

ZL Advanced Sampling Module

The ZL Unified Archive (UA) provides Advanced Sampling features to limit the number of messages to be presented for review for a particular user.

DEFINITIONS

MAILS

This will be defined as "Mails subject to Review". This includes all mails with the exception of internal mails, force pass-through mails, force Post Review mails and SIS mails.

FLAGGED MAILS

Mails having certain restricted content specified by lexicon and policy rules.

CLEAN MAILS

Mails that are not Flagged Mails.

POST REVIEW

Identifies Flagged Mails for review after sending.

RANDOM POST REVIEW

If Post Review does not identify enough Flagged Mails to meet compliance quotas, the remaining space is filled via Random Post Review.

FORCE POST REVIEW

Messages marked for Force Post Review are deemed such severe violations that they will not count towards the compliance quota, thus additional messages can be randomly sampled in order to gain a more accurate picture of the active compliance environment.

Compliance Assurance Process (CAP) organizations that perform supervision to ensure compliance with regulatory and organizational policies, often find themselves reviewing too many emails. Whether due to the sheer volume of relevant emails or undesirable false positives, often from disclaimers and signatures, organizations are looking for ways to review the most severe emails while maintaining compliance without spending exorbitant amounts of time or resources.

With ZL, for a given user, a reviewer has to review only a certain number of messages which would fulfill the review requirement. Previously, all messages that triggered a lexicon (which can be more than the total review requirement) were presented for review. However, with Advanced Sampling, compliance CAP can enforce a configurable percentage of the categorized mail which fulfills the flagged review requirement presented for review. This will dramatically reduce the amount of email to review while ensuring adequate review of both flagged and un-flagged email to meet regulatory supervision requirements, thus reducing compliance department costs. In some environments, this feature can reduce messages for review by up to 90%. ZL Advanced Sampling module has a feature that allows an administrator to choose a percentage of the flagged email to be presented in the reviewer's Inbox, and a feature to selectively configure these percentage level settings for different message types (i.e. Bloomberg, IM, email, etc).

Goal of Advanced Sampling

Cap the reviewed mails to the required review percentage corresponding to a user. Certain mail categories must always be flagged irrespective of the cap. Such mails are also known as 'Force Post-Review' mails.

Algorithm

As Advanced Sampling matches the exact number of flagged mails to the company's regulatory requirements, it can eliminate unnecessary review time and enhance the review process. For ease of understanding, let us assume the total number of mails for a user in a given day is 100 mails. Without the Advanced Sampling Module, a reviewer is required to review all flagged mails and the review workload on each day can vary significantly. With Advanced Sampling, an authorized reviewer may now specify the total review requirement by selecting only a portion, 10% for instance, of the total 100 mails subject to compliance to be reviewed.

CASE A: 30 mails are flagged. Given that the number of flagged mails exceeds the desired number of mails selected for Post Review (10 mails), the reviewer only needs to review 10 randomly selected mails from the 30 flagged mails.

CASE B: 6 mails are flagged. Since the number of flagged mails is less than the defined total review requirement (10 mails), the reviewer reviews all 6 flagged mails plus 4 mails randomly selected from the clean mails maintaining compliance.

CASE C: 7 mails are flagged. An authorized reviewer sets the percentage of flagged and clean mails to be reviewed, which are defined as 60% and 40%. In this case, 6 mails are selected randomly from the 7 total flagged mails and 4 mails are randomly selected from the remaining 93 clean mails. The Advanced Sampling Module reduces the amount of e-mails to be reviewed, while simultaneously satisfying compliance requirements.