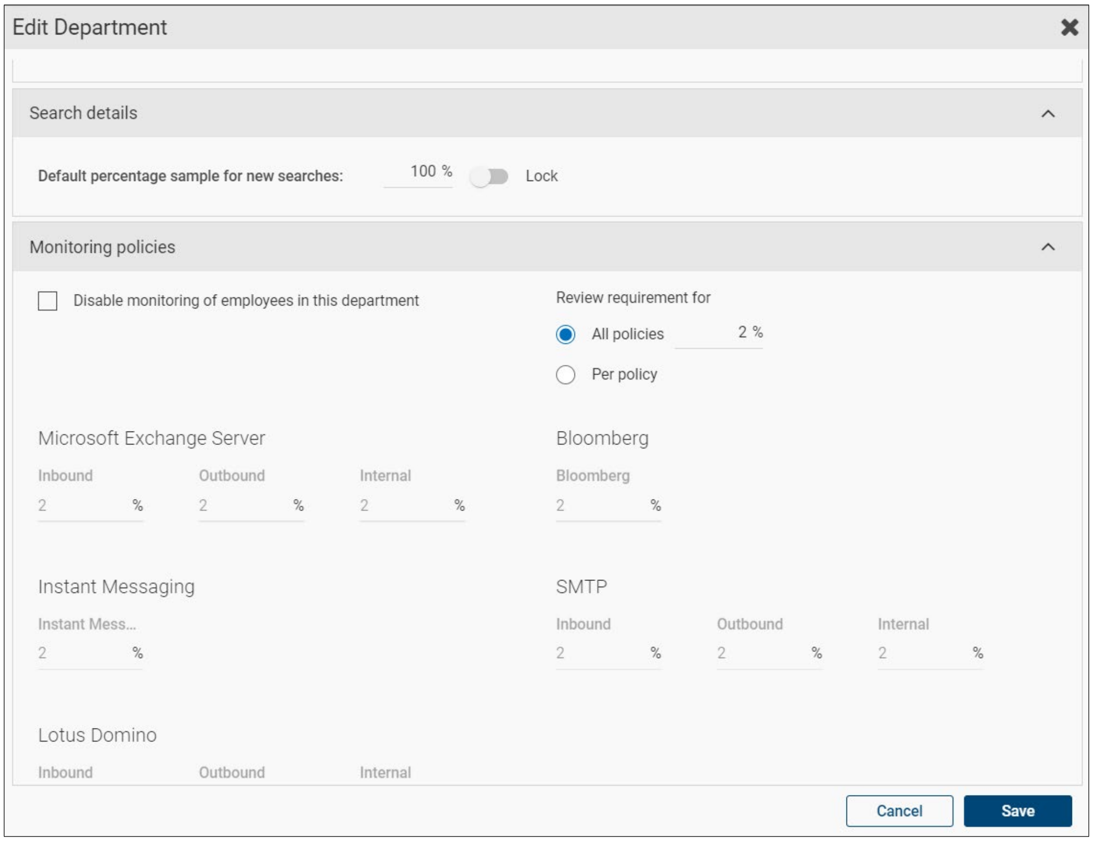
1. In the left navigation pane, click **Departments**.
2. Under the **Monitoring policies** section:
   - To enable (activate) the department for monitoring, ensure that the **Disable monitoring of employees in the department** check box is not selected. If it is selected, clear this check box to activate this department.
   - To disable (deactivate) the department for monitoring, select the **Disable monitoring of employees in the department** check box.



3. Click **Save**.

To enable or disable existing departments for monitoring in Advanced Supervision

1. In the left navigation pane, click **Departments**.
2. Select the department you want to enable or disable for monitoring.
3. Under the **Monitoring policies** section:
   - To enable (activate) the department for monitoring, ensure that the **Disable monitoring of employees in the department** check box is not selected. If it is selected, clear this check box to activate this department.
   - To disable (deactivate) the department for monitoring, select the **Disable monitoring of employees in the department** check box.



4. Click **Save**.

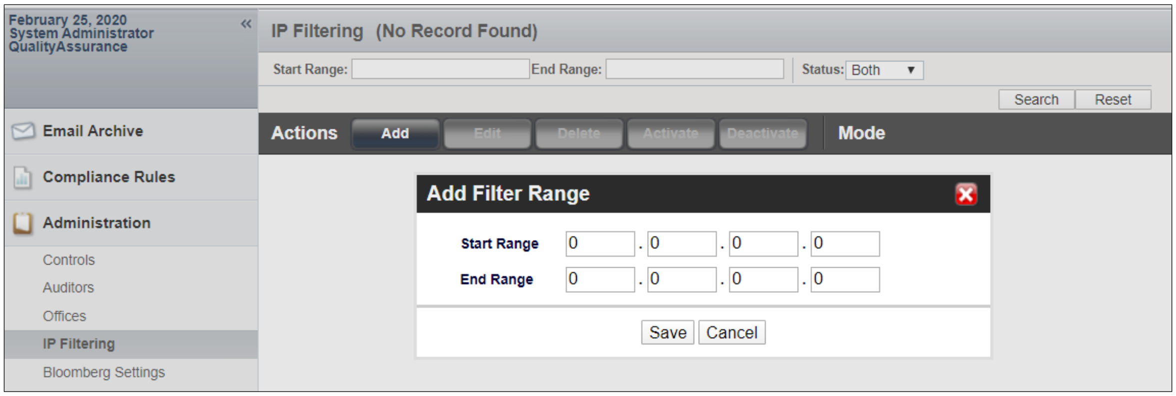
IP Filtering

In AdvisorMail, you can define specific IP ranges to control access to the application. The IP Filtering page adds another layer of security to AdvisorMail. System administrators define specific IP ranges to control the location from which the application can be accessed. If the company does not approve an IP range, a user cannot access AdvisorMail from a computer from within that blocked range.

Administrators can add, edit, delete, activate, and deactivate IP addresses.

To add IP addresses in AdvisorMail

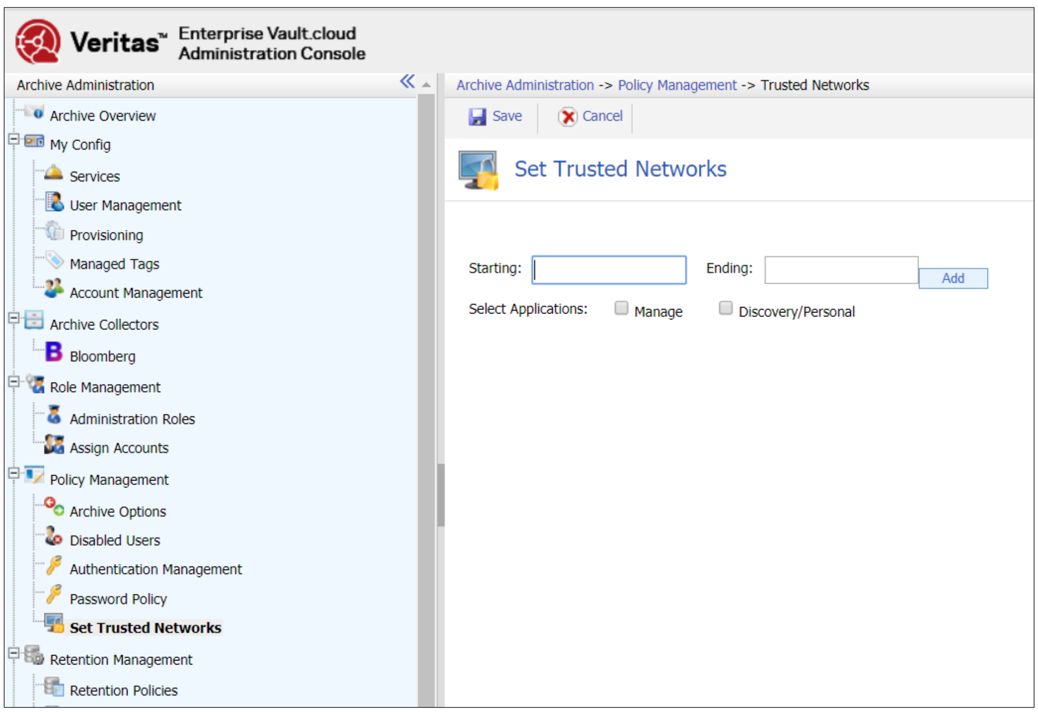
1. In the left navigation pane, click **Administration**.
2. Click **Add**.
3. Specify the IP address range.
4. Click **Save**.



Advanced Supervision administrators have this functionality in the Enterprise Vault.cloud Administration Console. Administrators specify a range of trusted IP addresses in the Administration Console.

To set trusted networks in the Administration Console

1. Log on to the Administration Console.
2. In the left navigation pane, select **Policy Management** > **Set Trusted Networks**.
3. Specify the IP address range.
4. Click **Add**.



5. Select the **Manage** and the **Discovery/Personal** check boxes.

Bloomberg settings

In AdvisorMail, the Bloomberg Settings tab is available only if your company is registered with AdvisorMail for the Bloomberg feature. The Bloomberg Settings page lets you provide the information to enable AdvisorMail to archive the messages that are associated with your Bloomberg L.P. Professional service (Bloomberg Terminal). AdvisorMail archives Bloomberg Terminal emails and Bloomberg Terminal instant message transcripts, which are converted to email messages for archiving.

On the Bloomberg Settings page you must do the following for each Bloomberg firm code:

1. Add the details of the firm code and its FTP login credentials.
2. Upload the associated PGP private key file for the firm code.

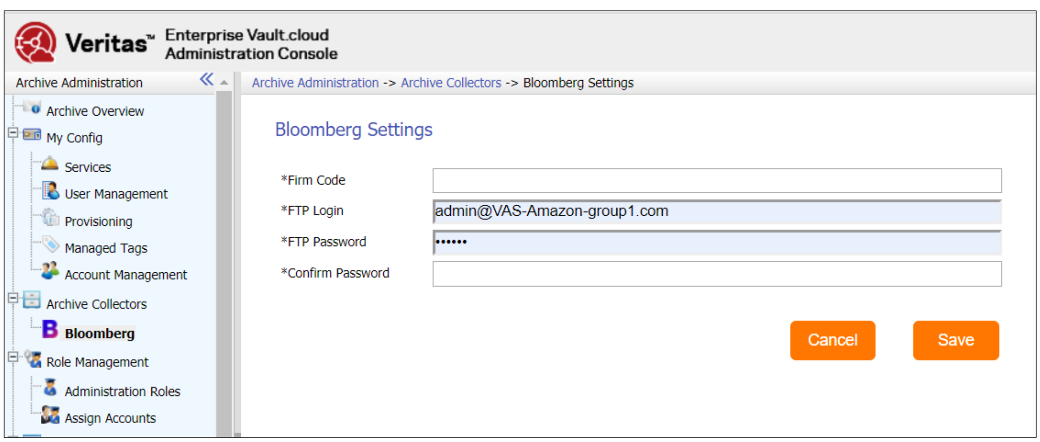
   AdvisorMail uses this information to log on to the Bloomberg FTP site on a scheduled basis and download the encrypted files for each Bloomberg firm code. AdvisorMail then decrypts the files and reconstitutes the messages for archiving.

   The following image shows the main features of the Bloomberg Settings page.

Advanced Supervision administrators have this functionality in the Enterprise Vault.cloud Administration Console. This method adds another level of security to Advanced Supervision. Administrators specify the details of the firm code and its FTP login credentials in Administration Console.

To configure Bloomberg settings in the Enterprise Vault.cloud Administration Console

1. Log on to the Administration Console.
2. In the left navigation pane, select **Archive Collectors** > **Bloomberg**.
3. Specify the details of the firm code and its FTP login credentials.



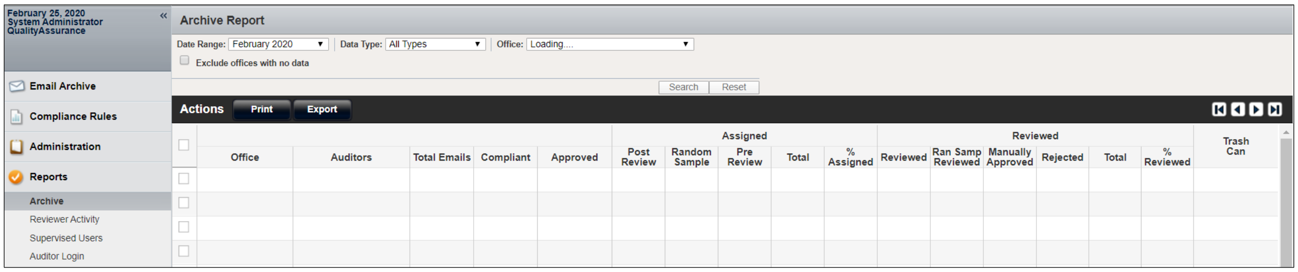
4. Click **Save**.

Managing reports

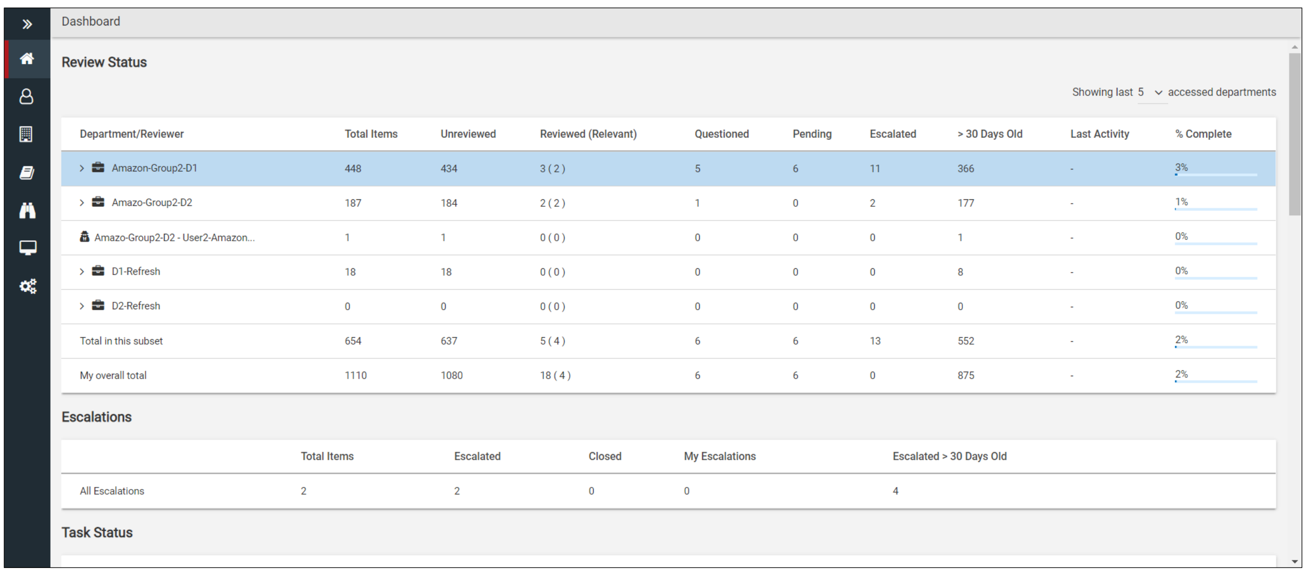
Generating an archive summary report

To generate an archive summary report in AdvisorMail

1. In the left navigation pane, click **Reports** > **Archive Summary**.
2. Select the date range, data type, and the office for which you want to create this report.
3. Click **Print** to generate and print the report.
4. Click **Export** to save the report, to export a portion of or the entire report to Microsoft Excel.



In Advanced Supervision the archive summary report is available on the **Dashboard** page.

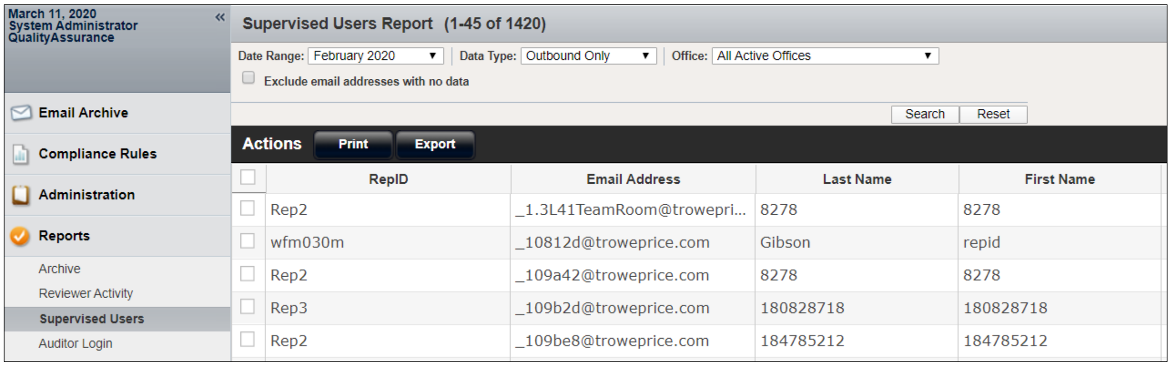


When the comprehensive reporting solution becomes available for Advanced Supervision, this report can be available on demand for the users to print, download, and export.

Generating a supervised users report

To generate the supervised users report in AdvisorMail

1. In the left navigation pane, click **Reports** > **Supervised Users**.
2. Select the date range, data type, and the office for which you want to create this report.
3. Click **Print** to generate and print the report.
4. Click **Export** to export a portion of or the entire report to Microsoft Excel.



Note: The reports available in the current version of Advanced Supervision are similar to the supervised user report in AdvisorMail. The following table explains the function of the predefined Advanced Supervision report types.

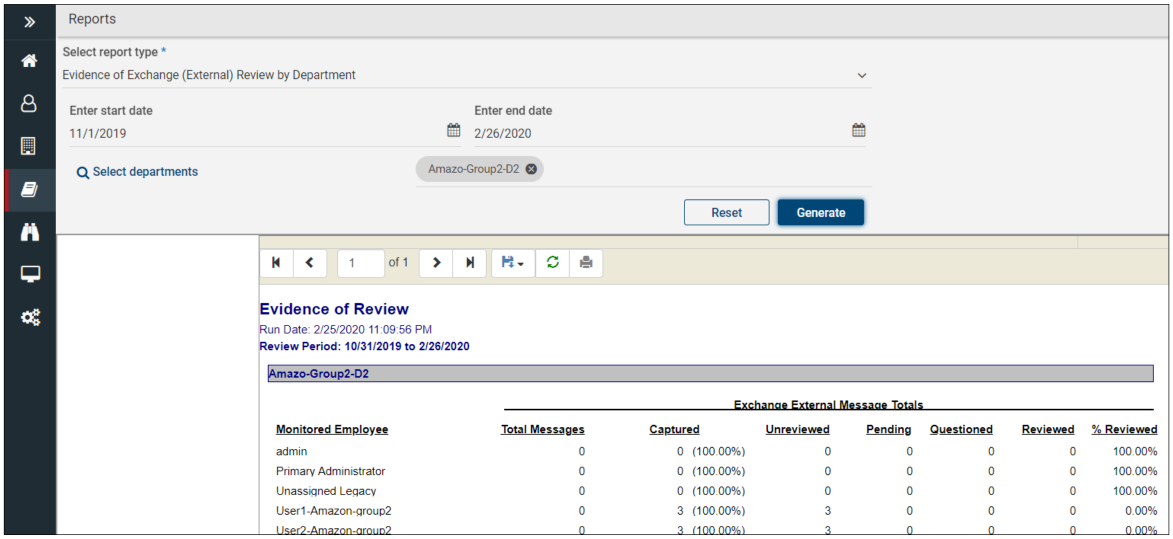
Table: Predefined report types in Advanced Supervision

Report	Description
Evidence of Bloomberg Review by Department	Extracts the violated communication instances from the required number and percentage of the sampled items received from the Bloomberg channel that have been captured and reviewed for the selected department or employee.
Evidence of Domino (External) Review by Department	Extracts the violated communication instances from the required number and percentage of the sampled items received from the Domino external channel that have been captured and reviewed for the selected department or employee.
Evidence of Domino (Internal) Review by Department	Extracts the violated communication instances from the required number and percentage of the sampled items received from the Domino internal channel that have been captured and reviewed for the selected department or employee.
Evidence of Exchange (External) Review by Department	Extracts the violated communication instances from the required number and percentage of the sampled items received from the Exchange external channel that have been captured and reviewed for the selected department or employee.
Evidence of Exchange (Internal) Review by Department	Extracts the violated communication instances from the required number and percentage of the sampled items received from the Exchange internal channel that have been captured and reviewed for the selected department or employee.
Evidence of SMTP (External) Review by Department	Extracts the violated communication instances from the required number and percentage of the sampled items received from the SMTP external channel that have been captured and reviewed for the selected department or employee.
Evidence of SMTP (Internal) Review by Department	Extracts the violated communication instances from the required number and percentage of the sampled items received from the SMTP internal channel that have been captured and reviewed for the selected department or employee.
Evidence of IM Review by Department	Extracts the violated communication instances from the required number and percentage of the sampled items received from the Instant Messaging channel that have been captured and reviewed for the selected department or employee.

To generate predefined reports in Advanced Supervision

1. In the left navigation pane, click **Reports**.
2. In the **Select report type** field, select the type you want to generate.
3. Enter the start date and end date to specify the duration for which you want to generate the report.
4. Click **Select Departments** to search for and select departments for which you want to generate the report.
5. Click **Generate**.
6. After generating the report, perform the following on the toolbar as required.

   The following screen shows a sample report pane with standard options:

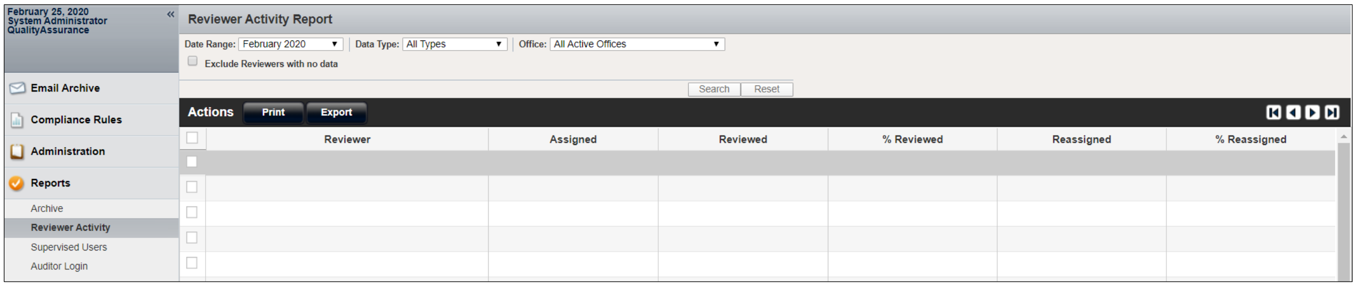


- To print a report, click the print icon.
- To export a report, click the export icon and select one of the available export types (CSV, Excel, MHTML, PDF, TIFF, WORD, or XML).
- To refresh the view, click the refresh icon.
- Click the page number to display and navigate to a selected page.
- Click the **|<** icon to go to the first page of the list.
- Click the **>|** icon to go to the last page of the list.
- Click the **<** icon to go to the previous page of the list.
- Click the **>** icon to go to the next page of the list.

Generating a reviewer activity report

To generate a reviewer activity report in AdvisorMail

1. In the left navigation pane, click **Reports** > **Reviewer Activity**.
2. Select the date range, data type, and the office for which you want to create this report.
3. Click **Print** to generate and print the report.
4. Click **Export** to save the report to export a portion of or the entire report to Microsoft Excel.

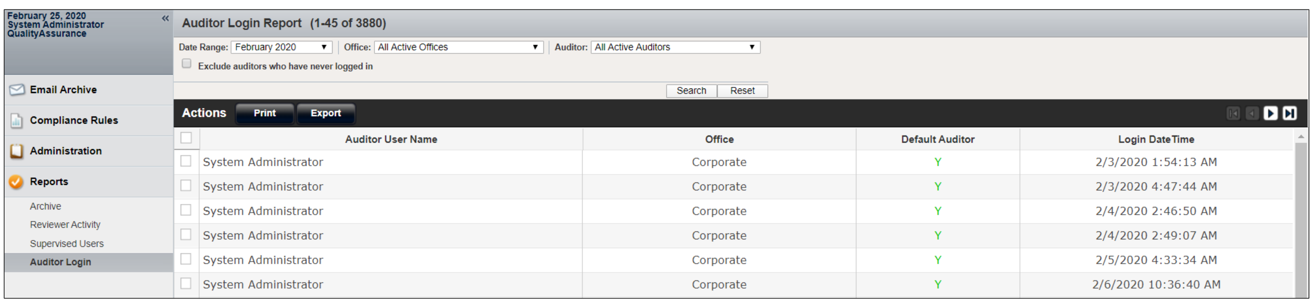


Advanced Supervision does not currently have a concept of reviewer activity report.

Generating an auditor login report

To generate an auditor login report in AdvisorMail

1. In the left navigation pane, click **Reports** > **Auditor Login**.
2. Select the date range, data type, and the office for which you want to publish this report.
3. Click **Print** to generate and print the report.
4. Click **Export** to export the report to Microsoft Excel. You can export a portion of the report or the entire report.

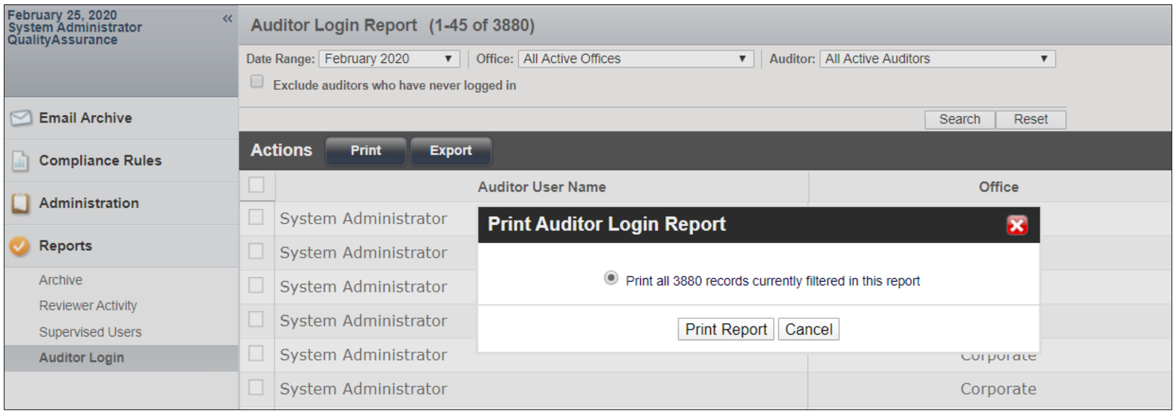


Advanced Supervision does not currently have an auditor login report; however, this report can be made available on request for the users to print, download, and export.

Printing reports

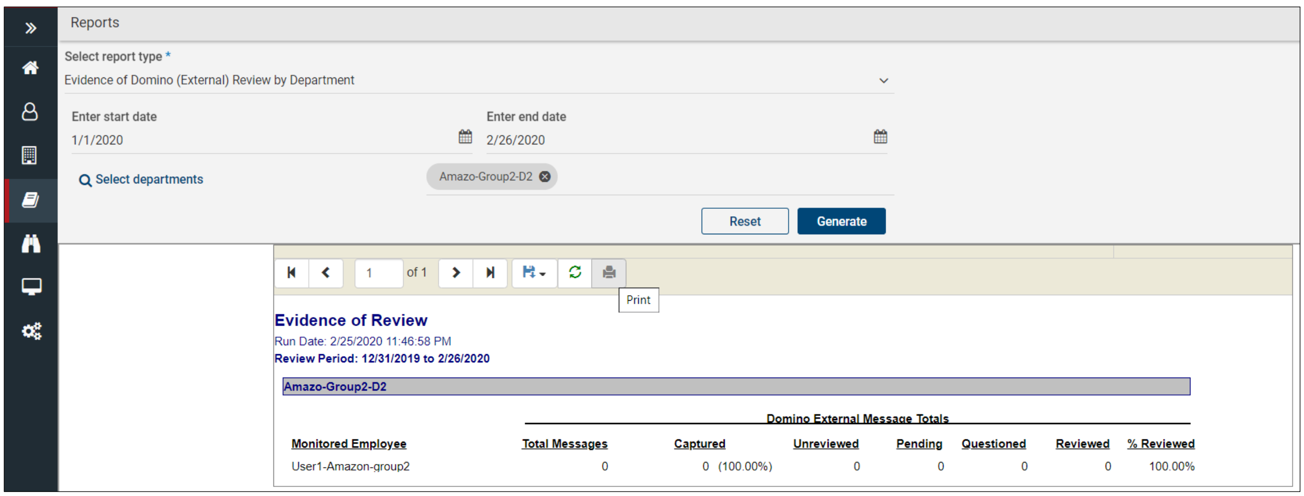
To print reports in AdvisorMail

1. In the left navigation pane, click **Reports.**
2. Select the report you want to print.
3. Select the date range, data type, and the office for which you want to create this report.
4. Click **Print**.



To print reports in Advanced Supervision

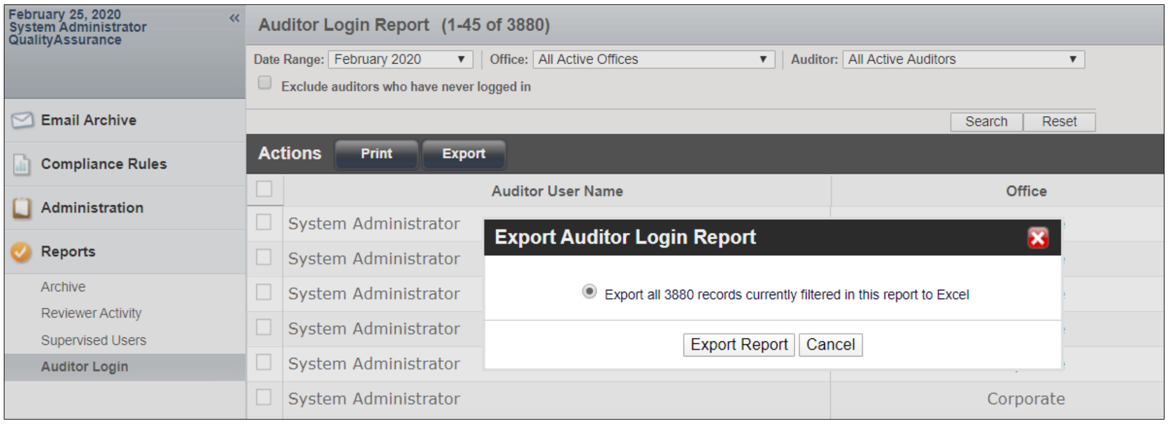
1. In the left navigation pane, click **Reports.**
2. Select the report you want to print.
3. Select the date range, data type, and the office for which you want to create this report.
4. Click **Print**.



Exporting reports

To export reports in AdvisorMail

1. In the left navigation pane, click **Reports.**
2. Select the report you want to export.
3. Select the date range, data type, and the office for which you want to create this report.
4. Click **Export**.

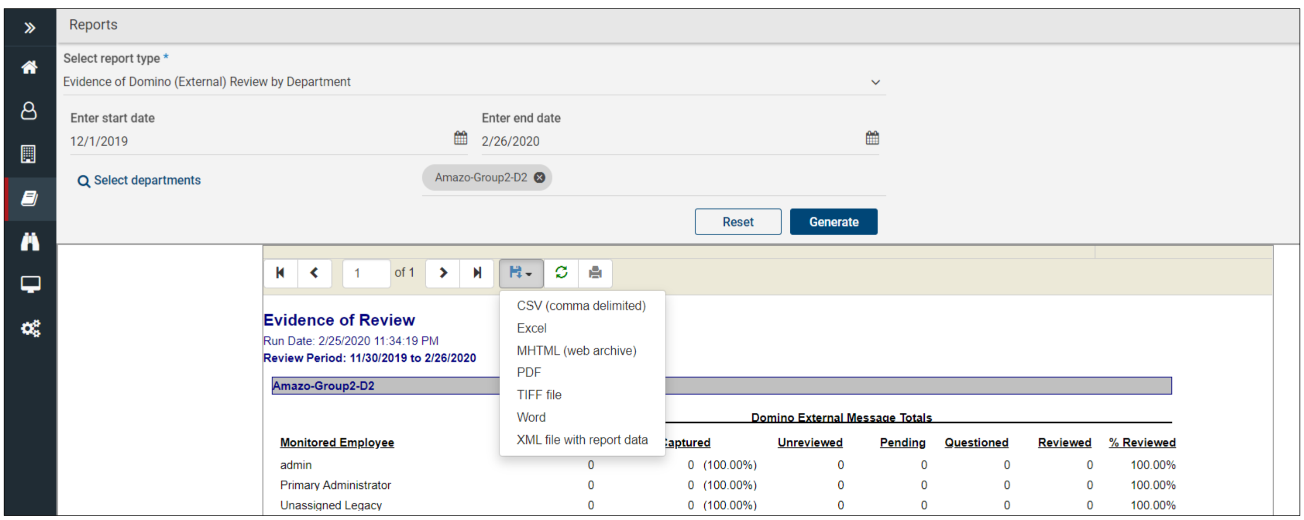


5. Click **Export Report** to export either a portion of the report or the entire report to Microsoft Excel.

Note: In AdvisorMail, you can export reports in the Microsoft Excel format only. In Advanced Supervision, you can export reports to multiple of the export types: CSV, Excel, MHTML, PDF, TIFF, WORD, or XML.

To export reports in Advanced Supervision

1. In the left navigation pane, click **Reports.**
2. Select the report you want to export.
3. Select the date range, data type, and the office for which you want to create this report.
4. Click **Export**.



Managing data requests

Creating new data requests

An AdvisorMail Data Request is similar to Export in Advanced Supervision. In AdvisorMail, users can export the entire archive folder information. In Advanced Supervision, users can export only compliance-supervision specific data. However, if a user needs all the archive data, they can get it from the Enterprise Vault.cloud Discovery Archive.

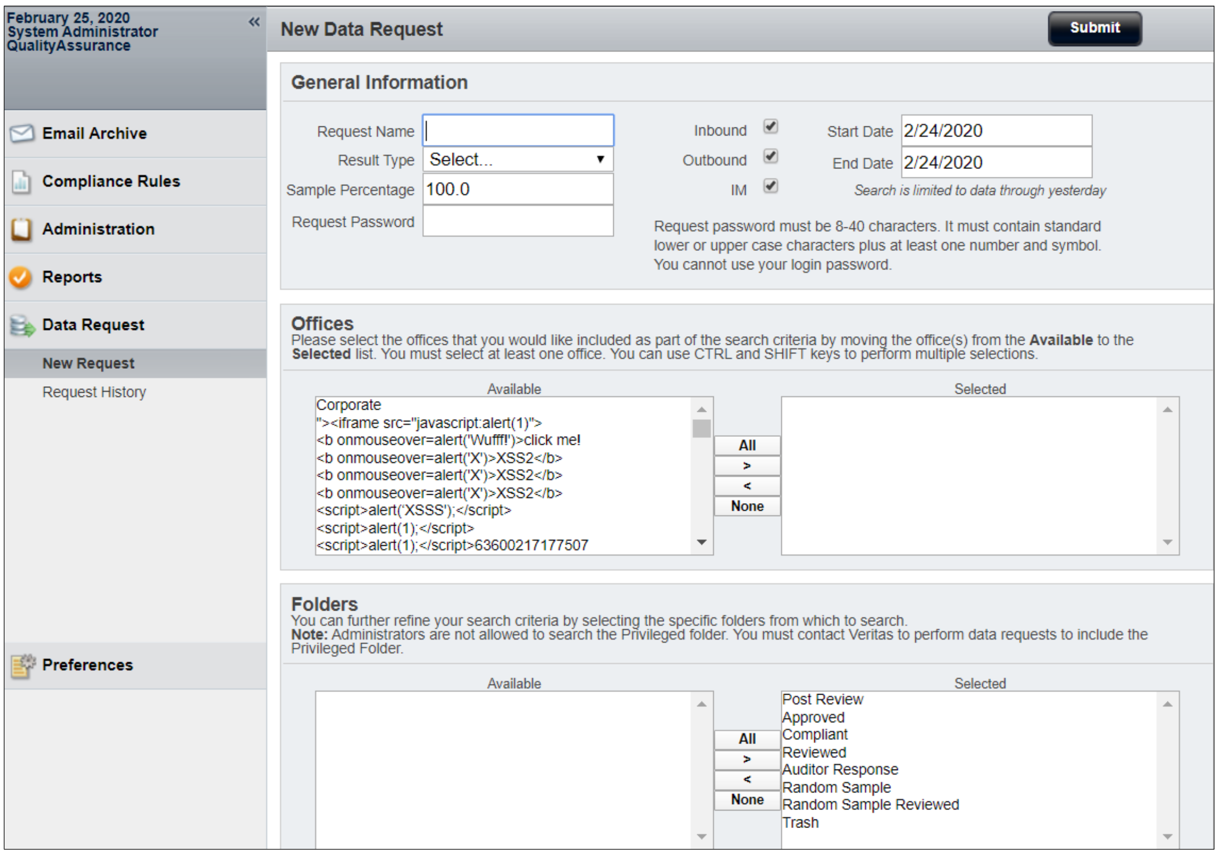
Note: After you submit a data request, visit the Data Request History page to review the request status and access the results. Data requests remain available to download for 10 days.

To create a new data request in AdvisorMail

1. In the left navigation pane, click **Preferences** > **New Request.**

   The New Data Request screen appears.

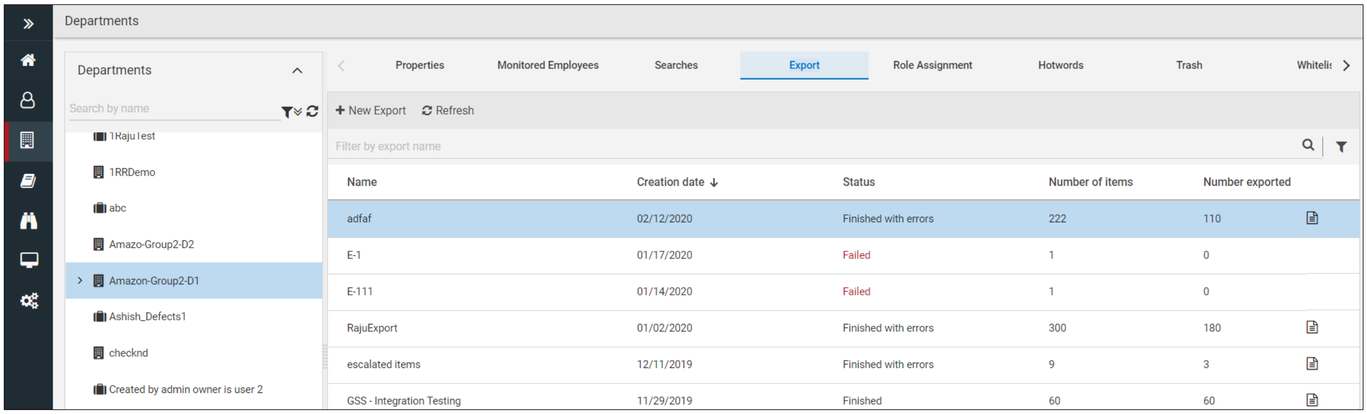
2. Specify the information on the screen and click **Submit**.



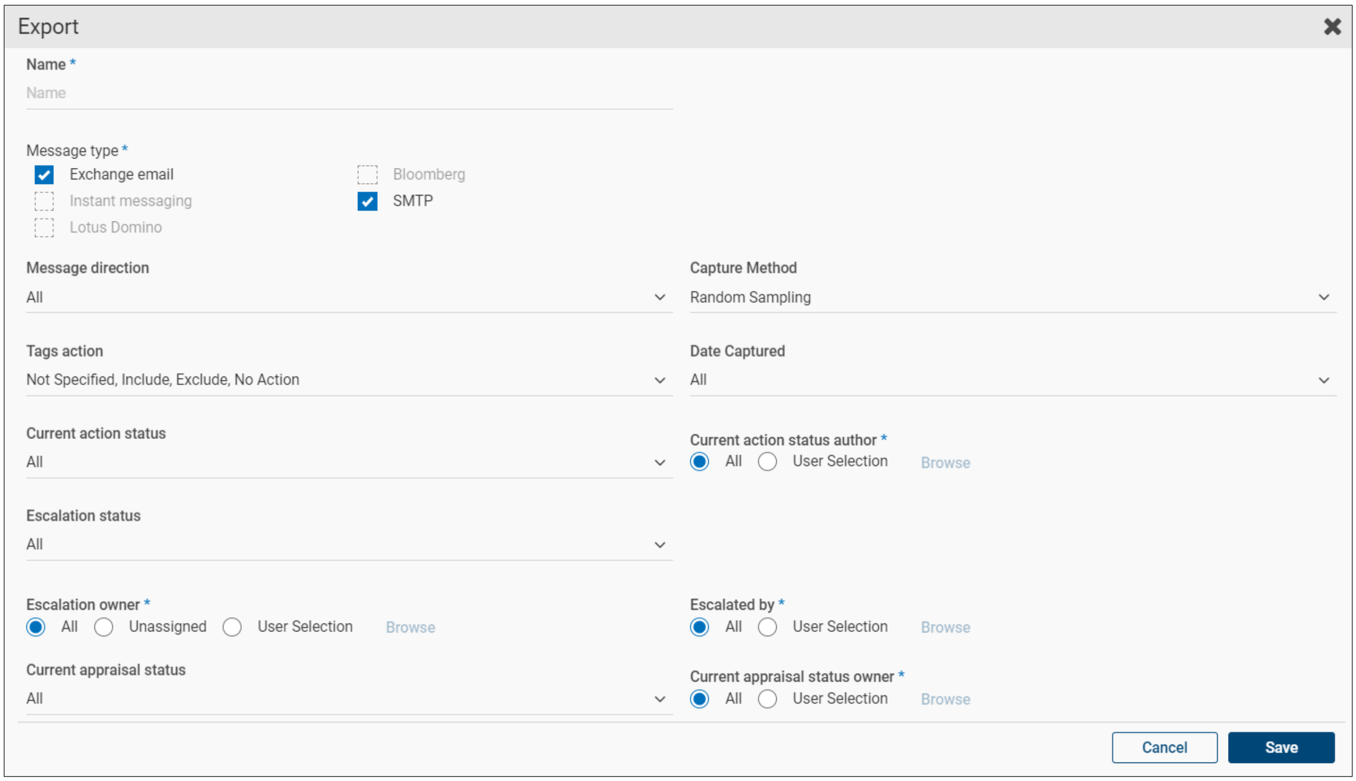
Note: The AdvisorMail Data Request feature is similar to the Advanced Supervision Exports feature. The successfully completed export creates a list of items sampled for Advanced Supervision. The result depends on the parameters you have specified. Use the Enterprise Vault.cloud Discovery Archive to view all the items other than the sampled ones.

To create a new Export in Advanced Supervision

1. In the left navigation pane, click **Departments.**
2. Search for and select the department for which you want to create a new Export.
3. In the **Export** page, click **New Export**.



4. Specify the information in the **Export** page.



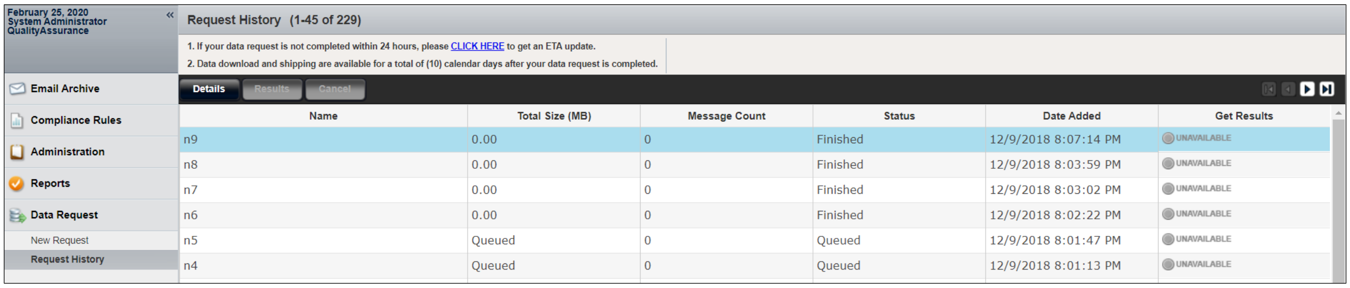
5. Click **Save**.

Viewing data request history

After you submit a data request, visit the Data Request History page to review the request status and access the results. Data requests remain available to download for 10 days after you submit the request. After 10 days, the green **Available** button link becomes non-functional. You must submit the data request again.

To view data request history in AdvisorMail

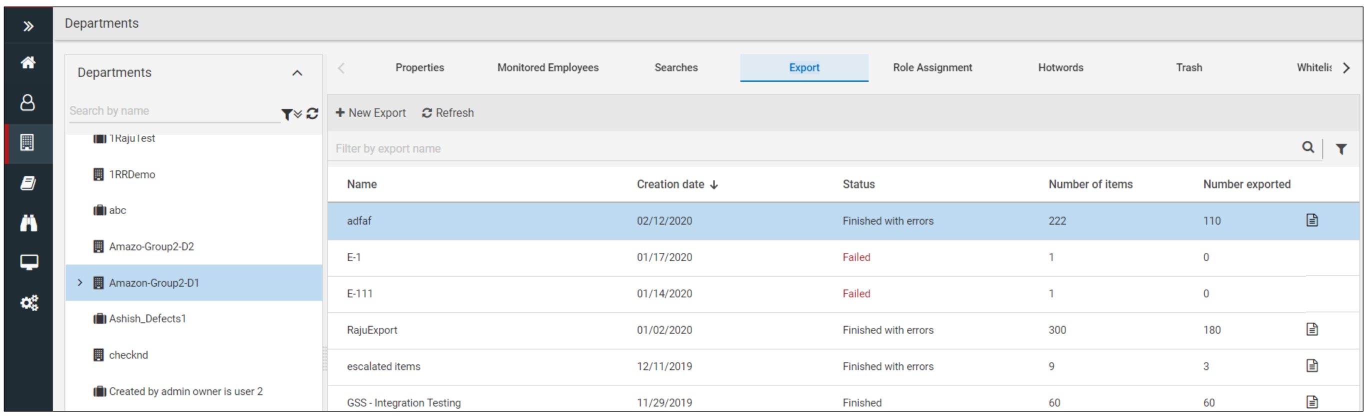
1. In the left navigation pane, click **Preferences** > **Request History**.
2. Select a row and click **Details** to display the Request Details page.
3. Select a row and click **Results** to display the Data Request Results page.
4. Select a row and click **Cancel** to cancel a data request.



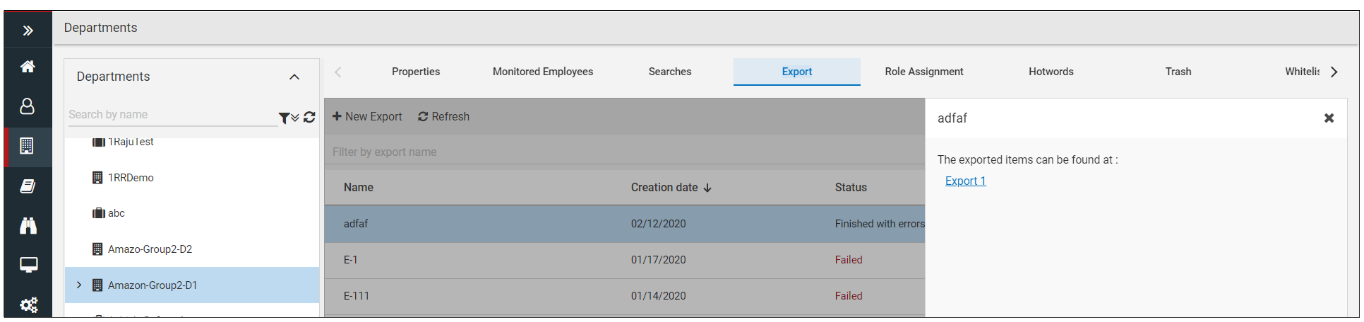
To view export history and exported items in Advanced Supervision

1. In the left navigation pane, click **Departments.**
2. Search for and select the department in which you want to view the Export history.
3. Navigate to the **Export** page.

   The export history appears.



4. To view the exported items, click the icon in the corresponding row.



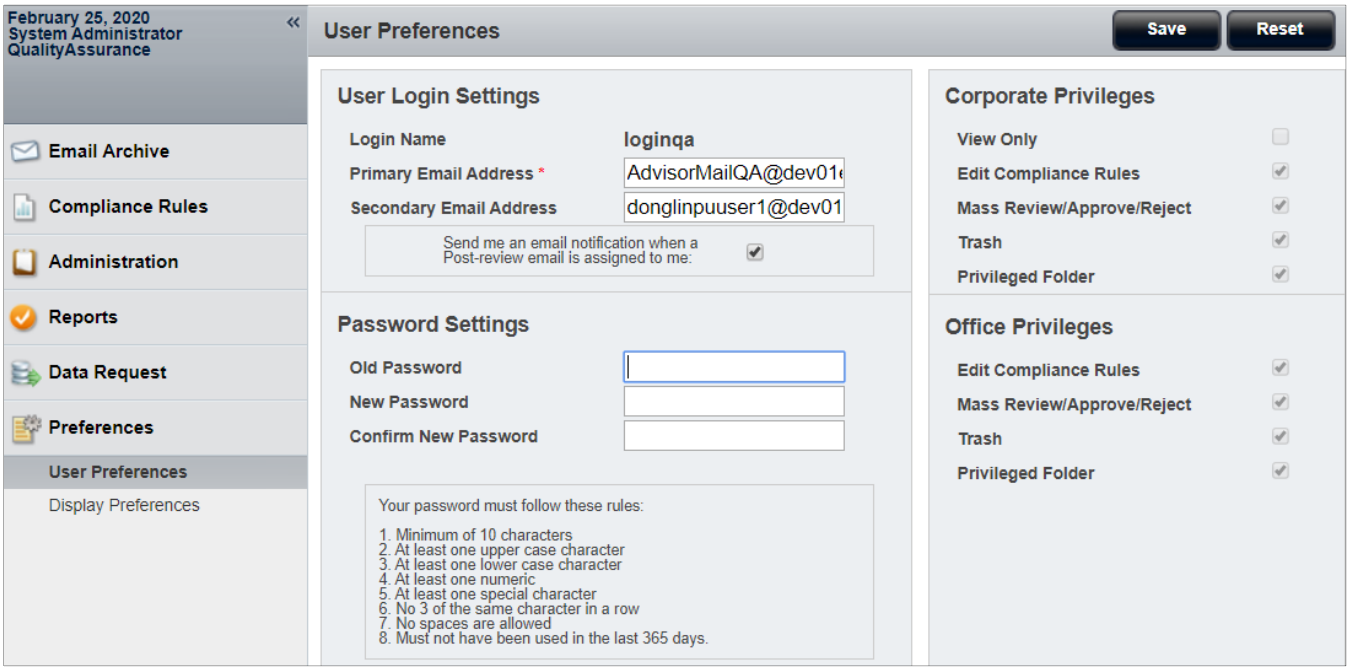
Managing user and display preferences

Updating secondary email addresses

To receive email notifications when emails are assigned in AdvisorMail

1. In the left navigation pane, click **Preferences** > **User Preferences**.
2. Under **User Login Settings**, the auditor's login name is displayed. Auditors can edit the following fields:

Primary Email Address	Notification is sent to this email address.
Secondary Email Addresses	Additional email addresses to which to send email notifications. Notification emails are sent to these addresses in addition to the primary email address. Separate multiple addresses with a comma and a space.



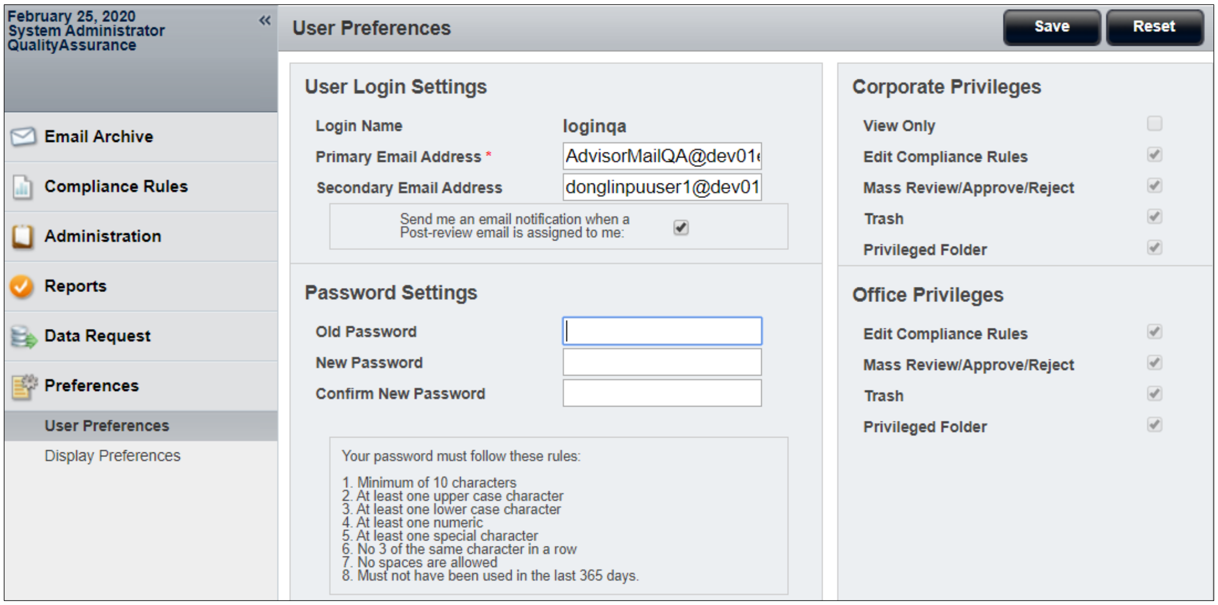
3. Click **Save**.

It is not necessary for reviewers in Advanced Supervision to modify primary email address or provide the secondary email address to receive notifications. This makes the process simple for reviewers in Advanced Supervision.

Receiving email notifications when the emails are assigned

To receive email notifications when the emails are assigned in AdvisorMail

1. In the left navigation pane, click **Preferences** > **User Preferences**.
2. Under the User Login Settings section, select the **Send me an email notification ….** check box to receive notifications or clear the **Send me an email notification ….** check box to avoid receiving notifications.



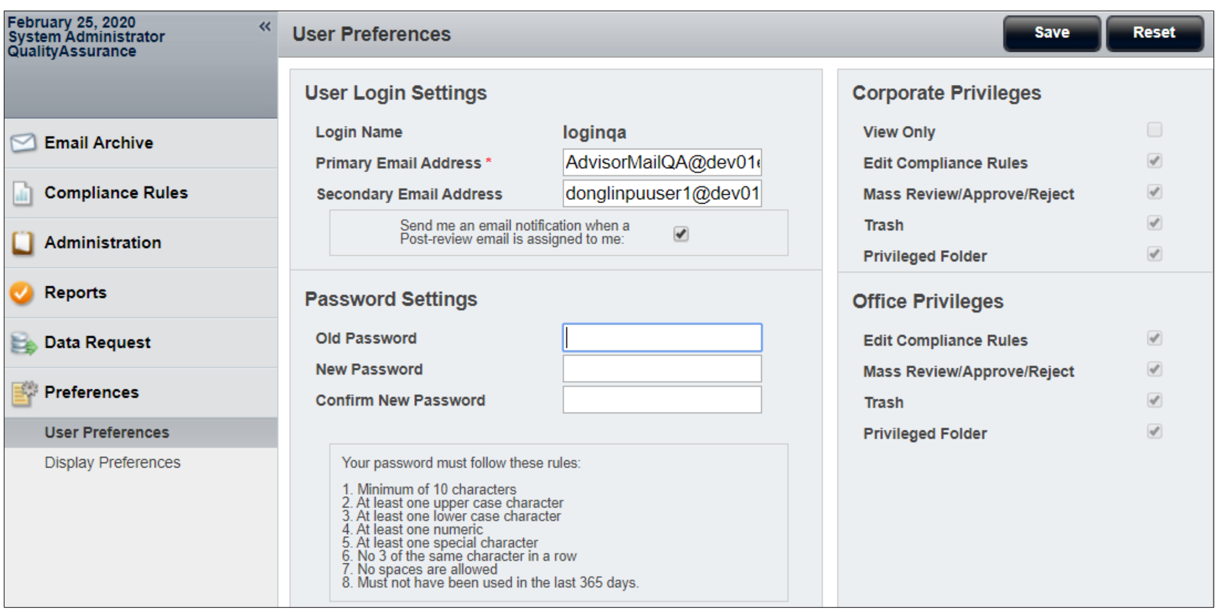
3. Click **Save**.

AdvisorMail allots communication items to reviewers through the mechanism of load balancing; therefore, auditors are required to address the communication. Advanced Supervision has a more flexible method. An auditor can pull items after signing in. The system puts a lock on the allotted emails while the reviewer is logged in. As soon as the reviewer logs out, the system releases the lock from the assigned emails. These unreviewed emails can then be allotted to other reviewers when they sign in to Advanced Supervision. This method does not require a notification when the items are allotted to reviewers and is simpler for reviewers.

Resetting passwords

To reset passwords in AdvisorMail

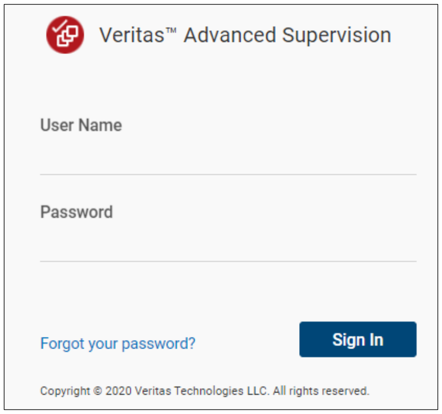
1. In the left navigation pane, click **Preferences** > **User Preferences**.
2. Under the Password Settings sections, provide an old password and a new password in the respective fields.
3. Retype a new password for confirmation.



4. Click **Save**.

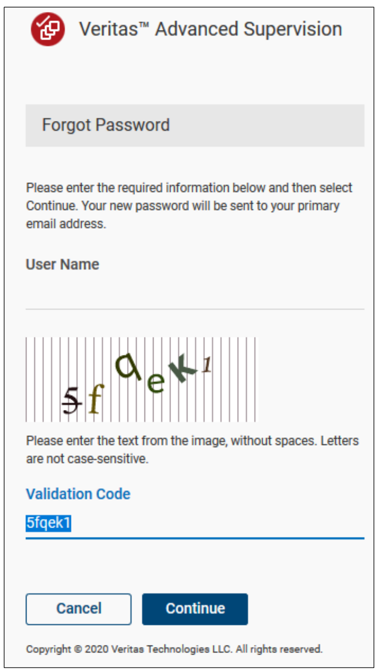
To reset passwords in Advanced Supervision

1. In the authentication screen, click the **Forgot your password** link.

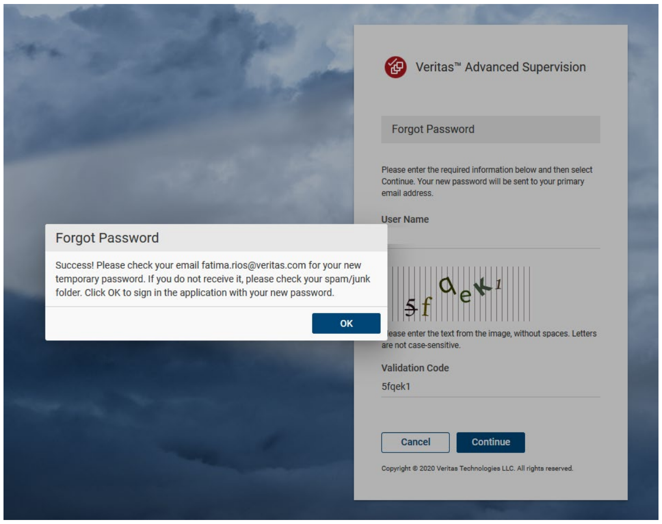


2. Click t In the **User Name** field, provide your user name.
3. In the **Validation Code** field, enter the alphanumeric captcha text without spaces.

   Note: The captcha text is not case-sensitive.

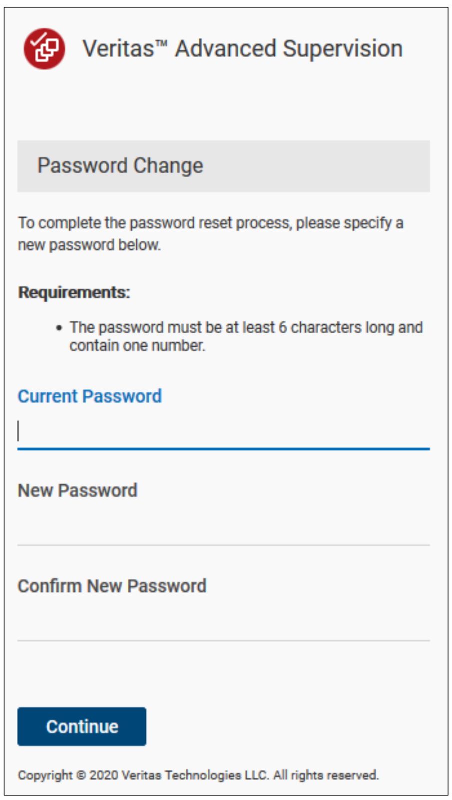


4. Click **Continue** to receive a new password reset link on your primary email address.



Note: Advanced Supervision sends the temporary password in an email notification to the provided email address. If you do not receive a notification, check your spam or junk folder.

5. In the **Current Password** field, enter the temporary password.
6. In the **New Password** field, enter your new password.
7. In the **Confirm Password** field, enter your new password again.

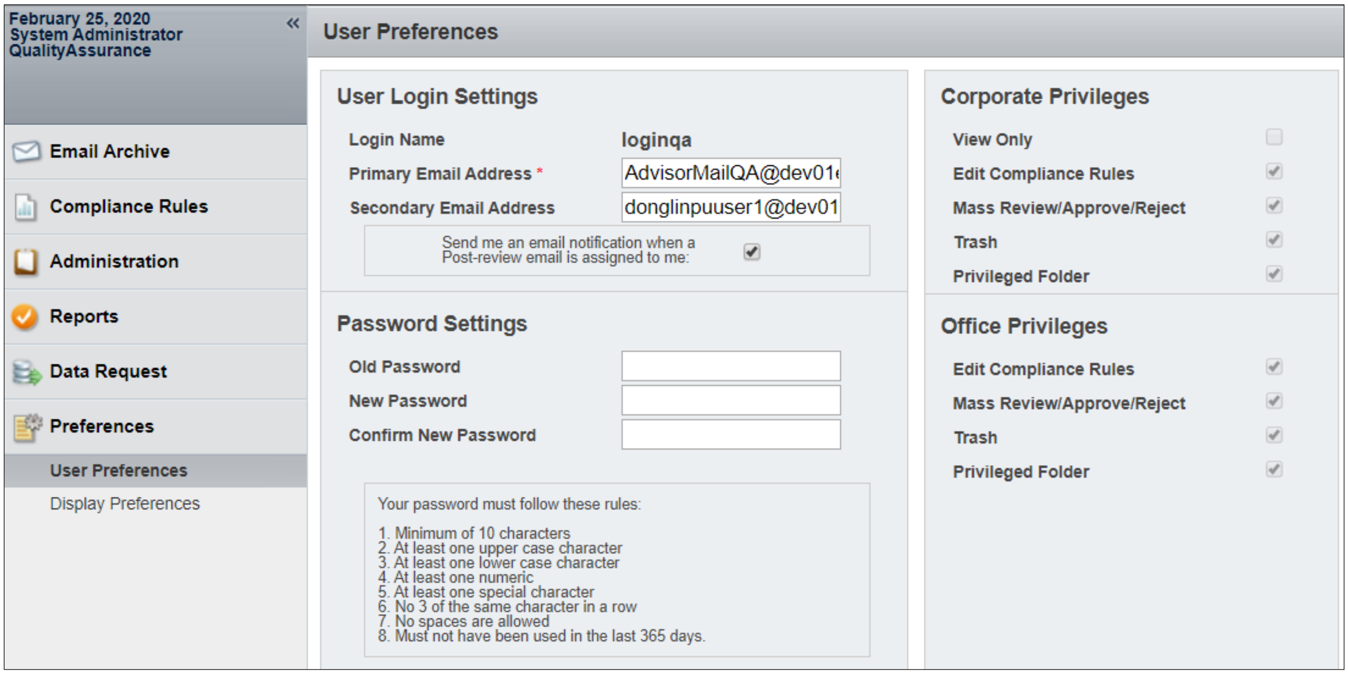


8. Click **Continue**.

Viewing corporate and office-level privileges

To view corporate and office-level privileges of an auditor in AdvisorMail

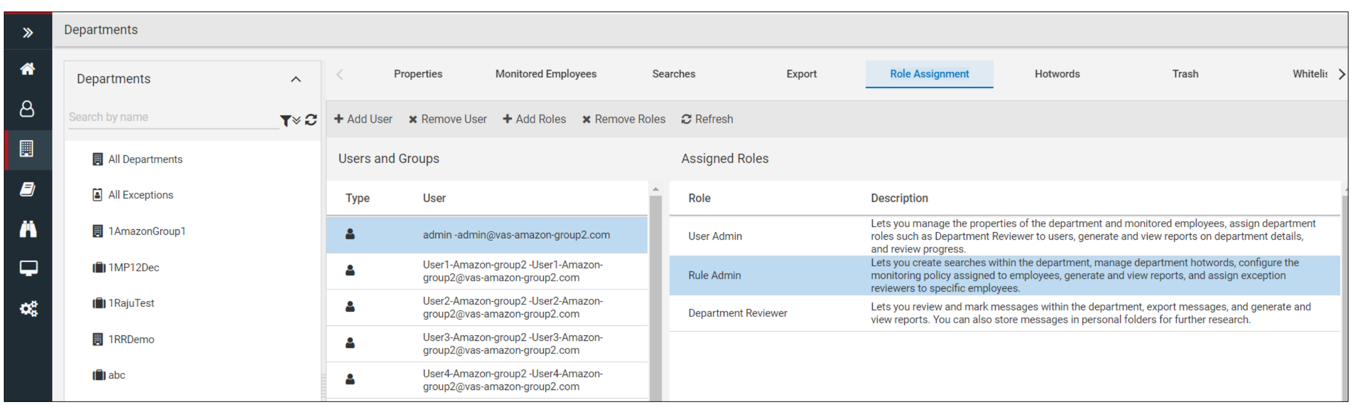
1. In the left navigation pane, click **Preferences** > **User Preferences**.
2. Under **Corporate Privileges** and the **Office Privileges**, check boxes show the assigned permissions.



To view roles and permissions of a department reviewer in Advanced Supervision

1. In the left navigation pane, click **Department.**
2. Search for and select the department for which you want to see permissions of reviewers.
3. In the **Role Assignment** tab, under the **Users and Groups** pane, select one user at a time.

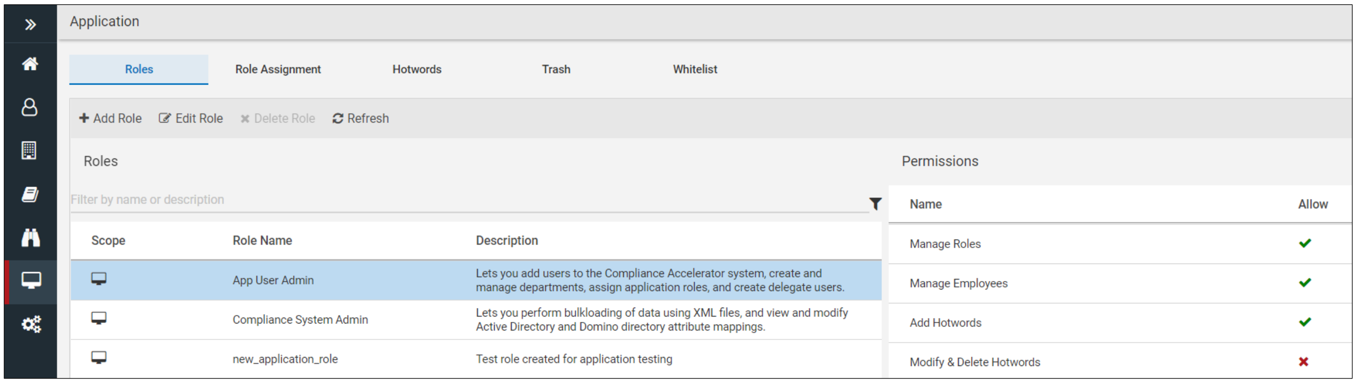
   The **Assigned Roles** pane displays user roles and permissions that are associated with the reviewer.



Alternatively, you can view the roles and permissions that are associated with the application-level users.

1. In the left navigation pane, click **Application.**
2. In the **Roles** tab, search for and select the role for which you want to see permissions.
3. In the **Roles** pane, select only one user at a time.

   The Permissions pane displays the permissions associated with the selected role.



Configuring display settings

To configure display settings in AdvisorMail

1. In the left navigation pane, click **Preferences** > **Display Preferences**.
2. Under Login Settings:

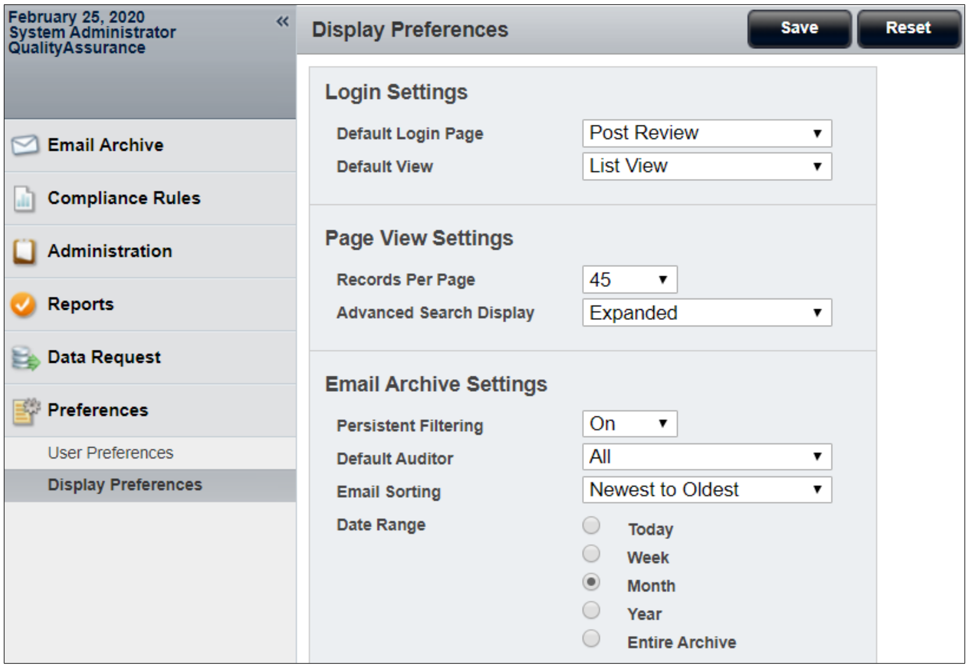
Default Login Page	Select a folder you want to access as soon as you log in to AdvisorMail.
Default View	Select a list or a snippet view option.

3. Under Page View Settings:

Records Per Page	Select the number of items you want to view on one page
Advanced Search Display	Select either **Expanded** or **Collapsed**.

4. Under Email Archive Settings:

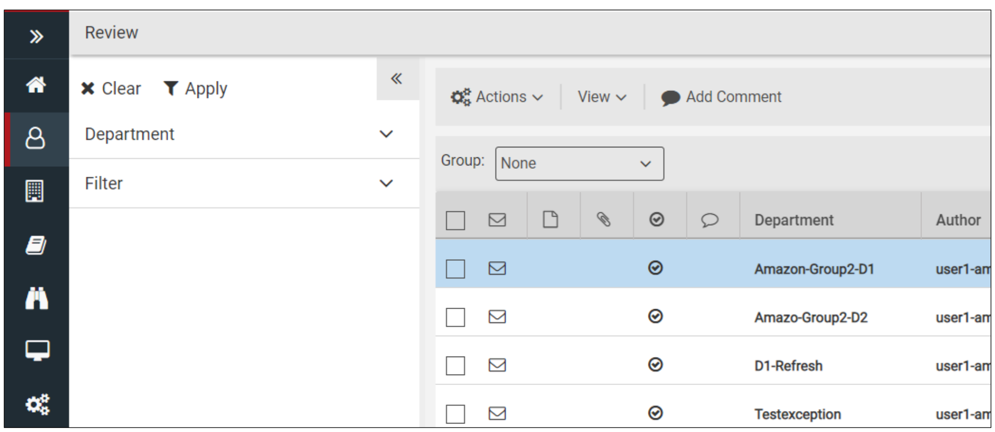
Persistent Filtering	Select whether you want persistent filtering ON or OFF.
Default Auditor	Select a list or a snippet view option.
Email Sorting	Select an option to sort emails.
Date Range	Select a default duration.



5. Click **Save**.

After logging in to Advanced Supervision users always see the **Dashboard** page. Advanced Supervision displays 100 items per page by default in the List View, and details of one item in the Focused View.

In Advanced Supervision, the search and filter displays are always in the collapsed mode. A user can expand it when required. In addition, Advanced Supervision users can collapse or expand the Department and Filter panes when required.

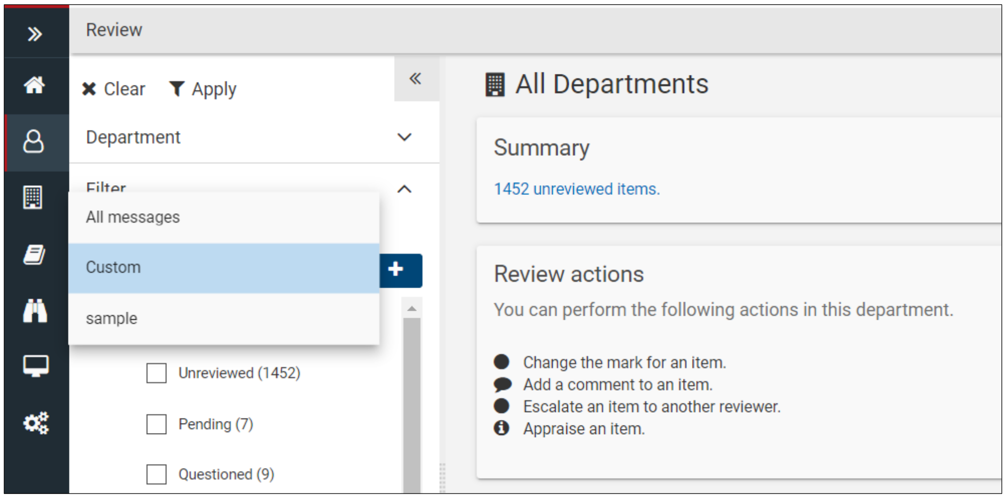


In AdvisorMail, when the Persistent Filtering is on, the current Advanced Search settings are applied to every folder you visit in the Email Archive section. When it is off, the Advanced Search settings that are created for one folder are not applied to the next folder visited. Persistent Filtering does not apply to Compliance Rules Advanced Search parameters.

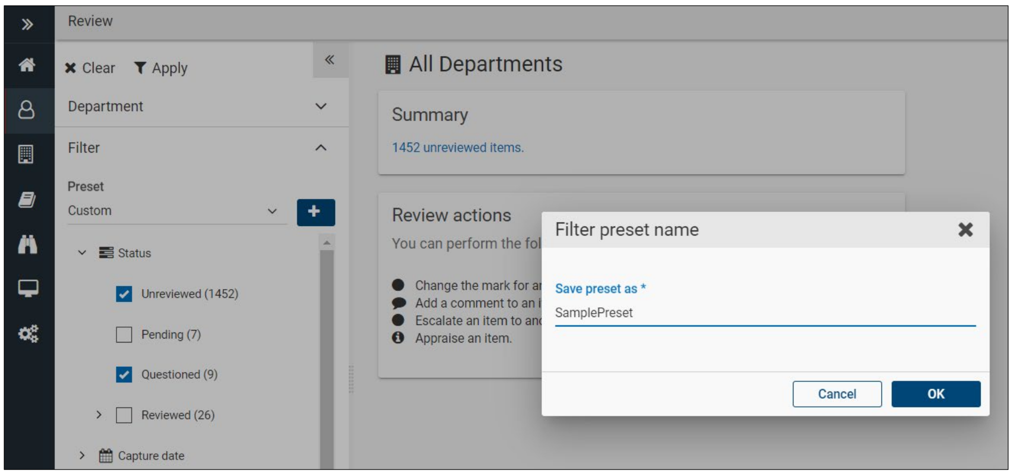
In Advanced Supervision, the concept of persistent filtering is deprecated. Instead, you can customize your preset criteria.

To customize preset criteria in Advanced Supervision

1. In the left navigation pane, click **Review**.
2. Expand the **Filter** tab.
3. In the **Preset** drop-down list, select **Custom**.



4. From the available facets, select the parameters to configure preset criterion.



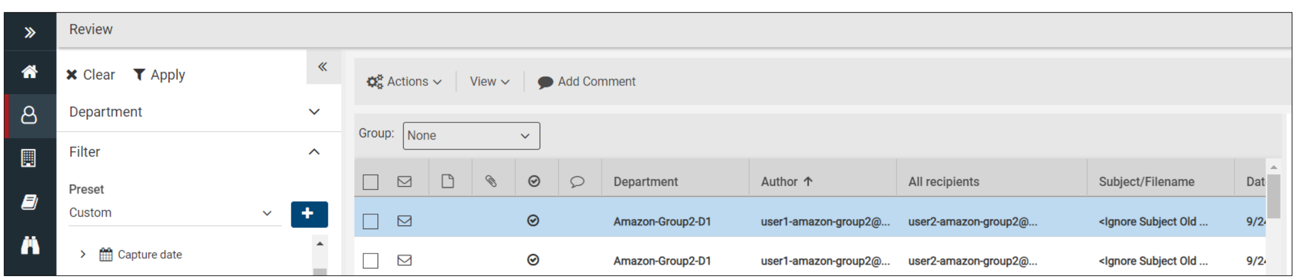
5. Specify the unique name for your filter preset and click **OK**.

To sort the items in Advanced Supervision

1. In the left navigation pane, click **Review**.

   A list of review items appears.

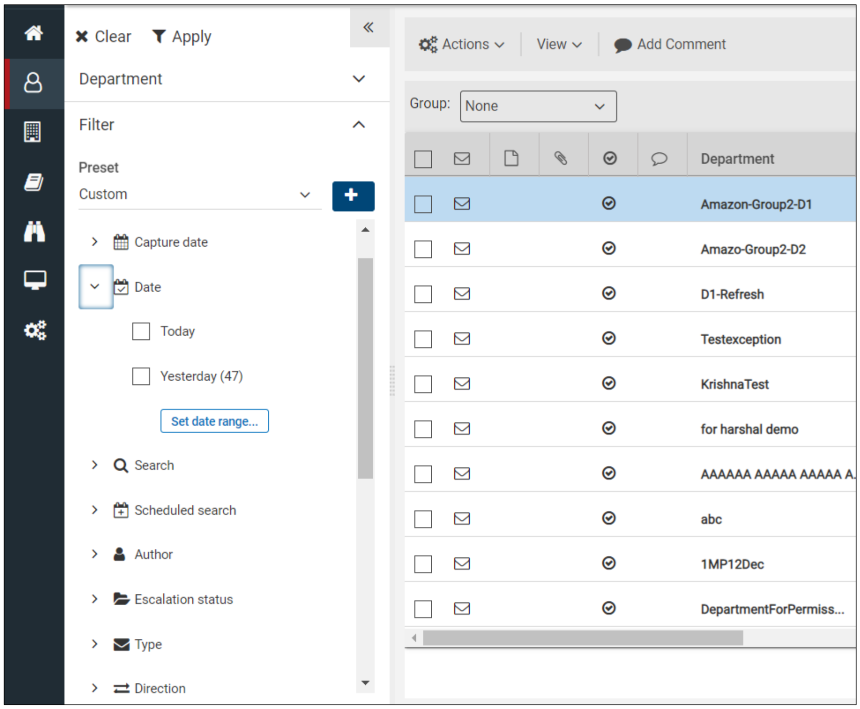
2. Click the column heading to sort items in ascending or descending mode.



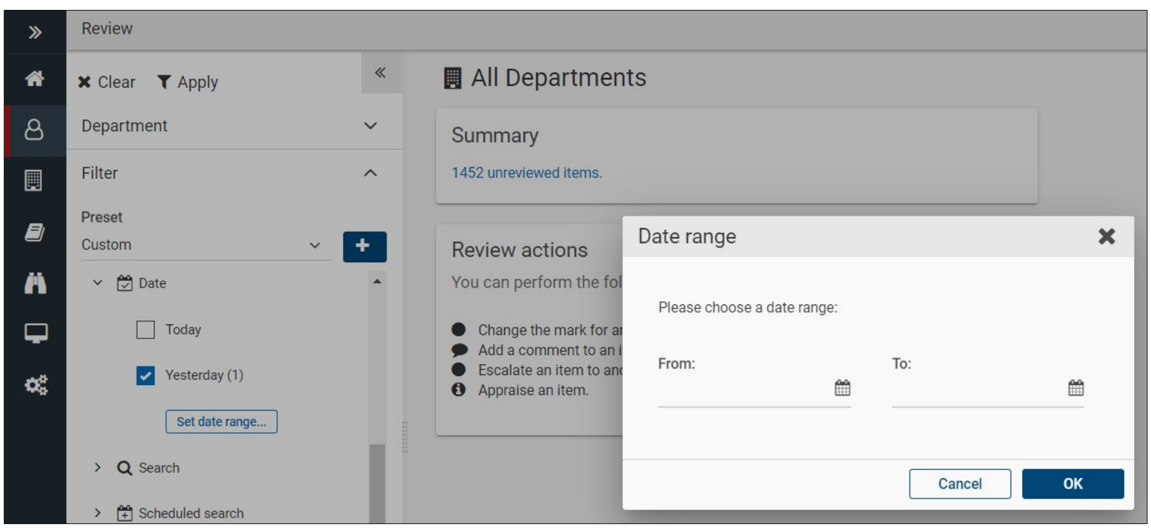
In Advanced Supervision, you can find the date range option in the Filter pane. In addition, Advanced Supervision provides several very useful parameters to make filtering effective for the reviewers.

To set the date range in Advanced Supervision

1. In the left navigation pane, click **Review**.
2. Expand the **Filter** tab.
3. Scroll down to select and expand the **Date** option.



4. Click **Set date range** and specify a duration.



5. Click **OK**.