

Symantec Compliance Accelerator™

Reviewer's Guide

10.0

Symantec Compliance Accelerator: Reviewer's Guide

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- Available memory, disk space, and NIC information
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North America and Latin America	supportsolutions@symantec.com

Contents

Technical Support	3
Chapter 1 Introducing Compliance Accelerator	9
Key features of Compliance Accelerator	9
About the Compliance Accelerator client	10
Opening and closing the Compliance Accelerator client	10
Finding your way around the Compliance Accelerator client	11
Chapter 2 Searching for items	15
Creating and running Compliance Accelerator searches	15
About the search criteria options	17
Guidelines on conducting effective searches	26
Chapter 3 Manually reviewing items	27
About reviewing with Compliance Accelerator	27
About the Review pane	28
Filtering the items in the Review pane	32
Assigning review marks to items	36
Adding comments to items	37
Viewing the history of items	37
Displaying printable versions of items	38
Downloading the original versions of items	38
Copying the item list to the Clipboard	39
Escalating items	39
Assigning escalated items to other escalation reviewers	40
Closing escalated items	40
Changing how the Review pane looks	41
Setting your Review pane preferences	42
Chapter 4 Working with research folders	45
About research folders	45
Creating research folders	46
Reviewing the items in research folders	47
Exporting items from research folders	47

	Giving other users access to your research folders	48
	Copying items to research folders	49
	Committing research folder items to the department review set	49
Chapter 5	Exporting items	51
	Performing an export run	51
	About the limits on the number of simultaneous export runs	54
	Exporting items from the review set of an exception employee	55
	Making the export IDs visible in Microsoft Outlook	55
Chapter 6	Creating and viewing reports	57
	About the Compliance Accelerator reports	57
	Creating Compliance Accelerator reports	57
	Available Compliance Accelerator reports	58
	Compliance Supervisor Responsibility report	60
	Department Roles Detail report	60
	Department Roles Summary report	61
	Differential Sampling Summary by Department report	62
	Effective Roles by User report	63
	Evidence of <i>message type</i> Review by Department/Employee reports	63
	Item Aging by Department report	64
	Message Stats Summary report	64
	Message Summary report	65
	Monitored IDs by Department report	65
	Questioned Items by Department report	66
	Responsibility by Department report	66
	Responsibility by Reviewer report	67
	Review Activity Summary by Department report	67
	Reviewer Activity by Department report	68
	Reviewer Activity Detail report	68
	Reviewer Mapping report	69
	Unreviewed Departments report	70
	Unsupervised Departments report	70
	Viewing existing reports	71
	Deleting reports	71
Index		73

Introducing Compliance Accelerator

This chapter includes the following topics:

- [Key features of Compliance Accelerator](#)
- [About the Compliance Accelerator client](#)
- [Opening and closing the Compliance Accelerator client](#)
- [Finding your way around the Compliance Accelerator client](#)

Key features of Compliance Accelerator

Compliance Accelerator lets organizations perform cost-effective supervisory review of their employees' communications to ensure compliance with regulatory bodies.

Among the key features of Compliance Accelerator are the following:

- A system for defining the employees that are to be monitored and grouping them in an organizational structure that reflects the departments within the company. The messages of selected *exception* employees can be kept separate and reviewed by specially assigned reviewers.
- An optional Journaling Connector component that takes a random sample of the items that have been sent to the Enterprise Vault archive of a journal mailbox.
- A client application that lets administrators configure Compliance Accelerator and designated reviewers read and mark the captured items.
- A secure SQL database that keeps information on all the monitored employees, captured items, and the review process that you have applied to the items.

About the Compliance Accelerator client

The client is a feature-rich Windows application with which Compliance Accelerator users can add marks and comments to the items that they review. In addition, administrators can use the Compliance Accelerator client to administer and customize the application. The role to which a Compliance Accelerator user has been assigned determines the features of the client that each user can access.

You perform most of the activities that are described in this guide with the Compliance Accelerator client.

Opening and closing the Compliance Accelerator client

If you add a shortcut to the Compliance Accelerator client to the Windows desktop, you can open the client by double-clicking the shortcut. Alternatively, you can open the program by clicking the program name in the Windows **Start** menu.

To open the Compliance Accelerator client

- 1 On the Windows **Start** menu, click the shortcut for the Compliance Accelerator client.

After a few moments, the **Select a Compliance Accelerator instance to connect to** dialog box appears.

- 2 In the **Server** box, type the name or IP address of the computer on which the Compliance Accelerator server software is running.

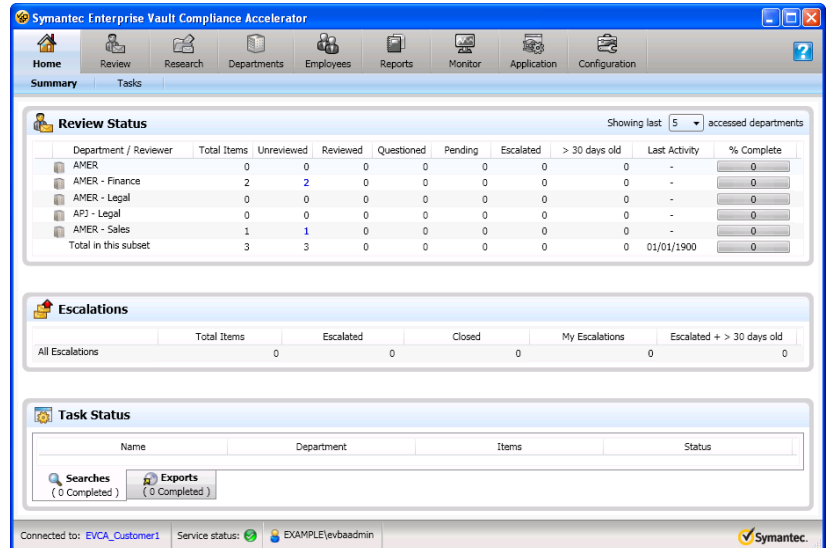
You can type the IP address in either IPv4 or IPv6 format.

- 3 In the **Instance** box, select the Compliance Accelerator instance (customer database) that you want to access. Click the down arrow at the right of the box to list the available instances.

Each instance stores the details of a set of departments that you want to review. It also stores the associated user roles, search results, research folders, and more. Therefore, you may have multiple instances from which to choose.

- 4 Uncheck **Ask every time the application is opened** if you always want to connect to the same instance without first displaying the **Select a Compliance Accelerator instance to connect to** dialog box.
- 5 Click **Connect**.

After a few moments, the home page of Compliance Accelerator client appears.



To close the Compliance Accelerator client

- ◆ Click the close button in the upper-right corner of the window.

Finding your way around the Compliance Accelerator client

In the Compliance Accelerator client, the roles to which you have been assigned determine the features that you can access. [Table 1-1](#) describes the features that users with the most permissive roles can access. Compliance Accelerator administrators can assign multiple different roles to users and change the permissions that are associated with the roles.

Table 1-1 Primary tabs in the Compliance Accelerator client








Icon	Tab	Description
	Home	This tab provides a headline view of the status of the activities that you perform in Compliance Accelerator. It also gives you quick access to the activities that you are likely to perform frequently with Compliance Accelerator.
	Review	This tab lets you view the items in the review set and assign marks and comments to them.
	Research	This tab lets you set up research folders where you can work privately on the items that interest you without generating additional work for other Compliance Accelerator reviewers.
	Departments	This tab lets you manage your Compliance Accelerator departments, the employees who belong to them, and the supervisors and reviewers who are assigned to them.
	Employees	This tab lets you view and change the employee profiles in your Compliance Accelerator system, and enter the details of new ones. You must set up a profile for everyone who will run Compliance Accelerator—administrators and reviewers—and everyone whose communications will be monitored.
	Reports	This tab lets you generate reports on various aspects of Compliance Accelerator, including the progress of reviewers and their roles and responsibilities.
	Monitor	This tab lets you monitor the status of all Compliance Accelerator searches and pause or resubmit them as necessary.

Table 1-1 Primary tabs in the Compliance Accelerator client (*continued*)



Icon	Tab	Description
	Application	<p>This tab provides access to a range of commonly used administrative facilities. The options that are available when you click this tab may include the following:</p> <ul style="list-style-type: none"> ■ Searches. Create searches that run in multiple departments. ■ Roles. Set up and amend the roles that you can assign to users to manage their access to Compliance Accelerator facilities. ■ Role Assignment. Assign Compliance Accelerator roles to users. ■ Reviewing Comments. Store the text of common comments that Compliance Accelerator reviewers can apply to the items on which they work. ■ Hotwords. Set up lists of important words for which you may want to search with Compliance Accelerator. ■ Archives. Customize the list of Enterprise Vault archives in which Compliance Accelerator searches for items.

Table 1-1 Primary tabs in the Compliance Accelerator client (*continued*)

Icon	Tab	Description
	Configuration	<p>This tab provides access to a range of configuration facilities that you are likely to use infrequently. The options that are available when you click this tab may include the following:</p> <ul style="list-style-type: none"> ■ Search schedules. Set up schedules with which you can run Compliance Accelerator searches repeatedly, at scheduled times. ■ Reviewing Statuses. Customize the status names with which Compliance Accelerator shows the status of items in the Review pane (Pending, Questioned, Reviewed, and so on). ■ Import Configuration. Import configuration data into Compliance Accelerator from an XML file. ■ Account Information. Specify multiple Windows domains with which Compliance Accelerator should synchronize the details of employees and employee groups. ■ Directory Mappings. Configure how Compliance Accelerator synchronizes employee properties with an external source like Active Directory. ■ Department Partitions. Group departments into partitions to restrict the scope of searches. ■ Department Attributes. Set up attributes with which you can categorize your departments. ■ Settings. Set hundreds of configuration options with which you can customize the appearance and performance of Compliance Accelerator.

Searching for items

This chapter includes the following topics:

- [Creating and running Compliance Accelerator searches](#)
- [About the search criteria options](#)
- [Guidelines on conducting effective searches](#)

Creating and running Compliance Accelerator searches

You can create a search that runs in one department only, or you can create an application-level search that runs in multiple departments. If you want to run searches at set times or set up recurrent searches, you can create search schedules. Create the schedule before you create the search.

You must have the Search Capture permission to create a search that runs in one department only. You require the Application Search permission to create application-level searches. By default, users with the department role of Rule Admin or exception reviewer have the first permission. Users with the application role of App User Admin have the second permission.

To create and run a Compliance Accelerator search

- 1 Do one of the following:
 - To create a search that runs in multiple departments, click the **Application** tab in the Compliance Accelerator client.
 - To create a search that runs in one department only, click the **Departments** tab in the Compliance Accelerator client, and then click the required department in the left pane.

- To create a search that runs in a research folder, click the **Research** tab in the Compliance Accelerator client and then click the required folder in the left pane.

If Compliance Accelerator lists a lot of departments and folders, you can filter the list with the fields at the top of the pane.

- 2 Click the **Searches** tab.
- 3 Click **New Search**.

The search properties pane appears.

Search

Context: AMER - VIP

Name:

Based on Search: <No Template>

Search Type: Immediate

☐ Automatically accept search results

☐ Include items already in review

▶ **Sampling**

▲ **Date range**

Date range: Specific date range

From:

To:

▶ **Authors and recipients**

▶ **Search terms**

▶ **Attachments**

▶ **Miscellaneous**

- 4 If you are creating a search that runs in a research folder, and you clicked **All Research** in the left pane, Compliance Accelerator prompts you to select a department with which to associate the search. Make your selection, and then click **Search**.

- 5 Enter the required search criteria.

See [“About the search criteria options”](#) on page 17.

- 6 Click **Save** to start an immediate search or queue a scheduled search to start automatically at the appointed time.

The **Search Details** pane provides the following information:

Archive	Shows the name of the archive that Compliance Accelerator has searched.
Volume	Provides the ID of the volume that holds the archive.
Vault Store	Indicates the type of vault store that contains the archive.
Status	Shows the current status of the search in each archive.
Duration	Shows the amount of time that Compliance Accelerator has taken to search each archive.
Hits	Shows the number of items in each archive that match the search criteria.
Information	Provides details of any errors that occurred.

You can filter the list of archives by selecting an option in the **Show** list. For example, you can filter the archives to show the top 2000 archives by hits, or all archives with a status of "Error". To download the search details as a comma-separated value (CSV) file, click **Download Search Details for All Archives**.

- 7 When the search has completed, choose whether to accept or reject the results. Note the following:
 - Compliance Accelerator does not add the captured items to the review set until you accept the search results. If you did not check **Automatically accept search results**, you must manually accept or reject the results.
 - If you reject the results of a search, Compliance Accelerator deletes the search and results from the database. However, it leaves the actual items in the archives.
 - It is important that search results make sense because, after you accept the search, you cannot undo it.

About the search criteria options

Compliance Accelerator groups the search criteria options into multiple sections, which are described below. Click the arrow icons at the right to expand or collapse the sections.

When you construct a search that contains multiple options, pay attention to how each option interacts with the others in the search properties pane. Compliance Accelerator links all the selected options together with Boolean AND operators rather than OR operators. For example, suppose that you construct a search whose criteria include the following:

- A data range in the **Date range** section
- A search term in the **Search terms** section
- A file extension in the **Attachments** section

The search results contain only those items that match all the search criteria. Compliance Accelerator ignores any items that match some of the search criteria options but not others.

Search section

The Search section identifies the search and specifies when it runs.

Context	Identifies the department or research folder in which the search will run. In the case of an application-wide search, this is <All Departments>.
Name	Specifies a name for the search, such as "Daily Message Capture (London)".
Based on Search	Lets you select an existing search as the basis on which to set the criteria for the new search.
Save results in	<p>If displayed, lets you select a location in which to save the results. Select New folder in <Context> in the drop-down list if you want to specify the details of a new folder in which to save the results.</p> <p>This option is available only when you create a search in a folder that is not linked to any department (you have selected "My Research" in the left pane).</p>

Search Type	<p>Specifies whether the search runs immediately or at a scheduled time. If you select Scheduled, you can specify a period during which the search is to run. You can also choose from one of a number of existing schedules.</p> <p>You can also conduct <i>guaranteed sample searches</i>. Each guaranteed sample search runs at the selected sampling time, which is 1:00 A.M. by default. If the search returns fewer results than your monitoring policy demands, Compliance Accelerator adds randomly-sampled items to the review set to make up the shortfall. In effect, therefore, you can assemble more focused review sets that are weighted towards search-specific results instead of purely randomly-sampled items.</p>
Automatically accept search results	<p>Specifies whether to add the search results to the review set automatically. This option may be useful for any proven searches that you intend to run on a regular basis. If you check Automatically accept search results, you cannot reject the results and change the search criteria. We recommend that you uncheck Automatically accept search results until you have tested that the search returns the expected results.</p> <p>A search that returns an error from any archive is not automatically accepted, regardless of this setting.</p>
Include items already in review	<p>Specifies whether the search results can include the items that you have previously captured and added to the review set. For an immediate search or scheduled search, we recommend that you check this box to ensure that the results include the items that may already be in review from other searches.</p>

Sampling section

The Sampling section lets you sample the search results and add a random selection of items to the review set.

Compliance Accelerator does not deduplicate randomly-sampled items.

Sampling percentage	<p>Specifies the percentage of search results to include in the review set. You can specify fractions, as in 10.25.</p> <p>You may not be able to change the sampling percentage if the owner of department has locked this setting in the department properties.</p>
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Minimum per author	Specifies the minimum number of items per author to include in the review set. If there are no items for an author in the search results, none can be included in the sample. Note that as the authors can be from outside the selected department, you may return more search results than expected.
Absolute limit	Sets an upper limit on the total number of search results to add to the review set. This option takes precedence over any values that you set in the Percentage box and Minimum items per employee box.

Date range section

The Date range section lets you search for items according to when they were sent or received.

Today / Yesterday / Last 7 days / Last 14 days / Last 28 days	<p>Limits the search to items that were sent or received during the selected period. The date ranges are relative to when the search runs, which is today in the case of an immediate search.</p> <p>You may find these options useful when creating a scheduled, recurrent search that runs once every day, week, two weeks, or four weeks. For example, if the search runs once a week, select Last 7 days to limit the range to the days since the search last ran.</p>
Specific date range	Lets you search the items that were sent or received during a longer or more specific period than the other date range options permit. To enter a date, click the options at the right of the From and To boxes and then select the required date. Unlike the other date range boxes, a specific date range remains static and not relative to when the search runs.
Since search last ran	<p>For a scheduled search only, lets you search the new items that have arrived since the last time you ran the search. This option is similar to options such as Today and Yesterday. However, it lets you set an explicit start date for the first run of the search.</p> <p>By default, this option searches from the date of the last run (or the start date for the first search) to the current day minus 1 (that is, up to yesterday).</p>

Authors and Recipients section

The Authors and Recipients section targets the departments for the search and the direction of the items to search. Any departments that you have organized into partitions can only search items to and from departments in the same partition.

Message Route	<p>Specifies the direction in which the items for which you want to search have traveled. You can search for the items that are to or from the selected departments, and for the items that have traveled between the selected departments and other departments.</p> <p>The available message route options can depend on the date range that you have specified and on how Compliance Accelerator has been configured.</p>
Any Of/All Of	<p>Specifies whether to apply the search to any of or all of the selected departments and employees.</p>
Use inheritance, automatically include new departments	<p>For application-wide searches only, lets you specify whether to apply the search to the subdepartments of the selected departments. By default, any new departments that are subdepartments of others automatically inherit any active, recurring searches that you have applied to those departments. This is also true of any existing departments that you move under departments that have recurring searches.</p>
Department tree	<p>Specifies the departments and employees that you want to include in the search. Click the arrows to the left of the department names to expand them and view the nested departments and exception employees.</p> <p>When you select a department, you do not automatically include any exception employees in the department. To search exception employees, you must select each one explicitly.</p>

Freeform email addresses / domains Lets you type one or more email addresses and domains. Type each address or domain on a line of its own to search for the items whose From, To, CC, or BCC field contains any of the addresses or domains. Type all the addresses and domains on a single line to search for items in which they are all present.

Place the minus sign (-) in front of an address or domain to exclude it from the search. To exclude multiple addresses or domains, type them all on a single line.

This field is not available for all possible message routes.

Search terms section

The Search terms section specifies the words or phrases for which Compliance Accelerator should search in the subject lines of items and their bodies. By default, when you search for words in both the subject of an item and its content, Compliance Accelerator finds those items that meet one or both criteria. However, it is possible to set up Compliance Accelerator so that only those items that meet both criteria are found.

Subject	Searches for those items that contain any or all of the specified words or phrases in their subject lines.
Content	Searches for those items that contain any or all of the specified words or phrases in their bodies and any searchable attachments.

The words or phrases that you specify here are highlighted in the **Review** pane when you review the items that this search has found.

Observe the following guidelines when you type the words and phrases:

- Compliance Accelerator searches are case-insensitive.
- If you type multiple words on the same line, Compliance Accelerator treats them as a phrase.
- Type each word on a line of its own if you want to use the **Any of** option or **All of** option to refine the search criteria.

In the following example, Compliance Accelerator joins together the three words with an OR operator ("server OR group OR cluster"). Any item that contains one or more of the words matches the search criteria.

```
Any Of: server
        group
        cluster
```

In the next example, Compliance Accelerator joins together the three words with an AND operator ("server AND group AND cluster"). Only those items that contain all three words match the search criteria.

```
All Of: server
        group
        cluster
```

In the following example, Compliance Accelerator joins together the phrase "server group" and the word "cluster" with an AND operator ("server group AND cluster"). Only those items that contain both the phrase "server group" and the word "cluster" match the search criteria.

```
All Of: server group
        cluster
```

- You must type at least the first three characters of the word or phrase.
- You can append a wildcard character to the end of the word or phrase to represent other characters. An asterisk (*) represents zero or more characters. A question mark (?) represents exactly one character.
- Place a minus sign (-) at the start of a line to indicate that you want to exclude from the search results any items that contain the following word or phrase. For example, the following search term finds the items that contain either of the words "server" and "group" but do not contain the word "cluster" ("server AND NOT cluster) OR (group AND NOT cluster)"):


```
Any Of: server
        group
        -cluster
```

A search term cannot comprise an excluded word or phrase only. When you specify such words or phrases, you must also specify a positive word or phrase that you want to appear in the search results.

- Click **Hotwords** to choose from a list of hotwords and phrases, if you have previously created one.
- Compliance Accelerator ignores any nonalphanumeric characters in the search term, except for those that have special significance, such as the plus sign, minus sign, and question mark.
For example, a search for the term **US@100** may find instances not only of **US@100** but also of **US 100** and **US\$100**. Including nonalphanumeric characters in the search term may therefore return more results than you expect.

Attachments section

The Attachments section lets you search for items with a certain number or type of attachments.

Number Specifies the required number of attachments. The default option, "Does not matter", means that the item can have zero or more attachments. All the other options require you to type one or two values that specify the required number of attachments.

File extensions Specifies the file name extensions of particular types of attachments for which to search. Separate the extensions with space characters. For example, type the following to search for items with HTML or Microsoft Excel file attachments:

`.htm .xls`

This search option evaluates attachments by their file names only; it does not check their file type. For example, suppose that a user changes the file name extension of a `.zip` file to `.zap` and then sends the renamed file as an email attachment. A Compliance Accelerator search for items that have attachments with a `.zip` extension does not find the email with the renamed attachment.

The contents of some attachments may not be searchable because Enterprise Vault has not indexed them. In particular, file formats such as Fax and Voice do not have any indexable content.

For more information on how Compliance Accelerator conducts searches in which you have specified file name extensions, see the following article on the Symantec Enterprise Support site:

<http://www.symantec.com/docs/TECH191321>

Miscellaneous section

The Miscellaneous section lets you search for items of a certain size and type or that have the specified retention category.

Message size Specifies the size in kilobytes of each item for which to search, as reported by the message store (Microsoft Exchange, Lotus Domino, and so on). The item size includes the size of any attachments.

Message type	<p>Searches for items of the selected types. This option is only available if:</p> <ul style="list-style-type: none"> ■ Your Enterprise Vault server is running Enterprise Vault 5.0 or later. ■ You have specified a date range that does not include a date before you installed Enterprise Vault 5.0.
Retention category	<p>Searches for items to which Enterprise Vault has assigned the selected retention categories.</p>

Policies section

The Policies section lets you search for items according to the tags with which any additional policy management software has classified them.

Policy	<p>Lets you search for the items that match certain classification policies. There are several types of policies:</p> <ul style="list-style-type: none"> ■ Inclusion. Any item that your policy management software has classified for inclusion in the review set may be guilty of the most serious offenses, such as swearing, racism, or insider trading. You would normally want to ensure that the items exhibiting any of these features were included in your review set. ■ Exclusion. Spam items and newsletters are typical examples of the items that your policy management software may classify for exclusion from the review set. ■ Category. Your policy management software may categorize the items that exhibit certain characteristics, such as containing Spanish text. This type of policy provides no information on whether an item should be included in or excluded from the review set.
--------	---

These policy types are not mutually exclusive. Your policy management software may apply multiple policies of different types to the same item.

Select the required policy type and then check the names of the policies for which you want to search. Alternatively, you can select **Custom** as the policy type and then type the names of one or more policies. Separate multiple policy names with commas, like this:

CustomPolicy1,CustomPolicy2

If you choose to search for multiple policies, the search results will contain items that match any one of the policies.

Filter policies by current department

Lets you omit from the list those policies that are not in use in the current department.

Guidelines on conducting effective searches

For the best results when conducting searches, follow these guidelines:

- Make searches precise. For example, include the author or recipient details, or specify date ranges.
- In the properties of the department, limit the number of searchable vault stores.
- Only use wildcards when necessary, as they can severely affect performance.
- Avoid overusing search terms. Thousands of terms can cause iterative searches.
- Ensure that scheduled searches do not run at the same time as system backups.
- Quickly accept or reject searches to avoid filling and slowing the database.
- Test new searches in research folders, and then delete the folders as necessary.

Although intended for Discovery Accelerator users, the *Effective Searching* white paper provides information that you may find useful when you conduct searches with Compliance Accelerator. This white paper is available from the following page of the Symantec Enterprise Support site:

<http://www.symantec.com/docs/HOWTO77131>

Manually reviewing items

This chapter includes the following topics:

- [About reviewing with Compliance Accelerator](#)
- [About the Review pane](#)
- [Filtering the items in the Review pane](#)
- [Assigning review marks to items](#)
- [Adding comments to items](#)
- [Viewing the history of items](#)
- [Displaying printable versions of items](#)
- [Downloading the original versions of items](#)
- [Copying the item list to the Clipboard](#)
- [Escalating items](#)
- [Changing how the Review pane looks](#)
- [Setting your Review pane preferences](#)

About reviewing with Compliance Accelerator

After you have performed a search and gathered together the potentially relevant items, selected individuals can review the search results. These reviewers read each item, select the appropriate status mark to assign to it, and add a comment as necessary. Items can be reviewed more than once, and other reviewers can add more comments or change the assigned mark.

If you assign supervisors to departments, they can assess the marks and comments that reviewers have applied and add appraisal marks and comments.

A standard Compliance Accelerator system comes with a number of predefined reviewing roles: department reviewer, escalation reviewer, exception reviewer, and passive reviewer. These roles have the following characteristics:

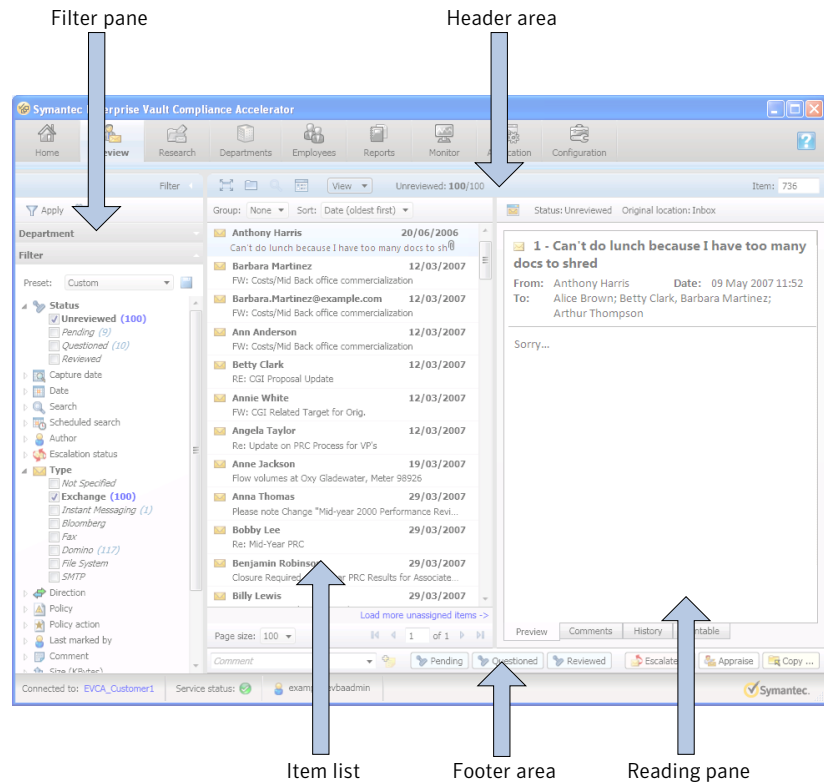
- All roles except the passive reviewer role permit a user to assign review marks to items.
- Passive reviewers can view items and review history, but they cannot assign or change review marks. However, passive reviewers can assign appraisal marks to the items that other users have reviewed.
- Exception reviewers can view the items of their assigned exception employees only.
- Escalation reviewers can receive items that other reviewers in the department have escalated to a higher authority for further review.

To access the Review pane

- ◆ Click the **Review** tab in the Compliance Accelerator client.

About the Review pane

The Review pane lets you review and mark the items in a review set. The pane is divided into the following areas:



Header area

The header area provides options for customizing the view and selecting different items to display.



Maximizes the Review pane by hiding the button bar across the top of the Compliance Accelerator window. Click the button again to restore the button bar.



Lets you view the items that you have copied to a research folder for further investigation.

See [“About research folders”](#) on page 45.





Lets you perform a search that is based on the currently selected item.



Sets your preferences for the Review pane.

See [“Setting your Review pane preferences”](#) on page 42.

View	Lets you hide or change the position of the Reading pane and set the size of the text to display in it.
Unreviewed	Shows the number of items in the list that you have yet to review.
Item	Shows the Compliance Accelerator ID of the highlighted item. If you know the ID of an item that you want to review, type it here and then press the Enter key to display the item.
Group	<p>Groups the items in the list by date, author, subject, or the policy action with which policy management software has tagged them.</p> <p>Display or hide the items in a group by clicking the down-arrow or up-arrow button at the left.</p>
Sort	In lists where you have chosen not to group the items, lets you sort the items by date, author, subject, or policy action.
	Downloads the current item in its original form and opens it in the appropriate application. You can also download an item by right-clicking the item and then clicking View original .
	Sends the current item for printing.
Mark	Shows the mark that is assigned to the current item.
Status	Shows the status of the current item.

Filter pane

The filter pane provides a large number of criteria by which you can filter the items in the list. The number next to each filter option shows the number of matching items that Compliance Accelerator will add to the item list when you apply the selected filters.

See [“Filtering the items in the Review pane”](#) on page 32.

Item list

The item list shows the items in the review set that match the filter options you have selected. Unreviewed items display in bold text.

Note: Compliance Accelerator stores the date and time values for items as Coordinated Universal Time (UTC). However, in the item list and right-hand Preview pane, it converts these values according to your computer's local time zone setting. As a result, two Compliance Accelerator reviewers in different time zones may see different dates and times for the same items.

This is the expected behavior, and it is identical to the way that applications like Microsoft Outlook show the dates and times of items.





Reading pane

The tabs at the bottom of the Reading pane have the following functions:

Preview	Displays an HTML preview of the current item.
Comments	Shows the comments that reviewers have assigned to the current item.
History	Displays the comment and audit history of the current item.
Printable	Displays a printable version of the current item.

Footer area

The footer area provides facilities for navigating from one item to another and applying marks and comments to those items.

	Displays the first page of items for review.
	Displays the previous page of items for review. Pressing the key sequence Alt+z performs the same function.
<i>n of m</i>	Shows the number of the currently displayed page and the total number of pages. To go to a particular page, type its number in the box and then press Enter.
	Displays the next page of items for review. Pressing the key sequence Alt+x performs the same function.
	Displays the last page of items for review.

Comment

Lets you type a comment to add to the selected items.

In the item list, the comment indicator symbol in the **Comment Present** column indicates that one or more comments have been added to the items.

Pending/Questioned/
Reviewed

Applies the required mark to the selected items.

You can mark several items at once if you have Apply Bulk Review Action permission.



If displayed, lets you assign the selected items to one or more escalation reviewers for further audit and review.



If displayed, lets a compliance supervisor mark an item as having being appraised.



If displayed, lets you delete one or more items from the review set.



If displayed, lets you commit to the review set either the selected items or all the items in the research folder for other reviewers to see.



If displayed, lets you assign an escalated item to another escalation reviewer.



If displayed, lets you close an escalated item once you have finished work on it. A closed item is still visible to other escalation reviewers, but they can only perform actions on it if a department reviewer re-escalates the item.



If displayed, lets you select a folder in which to copy either the selected items or all the items in the current review set.

Filtering the items in the Review pane

The options at the left of the Review pane provide a large number of criteria with which you can filter the items for review.

To filter the items in the Review pane

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



Escalation Review mode is available to escalation reviewers only. It lets these reviewers view and mark the items that other reviewers have escalated to them for further attention.











- 2 In the **Department** drop-down list at the top of the filter pane, select the department or folder for which you want to display the items in the review set.
- 3 In the **Items** drop-down list, select a group of items that you want to review. The options are as follows:







Temporary Assignment	This option lets you reserve the specified number of items in the review set. Other reviewers cannot see these items until you have finished work on them.
All Items	<p>This option lets you view all the items in the review set, even if they have been assigned to other reviewers.</p> <p>You may duplicate the work of other reviewers if you use this option. Therefore, we recommend that you select this option only if there are no other reviewers working alongside you, or you want to browse the items without marking them.</p>

- 4 In the **Filter** section, select the *facets* (item classifications) that you want to apply. To show the available values, click the facet name or the arrow at the left of the name.

The following table lists all the available facets in alphabetical order.

 Author	Selects items by the name of the person who sent them.
 Capture date	Selects items that Compliance Accelerator has captured over the specified period.

	Capture method	<p>Selects items by the method that Compliance Accelerator has used to capture them and add them to the review set. The options are as follows:</p> <ul style="list-style-type: none"> ■ Search. Selects items that have been captured as a result of searches. ■ Random Sampling. Selects items that Compliance Accelerator has captured and added to the review set according to your designated monitoring policy. ■ Ad-hoc. Selects items that have been added to research folders. ■ Guaranteed Sample Search. Selects the results of guaranteed sample searches.
	Comment	Selects items to which reviewers have added comments.
	Date	Selects items by the date on which they were created.
	Direction	<p>Selects items that have traveled in the specified direction. The options are as follows:</p> <ul style="list-style-type: none"> ■ Internal. Selects items where the author and all recipients are internal to your organization. ■ External Inbound. Selects items where the author is external to your organization and at least one recipient is internal. ■ External Outbound. Selects items where the author is internal to your organization and at least one recipient is external.
	Escalated by	Selects items by the person who escalated them to an escalation reviewer for further attention.
	Escalation owner	Selects items by the escalation reviewer who has responsibility for them.
	Escalation status	Selects items by whether they have been escalated to an escalation reviewer or subsequently closed by that reviewer.
	Last marked by	Select items by the reviewer who last assigned a mark to them.
	Number of attachments	Selects items by the number of attachments that they have.
	Policy	Selects items by the policy with which your policy management software has tagged them.

	Policy action	<p>Selects items by the policy action with which your policy management software has tagged them. This action can be one of the following:</p> <ul style="list-style-type: none"> ■ Include (demands or suggests capture in the review set). ■ Exclude (precludes capture or advocates non-capture in the review set).
	Scheduled search	Selects items that one or more scheduled searches have captured.
	Search	Selects items that one or more searches have captured.
	Size (KBytes)	Selects items by their size in kilobytes.
	Status	Selects items by their status, such as Pending, Questioned, or Reviewed.
	Type	Selects items by their type.

Note the following:

- Each facet value is a hyperlink that, when clicked, selects that value and immediately filters the item list accordingly. Click the facet value again to remove it from the filter.
If you have already selected one or more values within the same facet, clicking another one deselects the others. However, it does not affect any values that you have selected within other facets.
- The numbers next to the facet values show the number of matching items. After you apply the filter, Compliance Accelerator updates these numbers to show how many of the items are now in the item list. For example, the values for the Author facet initially show the number of matching items in the entire review set. If you then set the value of the Status facet to Unreviewed and apply this filter, the Author values are updated to show only the number of unreviewed items for each author.
Facet values that are shown in an italicized font do not have any matching items in the current item list.
- When you select two or more values for a facet, Compliance Accelerator looks for items that match any of the values. For example, you can choose to view all the items that have a status of Pending or Questioned by selecting both values.
When you select values for two or more different facets, Compliance Accelerator looks for items that match all the facets. For example, selecting

the status value Pending and the type value Exchange matches only those items that have a status of Pending and a type of Exchange.

- When a facet has a large number of possible values, Compliance Accelerator displays an abbreviated list of the most relevant values. You can add more values to the list by clicking the blue hyperlinks at the end of the list.
- If you frequently use the same facet settings to filter the items in the Review pane, you can save them as a preset by clicking the **Save** button at the right of the **Preset** box. Then you can quickly apply the settings by selecting the preset from the drop-down list.
- You can apply marks to items by right-clicking the facet values. For example, to mark all the items by a particular author, right-click the author's name in the list and then click **Mark all items**.

5 Click **Apply** at the top of the filter pane.

Assigning review marks to items

As part of the review process, you assign a status mark to each message to indicate that you have reviewed it and have no concerns—or conversely, that you do have some concerns, and therefore want to question the message.

The permissions that are assigned to you determine whether you can assign a status mark to more than one message at a time. If you have the Apply Bulk Review Action permission, you can mark several messages at once, whereas the Apply Review Action permission limits you to marking the messages one at a time. By default, compliance supervisors, department reviewers, and exception reviewers have both permissions.

Tips:

- In the item list, the headers of unreviewed items display in bold text.
- You can quickly mark all the items that match a certain filter option by right-clicking that option in the left pane and then selecting the required mark.
- If you right-click an item in the list view, you can access additional commands for bulk-marking the items in the review set.

To assign a review mark to an item

- 1 In the Review pane, select the items that you want to mark.

To select multiple adjacent items, click the first item, and then hold down the Shift key and click the last item. To select nonadjacent items, click the first item, and then hold down the Ctrl key and click additional items. To select all the items, press Ctrl+A.
- 2 Click the required mark at the bottom right of the pane. After a few moments, Compliance Accelerator changes the status of the items accordingly.

Adding comments to items

As well as assigning a review mark to an item, you can add a comment to it.

The permissions that are assigned to you determine the types of comments that you can add. If you have the Add Own Review Comments permission, you can add comments in your own words. If you have the Add Standard Review Comments permission, you can select the comments to add from a predefined list. By default, users with the role of compliance supervisors, department reviewers, and exception reviewers have both permissions.

To add a comment to an item

- 1 In the Review pane, select one or more items to which you want to add a comment.
- 2 In the **Comment** box at the bottom of the pane, type a new comment or choose from a list of predefined comments, depending on your permission level.
- 3 Click the button at the right of the **Comment** box.

Compliance Accelerator displays a comment indicator in the **Comment present** column of the item list to show that you have added the comment.

Click the **Comments** tab at the bottom of the Reading pane to view the comments assigned to an item. You can also customize the item list columns to add a column that shows the comments on items.

Viewing the history of items

Compliance Accelerator provides ready access to historical information on a selected item, such as the dates and times at which the reviewers assigned marks and comments to it.

To view the history of an item

- 1 In the Review pane, select the item whose history you want to view.
- 2 Click the **History** tab at the bottom of the Reading pane.
Compliance Accelerator displays the following details:
 - The subject, date, and details of the sender and recipients.
 - The item type, such as Microsoft Exchange or Bloomberg, and its direction (Internal, ExternalInbound, or ExternalOutbound).
 - The department in which Compliance Accelerator captured the item.
 - When and how Compliance Accelerator captured the item.
 - The ID of the item within Compliance Accelerator.
 - The original location from which the item was archived.
 - The status history of the item, including the reviewers who marked the item and the date and time at which they did so.
 - If you have the appropriate permissions, additional information on when the item was appraised or escalated.
 - Any policy and policy action with which your policy management software has tagged the item.

Displaying printable versions of items

You can display the contents of items in a form that is suitable for printing.

To display a printable version of an item

- 1 In the Review pane, select the item that you want to print.
- 2 Click the **Printable** tab at the bottom of the Reading pane.
Compliance Accelerator displays a printable version of the item.
- 3 Click the **Print** button at the top of the Reading pane to send the item for printing.

Downloading the original versions of items

As well as viewing an HTML rendering of an item, you can download it in its original form to your computer. Note that downloaded items do not include any audit information, such as the comments that reviewers have assigned to them. If you want to obtain both an item and its audit information, you must export it from Compliance Accelerator.

You must have the Review Messages permission to download items. By default, all reviewers and supervisors have this permission.

To download the original version of an item

- ◆ In the Review pane, do one of the following:
 - Click the item that you want to download and then click the **View original item** button above the Reading pane.
 - Right-click the item and then click **View original**.

Compliance Accelerator downloads the item to your computer and displays it using the appropriate application.

Copying the item list to the Clipboard

You can copy one or all of the rows in the item list to the Windows Clipboard, and then paste them into a spreadsheet application like Microsoft Excel. The copied information includes additional information that Compliance Accelerator does not display in the list, such as the Enterprise Vault saveset identity of each item. Regardless of whether you have chosen to hide some of the columns in the item list, all the information is copied.

To copy the item list to the Clipboard

- 1 In the Review pane, do one of the following:
 - To copy a single row in the item list, right-click it and then click **Copy items details to clipboard**.
 - To copy all the rows, first press Ctrl+A to select them all. Then right-click and click **Copy items details to clipboard**.
- 2 Open the application in which you want to paste the information.
- 3 Paste the information in the normal way.

Escalating items

Compliance Accelerator lets you escalate an item that you are reviewing to one or more higher authorities, called *escalation reviewers*, for further attention. After you have escalated an item, you can continue to perform the reviewing actions on it that your permissions allow. For example, if you have the required permissions, you can assign a review mark or add a comment to an escalated item. However, you cannot escalate the item again until an escalation reviewer chooses to close the escalation.

All escalated items are visible to all escalation reviewers.

You must have the Escalate Messages permission to escalate items. By default, department reviewers and exception reviewers have this permission.

To escalate an item

- 1 In the Review pane, select one or more items that you want to escalate.
- 2 Click the **Escalate** button at the bottom right of the pane.
- 3 Select one or more escalation reviewers to whom you want to assign the items. If you choose the **[Default]** option, Compliance Accelerator assigns the items to the default nominees for escalations within the department.
- 4 Click **OK**.

Assigning escalated items to other escalation reviewers

If you are an escalation reviewer, you can reassign an item that has been escalated to you so that another escalation reviewer has ownership of it. Note that having ownership of an escalated item does not prevent any other escalation reviewer from working on it. However, as Compliance Accelerator lets you filter the review set by escalation owner, you may find that reassigning ownership helps you to sift out the items that do not interest you.

To assign an escalated item to another escalation reviewer

- 1 In the **Mode** drop-down list at the left of the Review pane, ensure that **Escalation review** is selected.
- 2 Select one or more items that you want to assign to another reviewer.
- 3 Click the **Assign to another reviewer** button at the bottom right of the pane.
- 4 Select one or more escalation reviewers to whom you want to assign the items. If you choose the **[Default]** option, Compliance Accelerator assigns the items to the default nominees for escalations within the department.
- 5 Click **OK**.

Closing escalated items

If you are an escalation reviewer, you can close escalated items after you have finished work on them. A closed item is still visible to other escalation reviewers, but they can only perform actions on it after a department reviewer has reescalated it.

To close an escalated item

- 1 In the **Mode** drop-down list at the left of the Review pane, ensure that **Escalation review** is selected.
- 2 Select one or more items that you want to close.
- 3 Click the **Close** button at the bottom right of the pane.

Changing how the Review pane looks

You can customize the appearance of the Review pane to suit the way you work and help you find items quickly.

Table 3-1 How to customize the Review pane

To do this	Do this
Expand the Review pane to occupy the available space	Click the Expand Reviewing Screen button above the item list.
Change the position of the Reading pane.	<p>Click View above the item list, and then point to Reading Pane Layout and select the required position.</p> <p>You can position the Reading pane at the bottom or right of the main window, or detach it from the main window and display its contents in a new window.</p>
Change the size of the text in the Reading pane.	Click View above the item list, and then point to Size of Reading Pane Text and select the required size.
Hide or show columns in the item list.	Right-click any column heading in the item list and then point to Select columns and select the columns to hide or show. Then click Apply changes .
Sort the items in the item list.	<p>Click a column heading in the item list to sort the items by the entries in the column.</p> <p>The direction of the arrow in the column heading indicates whether the entries are sorted in ascending or descending order.</p>

Table 3-1 How to customize the Review pane *(continued)*

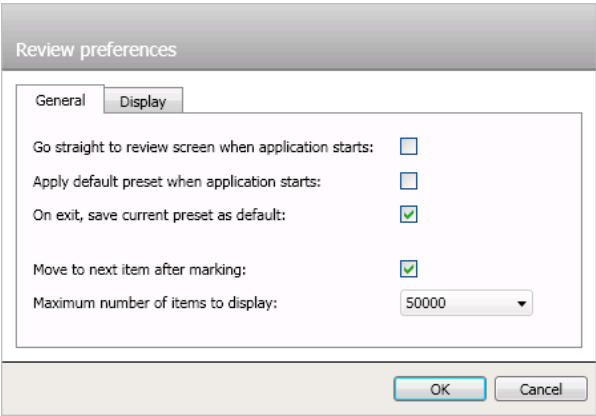
To do this	Do this
Group the items by date, author, subject, or policy action.	Select the required option in the Group box above the item list. Display or hide the items in a group by clicking the arrow at the left of the group.
Specify the maximum number of items to display per page.	In the Page Size box below the item list, select the required number of items.

Setting your Review pane preferences

Compliance Accelerator provides extensive facilities with which you can customize the appearance and operation of the Review pane.

To set your Review pane preferences

- 1
- Click the **Review Preferences** button in the header area of the Review pane.
The Review preferences dialog box appears.



- 2
- Select your required options on the **General** tab. The options are as follows:
- Go straight to review screen when application starts

When selected, lets you proceed directly to the Review pane when you start Compliance Accelerator.
- Apply default preset when application starts

When selected, applies the default filter options to the items in the item list.

On exit, save current presets as default	When selected, saves the current filter options as the default options for the Review pane.
Move to next item after marking	When selected, causes Compliance Accelerator to display the next item in the list automatically when you mark an item.
Maximum number of items to display	Sets a limit on the number of items that you can display in the Review pane.

3 Select your required options on the **Display** tab. The options are as follows:

Font	Sets the font to use for all buttons and labels in the Review pane.
Item list font	Sets the font to use in the item list.
Reading pane font	Sets the font to use in the Reading pane.
Item list display type	<p>Specifies whether Compliance Accelerator displays the items in the list in a single-line layout or multiline layout. The multiline layout displays item information over two lines. The first line displays the sender, and the second line displays the text from the Subject box of the item header.</p> <p>If you select Automatic, Compliance Accelerator automatically switches to the multiline layout when there is insufficient screen space to display a header in a single line.</p>
Highlight search terms in reading pane	Turns on or off highlighting for search terms.
Use pop-up for text input	Determines what happens when you type characters in the text input boxes in the Review pane, such as the Comment box. When this option is checked, Compliance Accelerator displays the characters in a separate pop-up window as you type them. This lets you view all the characters at once, instead of hiding older characters as you type new ones.
Hide text on action buttons	When selected, removes the text labels from the action buttons that are below the Preview pane.

Show original location in reading pane

When selected, provides additional information above the Preview pane on the location from which the current item was archived.

4 Click **OK**.

Working with research folders

This chapter includes the following topics:

- [About research folders](#)
- [Creating research folders](#)
- [Reviewing the items in research folders](#)
- [Exporting items from research folders](#)
- [Giving other users access to your research folders](#)
- [Copying items to research folders](#)
- [Committing research folder items to the department review set](#)

About research folders

By creating one or more research folders, you can work privately on the items that interest you without generating additional work for other reviewers. For example, suppose that you are pursuing an alleged instance of insider trading. Rather than add a large number of search results to the review set, where they are visible to other reviewers, you can conduct the searches from a research folder and store the results there. Then you can review and mark the items in the normal way, or export them for offline review.

Finally, when you have finished with the items, you can commit them to the department review set for other reviewers to see.

Where necessary, you can give other users access to your research folders so that they can collaborate in the review process. The permissions that you grant these

users determine whether they can export items from the folder, search for more items to add to it, and review and mark the items.

Creating research folders

Compliance Accelerator provides several methods for creating folders. In addition to the method described below, you can also create new folders when you define the criteria for searches, accept the search results, and review items.

To create a research folder

- 1 Click the **Research** tab in the Compliance Accelerator client.
- 2 In the left pane, click **All Research**.
- 3 Click **New** at the top of the window.

The folder properties pane appears.

Folder

Name:

Department:

Export details

Item ID padding:

Item ID prefix: [Show Example](#)

Output folder:

[Save](#) [Cancel](#)

- 4 In the **Name** box, type a name for the folder.
- 5 In the **Department** box, select the department with which to associate the folder. You must have the Perform Ad Hoc Searches permission in this department.

- 6 Specify a location in which you want to store any items that you export from the folder.
- 7 Click **Save**.

Reviewing the items in research folders

You review the items in a folder in exactly the same way that you review the items in the review set.

In each case, you can apply review marks and comments to the items, and you can escalate them to an escalation reviewer for further consideration. However, you cannot mark the items in a folder as Appraised.

You must have the Review permission in the folder to review the items in it. By default, users with the Folder Full Control or Folder Review role have this permission.

To review the items in a research folder

- 1 Click the **Research** tab in the Compliance Accelerator client.
- 2 In the left pane, click the folder whose items you want to review.
- 3 Click the **Properties** tab.
- 4 Click **Go To Review**.
- 5 In the Review pane, review the items as you normally would do.

See [“About the Review pane”](#) on page 28.

Exporting items from research folders

If you want to review items offline or present them in evidence to a third party, you must export them. You can export the items in several different formats, including PST, Domino NSF database, HTML, and MSG. If you export to HTML, you can export review marking information along with each item.

Exporting does not affect the status of items, and you can continue to work on those that you have exported.

You must have the Export Messages permission in the folder to export items from it. By default, users with the Folder Full Control or Folder Export role have this permission.

To export the items from a research folder

- 1 Click the **Research** tab in the Compliance Accelerator client.
- 2 In the left pane, click the folder from which you want to export some items.

- 3 Click the **Export** tab.
- 4 Click **New**.
- 5 Enter the required run details and filter information.

Compliance Accelerator exports items to a folder on the Compliance Accelerator server rather than to a folder on the computer where you are running the client. If you use the same output folder and export run name for multiple runs, Compliance Accelerator overwrites the report summary each time. It is therefore advisable to give each run a different name.

The output folder path can contain up to 100 characters.
- 6 Click **Apply**.
- 7 Click **OK** to export the specified number of items.
- 8 Wait a few moments for processing to finish, and then browse to the output folder on the Compliance Accelerator server to retrieve the exported items.

Giving other users access to your research folders

You can give other users access to your folders by assigning roles to them. For example, anyone who wants to review and mark the items in a folder must have the Review role in that folder. Other roles permit users to export items from the folder and search for new items to add to it. The Full Control role combines all these permissions in one role.

You must have the Role Assignment permission in the folder to give other users access to it. By default, users with the Folder Full Control role have this permission.

To give another user access to a research folder

- 1 Click the **Research** tab in the Compliance Accelerator client.
- 2 In the left pane, click the folder to which you want to give access.
- 3 Click the **Role Assignment** tab.
- 4 Click the name of the user to whom you want to assign a role.

If the user does not appear in the list, click **Add** at the top of the pane and then select the user to add to it.
- 5 In the right pane, do one of the following:
 - Click **Add** to assign a new role.
 - Click **Remove** to remove the selected role.
- 6 Click **Save**.

Copying items to research folders

You can copy items from the review set to a personal folder for further research. You can then review and mark the items, export them for offline review, search for more items that are related to the copied ones, and more.

You must have the Perform Ad Hoc Searches permission in the department to copy items from its review set to your folder. By default, compliance supervisors, department reviewers, and exception reviewers have this permission.

To copy an item to a research folder

- 1 In the Review pane, select one or more items that you want to copy to a folder.
To select multiple adjacent items, click the first item, and then hold down the Shift key and click the last item. To select nonadjacent items, click the first item, and then hold down the Ctrl key and click additional items. To select all the items, press Ctrl+A.
- 2 Click **Copy** below the preview pane.
- 3 Select the destination folder to which you want to copy the items.
- 4 Choose to copy the selected items only or all the items in the review set.
- 5 Click **Copy**.

Committing research folder items to the department review set

Having worked on the items in a research folder, you can commit them to the department review set for all other Department Reviewers to see. As well as the items themselves, Compliance Accelerator commits all the review marks, appraisal marks, and comments that you have applied to them. In fact, you can only commit items that you have marked in some way. Items with a status of Unreviewed are not yet ready to be committed.

You must have the Commit Appraised Folder Messages or Commit Reviewed Folder Messages permission in the folder, depending on the type of item you want to commit. By default, users with the Full Control or Commit Messages role have this permission.

To commit research folder items to the department review set

- 1 Click the **Research** tab in the Compliance Accelerator client.
- 2 In the left pane, click the folder whose items you want to commit.
- 3 Click the **Properties** tab.

- 4 Click **Go To Review**.
- 5 In the Review pane, select one or more items that you want to commit.

To select multiple adjacent items, hold down the Shift key and click the first and last item in the range. To select multiple, nonadjacent items, hold down the Ctrl key and click the required items.
- 6 Click the **Commit items from the folder to the department** button below the preview pane.
- 7 Choose whether to commit all the review marks, appraisal marks, and comments that you have applied to the items as well as the items themselves.

You can also choose whether to commit the selected items only or all the items in the department, and whether to remove the items from the folder after you have committed them to the department review set.
- 8 Click **Commit**.

Exporting items

This chapter includes the following topics:

- [Performing an export run](#)
- [About the limits on the number of simultaneous export runs](#)
- [Exporting items from the review set of an exception employee](#)
- [Making the export IDs visible in Microsoft Outlook](#)

Performing an export run

If you want to review items offline or present them in evidence to a third party, you must export them from Compliance Accelerator. There are several output formats from which to choose, including PST, Domino NSF database, HTML, and MSG. Exporting the items as HTML lets you export review marking information along with each item.

As well as exporting the selected items, Compliance Accelerator also outputs some reports in HTML, plain-text, and XML formats. All three reports list the items that you have exported, and the HTML report provides hyperlinks to the items.

You must have the Export Messages permission to export items from a department. By default, all the reviewers and supervisors in the department have this permission. However, the option to export escalated items is available to those with the Export Escalations permission only. By default, only users with the role of escalation reviewer have this permission.

To perform an export run

- 1 Click the **Departments** tab in the Compliance Accelerator client.
- 2 In the left pane, click the department from which you want to export items.

If Compliance Accelerator lists a lot of departments, you can filter the list with the fields at the top of the pane. As well as filtering the departments by name, you can choose whether to list any research folders that are associated with them.

- 3 Click the **Export** tab.
- 4 Click **New** at the top of the window.

The Export Details pane appears.

The screenshot shows a software interface with two main panes. The top pane is titled 'Export Details' and contains two text input fields: 'Name:' and 'Output folder:'. The 'Output folder:' field contains the text 'C:\Compliance Accelerator Export\EVCA_Customer1'. The bottom pane is titled 'Items Selection' and contains several fields and checkboxes. The 'Item ID:' field is empty. The 'Message type:' section has checkboxes for 'Microsoft Excha...', 'Instant Messagi...', 'SMTP', 'Domino', 'Bloomberg', 'Unspecified/Pre...', 'File system', 'Fax', and 'Sharepoint'. The 'Message direction:' field is a dropdown menu set to 'All'. The 'Capture method:' field is a dropdown menu set to 'All'. The 'Policy Action:' section has checkboxes for 'Include', 'Exclude', 'No Action', and 'Not Specified'. The 'Date captured:', 'Search:', 'Current action status:', 'Current action status author:', 'Escalation Status:', and 'Escalation owner:' fields are all dropdown menus set to 'All'. At the bottom right of the interface are 'Apply' and 'Cancel' buttons.

- 5 In the **Name** box, type a name for the run.

The name that you specify here becomes the name of the subfolder in which Compliance Accelerator stores the output from the run.

- 6 In the **Output folder** box, type the path to the folder on the Compliance Accelerator server in which you want to store the output from the run.

The folder path can contain up to 100 characters.

Compliance Accelerator places the output from the run in a subfolder of the nominated folder.

- 7 In the **Items Selection** box, choose the items that you want to export.

The options are as follows:

Item ID	Specifies the ID of an individual item that you want to export. To determine the ID of an item, view the item in the Review pane.
Message type	Selects items by their type, such as Microsoft Exchange or Fax.
Message direction	Selects items that are traveling in a certain direction.
Capture method	Selects items that have either been captured and added to the review set using the monitoring policy (Randomly Sampled) or captured as a result of searches (Search).
Policy action	<p>Selects items by the policy action with which your policy management software has tagged them.</p> <p>This action can be one of the following: Inclusion (demands or suggests capture), Exclusion (precludes capture or advocates non-capture), and No Action (the item is subject to normal random sampling).</p>
Date captured	Selects items that Compliance Accelerator captured over the specified period.
Search	Selects items that the specified search has captured.
Current action status	Selects items by their action status, such as Unreviewed, Pending, Questioned, or Reviewed.
Current action status author	Selects items by the person who last assigned a review mark to them.
Escalation status	Selects items by whether they have been escalated to an escalation reviewer and subsequently closed by that reviewer.
Escalation owner	Selects items by the escalation reviewer who has responsibility for them.
Escalated by	Selects items by the person who escalated them to an escalation reviewer for further attention.
Current appraisal status	Selects items by whether a supervisor has appraised them. This option is only visible to supervisors with Apply Appraisal Status permission.
Current appraisal status author	Selects items by the supervisor who last assigned a mark to them. This option is only visible to supervisors with Apply Appraisal Status permission.

Policy	Selects items by the specific policy with which your policy management software has tagged them.
--------	--

- 8 Check **Include journal recipients in reports** if you want the export reports to include recipient information from the journal envelope (P1) of Microsoft Exchange journal items. This lists all the recipients of each item, regardless of their placement in the To, CC and BCC fields.

Compliance Accelerator does not include recipient information from Lotus Domino journal items.

- 9 Choose whether to export the items in their original format or as HTML.

If you click **Original Type**, you can choose to output Microsoft Exchange items as individual MSG files or encapsulate them all in a single Personal Folders (.pst) file.

If you click **PST**, Compliance Accelerator displays some additional options with which you can set a password and a maximum size for the file. The password can contain alphanumeric characters only. The default size of the file is 600 MB, and it cannot exceed 1.5 GB.

If you click **HTML**, Compliance Accelerator displays some additional options with which you can choose to include comments and mark history, and the contents of attachments.

- 10 In the **Number of items to export** box, type the required number of items. Note that Compliance Accelerator exports the oldest items. For example, if you choose to export 100 items, Compliance Accelerator exports the 100 oldest items that match the selected options.

- 11 If you are exporting file system items or Lotus Domino items and want to make them read-only so that they cannot be changed or accidentally deleted, check **Read Only**.

- 12 Click **Apply**.

- 13 When the run has finished, open the output folder on the Compliance Accelerator server to retrieve the exported items. This folder also includes the reports that list the items that you have exported.

About the limits on the number of simultaneous export runs

By default, you can undertake up to four runs simultaneously. When you try to perform additional runs, Compliance Accelerator holds them in a queue until it

has completed some of the active runs. Then it undertakes the additional runs in the order in which you initiated them. If you need to perform a high-priority run while the maximum number of runs is already in progress, you can ask a Compliance Accelerator administrator to stop one of those runs so that yours can start.

Compliance Accelerator administrators can change the maximum number of simultaneous runs that it is possible to undertake by setting the following **Export/production** configuration options:

- Number of production threads per production run
- Total number of production threads per customer

To access these configuration options, click the **Configuration** tab in the Compliance Accelerator client, and then click the **Settings** tab. The maximum number of simultaneous runs that you can undertake is the "Total number of production threads per customer" divided by the "Number of production threads per production run".

Exporting items from the review set of an exception employee

The procedure for exporting the items from the review set of an exception employee differs a little from the standard export procedure.

To export items from the review set of an exception employee

- 1 Click the **Departments** tab in the Compliance Accelerator client.
- 2 In the **Departments** pane at the left, check the filter option **Show Exceptions**.
- 3 Click the name of the exception employee whose items you want to export.
- 4 Click the **Export** tab.
- 5 Create a new export run in the normal way.
- 6 When the run has finished, browse to the output folder to retrieve the exported items.

Making the export IDs visible in Microsoft Outlook

When you view exported Personal Folders (.pst) files in Microsoft Outlook, you may find it helpful to see the export ID that Compliance Accelerator has assigned to each item. You can do this by adding a custom column to the view in Outlook.

To make the export IDs visible in Microsoft Outlook

- 1** Open the exported .pst file in Outlook.
- 2** Right-click the column headers in Outlook, and then click **Field Chooser**.
- 3** Click **New**.
- 4** In the **Name** box in the New Field dialog box, type **Export ID**, and then click **OK**.
- 5** Close the Field Chooser dialog box.
- 6** Right-click the column headers in Outlook, and then click **Customize Current View**.
- 7** Click **Fields** and then, in the **Select available fields from** list, select **User-defined fields**.
- 8** Add the **Export ID** field to the list of displayed fields, and then click **OK** twice to close the dialog boxes.

Creating and viewing reports

This chapter includes the following topics:

- [About the Compliance Accelerator reports](#)
- [Creating Compliance Accelerator reports](#)
- [Available Compliance Accelerator reports](#)
- [Viewing existing reports](#)
- [Deleting reports](#)

About the Compliance Accelerator reports

Compliance Accelerator provides extensive facilities for reporting on the roles and responsibilities of your Compliance Accelerator users and on the progress that reviewers and supervisors have made.

Besides printing the reports, you can export them in a number of formats, including XML, comma-separated values (CSV), Acrobat (PDF), Web archive (MHTML), Excel, and TIFF.

Creating Compliance Accelerator reports

You must have the View Reports permission to generate a new report. By default, most users with a department role have this permission.

To create a Compliance Accelerator report

- 1

Click the **Reports** tab in the Compliance Accelerator client.
- 2

Click **New** at the top left of the window.
- 3

In the **Type** box, select the type of report that you want to create.

See “[Available Compliance Accelerator reports](#)” on page 58.

In some instances, choosing a report type causes additional boxes to appear so that you can define the scope of the report.
- 4

In the **Name** box, type a unique name that contains up to 50 characters.
- 5

If required, type an optional description that contains up to 250 characters.
- 6

Set any remaining report parameters, and then click **Apply**.
- 7

When Compliance Accelerator has generated the report, double-click the report name in the left pane to view it.

Available Compliance Accelerator reports

[Table 6-1](#) describes the reports that accompany Compliance Accelerator.

Table 6-1 Available Compliance Accelerator reports

This report	Shows
Compliance Supervisor Responsibility report	The departments for which each compliance supervisor is responsible. For each of these departments, the reports also lists the reviewers in the department.
Department Roles Detail report	Information on the review settings and role assignments for each of the selected departments.
Department Roles Summary report	A summary of the review settings for each of the selected departments.
Differential Sampling Summary by Department report	For the selected sampling period, information on the sampling activity for the monitored employees in selected departments.
Effective Roles by User report	All the departments in which the selected user has a role, and what those roles are.

Table 6-1 Available Compliance Accelerator reports (*continued*)

This report	Shows
Evidence of <i>message type</i> Review by Department/Employee reports	For the selected department or employee, evidence that the required number and percentage of randomly sampled items have been captured and reviewed.
Item Aging by Department report	For the selected departments, the number of items that are either still unreviewed or pending review.
Message Stats Summary report	For each department and exception employee, the total number of sampled items and a breakdown by item type.
Message Summary report	The number of items that Compliance Accelerator has captured for review in each department, and a breakdown by type.
Monitored IDs by Department report	For each monitored employee, how many of that employee's items have been captured for review.
Questioned Items by Department report	For each department, a summary of the suspect items (those items that reviewers have marked as Questioned).
Responsibility by Department report	For each department, the owner, monitored employees, department reviewers, escalation reviewers, and compliance supervisors.
Responsibility by Reviewer report	For each reviewer, the departments in which he or she can review items, and the other reviewers in those departments.
Review Activity Summary by Department report	The total number of items of each type that Compliance Accelerator has captured in the selected reporting period
Reviewer Activity by Department report	For each department, the status of review set items, including how many items have been escalated, questioned, reviewed, and unreviewed.
Reviewer Activity Detail report	For each department, the status of the review set items for each reviewer.
Reviewer Mapping report	The review requirements and monitored employees in each department in which a reviewer operates.

Table 6-1 Available Compliance Accelerator reports (continued)

This report	Shows
Unreviewed Departments report	The departments to which no department reviewer is assigned.
Unsupervised Departments report	Departments to which no compliance supervisor is assigned.

Compliance Supervisor Responsibility report

The Compliance Supervisor Responsibility report lists the departments for which each compliance supervisor is responsible. For each of these departments, the report also lists the reviewers in the department.

This report provides the following information for each of the selected compliance supervisors.

Table 6-2 Fields in the Compliance Supervisor Responsibility report

This field	Shows
Department	The departments in which the user is a compliance supervisor.
Reviewer	The reviewers in each department.
On Behalf Of	If appropriate, the principal reviewers for whom each reviewer is a delegate.

Department Roles Detail report

For each of the selected departments, the Department Roles Detail report provides information on the review settings and role assignments.

This report provides the following information for each of the selected departments.

Table 6-3 Fields in the Department Roles Detail report

This field	Shows
Department Settings	

Table 6-3 Fields in the Department Roles Detail report (*continued*)

This field	Shows
Message Type	<p>The types of items that Compliance Accelerator may add to the department review set. For Microsoft Exchange, fax, and Lotus Domino, the report shows three item types:</p> <ul style="list-style-type: none"> ■ Internal: The items where the author and all recipients are internal to your organization. ■ External Inbound: The items where the author is external to your organization and at least one recipient is internal. ■ External Outbound: The items where the author is internal to your organization and at least one recipient is external.
Review Requirement	The percentage of each employee's items to capture and add to the review set.
Message Cap	Whether you have chosen to set a limit on the number of each employee's items to capture and add to the review set.
For All Message Types	Whether you have chosen to enable or disable monitoring of all employees in the department (Monitoring); whether you have chosen to set a limit on the total number of items in the review set (Capping); and, in cases where you have chosen to limit the number of items in the review set, what the limit is (Total Messages Cap).
Users and Groups with Roles in this Department	
User/Group	The users or groups that occupy roles in the department.
Role	The roles that the users or groups occupy.
Details of Role Assignment	How the user acquired the role: through explicit assignment, inheritance from a parent department, or membership of a group.

Department Roles Summary report

For each of the selected departments, the Department Roles Summary report provides a summary of the review settings.

This report contains the following fields.

Table 6-4 Fields in the Department Roles Summary report

This field	Shows
Message Type	<p>The types of items that Compliance Accelerator may add to the department review set. For Microsoft Exchange, fax, and Lotus Domino, the report shows three item types:</p> <ul style="list-style-type: none"> ■ Internal: The items where the author and all recipients are internal to your organization. ■ External Inbound: The items where the author is external to your organization and at least one recipient is internal. ■ External Outbound: The items where the author is internal to your organization and at least one recipient is external.
Review Requirement	The percentage of each employee's items to capture and add to the review set.
Message Cap	Whether you have chosen to set a limit on the number of each employee's items to capture and add to the review set.
For All Message Types	Whether you have chosen to enable or disable monitoring of all employees in the department (Monitoring); whether you have chosen to set a limit on the total number of items in the review set (Capping); and, in cases where you have chosen to limit the number of items in the review set, what the limit is (Total Messages Cap).

Differential Sampling Summary by Department report

For the selected sampling period, the Differential Sampling Summary by Department report summarizes the sampling activity for the monitored employees in selected departments.

This report contains the following fields.

Table 6-5 Fields in the Differential Sampling Summary by Department report

This field	Shows
Monitored Employee	The name of the monitored employee.
Total Messages	The total number of items that the monitored employee has sent and received.
Policy Sampled	The number and percentage of items that policy management software has tagged for inclusion in the review set.

Table 6-5 Fields in the Differential Sampling Summary by Department report
(continued)

This field	Shows
Search Sampled	The number and percentage of items that guaranteed sample searches have sampled.
Random Sampled	The number and percentage of items that Compliance Accelerator has randomly sampled.
Total Sampled	The total number and percentage of sampled items.

Effective Roles by User report

The Effective Roles by User report lists all the departments in which the selected user has a role, and shows what those roles are.

This report contains the following fields.

Table 6-6 Fields in the Effective Roles by User report

This field	Shows
Department	The name of the department in which the user has a role.
Role	The department roles that the user occupies.
Detail	How the user acquired the role: through explicit assignment, inheritance from a parent department, or membership of a group.

Evidence of *message type* Review by Department/Employee reports

For the selected department or employee, the Evidence of Review reports provide evidence that the required number and percentage of items of the selected type have been captured and reviewed. These reports include randomly sampled items only (those that the Journaling Connector has collected from the Enterprise Vault Journal mailbox archive).

This report contains the following fields.

Table 6-7 Fields in the Evidence of Review by Department/Employee reports

This field	Shows
Monitored Employee	The name of the monitored employee.

Table 6-7

Fields in the Evidence of Review by Department/Employee reports

(continued)

This field	Shows
Total Messages	The total number of items of the specified type that the monitored employee has sent and received.
Captured	The number and percentage of the employee's items that the Journaling Connector has collected.
Unreviewed	The number of unreviewed items.
Pending	The number of items that have a status of Pending.
Questioned	The number of items that have a status of Questioned.
Reviewed	The number of items that have a status of Reviewed.
% Reviewed	The percentage of items that have been reviewed.

Item Aging by Department report

For the selected departments, the Item Aging by Department report shows the number of items that are either still unreviewed or pending review. The report also gives an indication of how long each item has awaited review since it was first captured.

This report contains the following fields.

Table 6-8

Fields in the Item Aging report

This field	Shows
Total - <i>department_name</i>	The name of the department containing items that are either still unreviewed or pending review.
Number of messages within the capture age range	For each of the 30-day time periods, the number of items that are either still unreviewed or pending review from when they were first captured. The totals do not include any items that have been unreviewed or pending review for 90 days or more.

Message Stats Summary report

For each department and exception employee, the Message Stats Summary report shows the total number of sampled items and provides a breakdown by item type.

This report contains the following fields.

Table 6-9 Fields in the Message Stats Summary report

This field	Shows
<i>department_name</i>	The name of a Compliance Accelerator department. Click the department name to view a list of the sampled items in its review set.
<i>Message type</i> (Exchange Internal, and so on)	<p>The number of sampled items of the specified type. For Microsoft Exchange, fax, and Lotus Domino, the report shows three item types:</p> <ul style="list-style-type: none"> ■ Internal: The items where the author and all recipients are internal to your organization. ■ External Inbound: The items where the author is external to your organization and at least one recipient is internal. ■ External Outbound: The items where the author is internal to your organization and at least one recipient is external.
Total Sampled	The total number of sampled items of all types.

Message Summary report

The Message Summary report provides information on the number of items that Compliance Accelerator has captured for review in each department, and a breakdown by type.

This report contains the following fields.

Table 6-10 Fields in the Message Summary report

This field	Shows
Department: <i>name</i>	The name of the department for which to show the number of items. Click a department name to obtain more information on the items in the review set.
Message Type/Messages	The type and number of items that Compliance Accelerator has captured for review. Click the item type or number of items to see a list of these items.

Monitored IDs by Department report

For each monitored employee, the Monitored IDs by Department report shows how many of that employee's items have been captured for review.

This report contains the following fields.

Table 6-11 Fields in the Monitored IDs report

This field	Shows
Corp ID	The employee's company ID, if known.
Total	The total number of the employee's items that Compliance Accelerator has captured for review. The total includes randomly-sampled items, policy-captured items, and items that were captured through guaranteed sample searches.
Unreviewed	The number of the employee's items that are awaiting review.
Reviewed	The number of the employee's items that have been reviewed.

Questioned Items by Department report

For each department, the Questioned Items by Department report gives a summary of the suspect items (those items that reviewers have marked as Questioned).

This report contains the following fields.

Table 6-12 Fields in the Questioned Items report

This field	Shows
Item ID	The identifying number that Compliance Accelerator has assigned to the item.
Sent Date	The date and time at which the item was sent.
Comment	The last comment that the Compliance Accelerator reviewer has added to the item.
Sender	The person who sent the item.
Recipient(s)	The recipients of the item. Compliance Accelerator lists all the recipients, if possible, but it may truncate the list when there are a large number of recipients.

Responsibility by Department report

For each department, the Responsibility by Department report lists the owner, monitored employees, department reviewers, and more. Departments that have no reviewers are shown as (unreviewed). Delegate reviewers have the tag "On behalf of *reviewer_name*".

This report contains the following fields.

Table 6-13 Fields in the Responsibility By Department report

This field	Shows
Owner	The owner of the department (typically the main system administrator for Compliance Accelerator).
Monitored Employees	The departmental employees whom Compliance Accelerator is monitoring.
Departmental Reviewers	The Compliance Accelerator users who can review and mark the items in the department.
Escalation Reviewers	The Compliance Accelerator users to whom department reviewers can escalate items for further attention.
Compliance Supervisors	The Compliance Accelerator users who can appraise the work of department reviewers and manage any exception employees in the department.

Responsibility by Reviewer report

For each Compliance Accelerator reviewer, the Responsibility by Reviewer report lists the departments in which he or she can review items and identifies the other reviewers in those departments.

This report contains the following fields.

Table 6-14 Fields in the Responsibility by Reviewer report

This field	Shows
Department	The departments in which the user has a reviewer role.
Additional Reviewers	The names of other reviewers in the department.
On Behalf Of	If appropriate, the principal reviewer or supervisor for whom the user is acting as a delegate.

Review Activity Summary by Department report

The Review Activity Summary by Department report shows the total number of items of each type that Compliance Accelerator has captured in the selected reporting period. The report also shows the review status of these items.

This report contains the following fields.

Table 6-15 Fields in the Review Activity Summary report

This field	Shows
Total	The total number of items of the specified type that Compliance Accelerator has captured within the reporting period.
Unreviewed	The number of unreviewed items.
Reviewed	The number of items that reviewers have marked as Reviewed.
Pending	The number of items that reviewers have marked as Pending.
Questioned	The number of items that reviewers have marked as Questioned.

Reviewer Activity by Department report

For each department, the Reviewer Activity by Department report shows the status of review set items, including how many items have been escalated, questioned, reviewed, and unreviewed.

This report contains the following fields.

Table 6-16 Fields in the Reviewer Activity by Department report

This field	Shows
Review Status/Messages	The status and number of items that Compliance Accelerator has captured for review. Click the item status or number of items to see a list of these items.

Reviewer Activity Detail report

For each department, the Reviewer Activity Detail report shows the status of the review set items for each reviewer.

This report contains the following fields.

Table 6-17 Fields in the Reviewer Activity Detail report

This field	Shows
Reviewer	The name of the reviewer or, for the items that are awaiting review, "No reviewer".

Table 6-17 Fields in the Reviewer Activity Detail report (*continued*)

This field	Shows
Message Status	The marking status ("Questioned" or "Reviewed") and escalation status ("Escalated").
Messages	The number of items of the specified status, and the total number of items that this reviewer has either marked or escalated.
Delegation Details	If appropriate, the principal reviewer or supervisor for whom the user is acting as a delegate.
Marking activity total for <i>department_name</i>	The total number of items in the review set that all the department reviewers have marked.
Escalation activity total for <i>department_name</i>	The total number of items in the review set that all the department reviewers have escalated to a higher authority for further attention.

Reviewer Mapping report

The Reviewer Mapping report shows the review requirements and monitored employees in each department in which a reviewer operates.

This report contains the following fields.

Table 6-18 Fields in the Reviewer Mapping report

This field	Shows
Message Type	<p>The types of items that Compliance Accelerator may add to the department review set. For Microsoft Exchange, fax, and Lotus Domino, the report shows three item types:</p> <ul style="list-style-type: none"> ■ Internal: The items where the author and all recipients are internal to your organization. ■ External Inbound: The items where the author is external to your organization and at least one recipient is internal. ■ External Outbound: The items where the author is internal to your organization and at least one recipient is external.
Review Requirement	The percentage of each employee's items to capture and add to the review set.
Message Cap	Whether you have chosen to set a limit on the number of each employee's items to capture and add to the review set.

Table 6-18 Fields in the Reviewer Mapping report (continued)

This field	Shows
For All Message Types	Whether you have chosen to enable or disable monitoring of all employees in the department (Monitoring); whether you have chosen to set a limit on the total number of items in the review set (Capping); and, in cases where you have chosen to limit the number of items in the review set, what the limit is (Total Messages Cap).
Monitored Employees in <i>department_name</i>	<div>For each monitored employee, the percentage of that employee's items to capture and add to the review set. This area of the report also shows the following:</div> <ul style="list-style-type: none">■ The name of the exception reviewer whom you have assigned to the employee, if appropriate.■ Whether or not monitoring of the employee has been suspended.■ Whether or not the employee is exempt from any cap limit that you may have applied to the department that contains the employee.

Unreviewed Departments report

The Unreviewed Departments report lists the departments to which no department reviewer is assigned. Only the departments in which you have View Reports permission are listed.

This report contains the following fields.

Table 6-19 Fields in the Unreviewed Departments report

This field	Shows
<i>department_name</i>	The name of a Compliance Accelerator department. Click the department name to view a list of the sampled items in its review set.
Owner	The owner of the department (typically the main system administrator for Compliance Accelerator).

Unsupervised Departments report

The Unsupervised Departments report lists departments to which no compliance supervisor is assigned. Only the departments in which you have View Reports permission are listed.

Viewing existing reports

Compliance Accelerator makes it easy to view the contents of a report, print it, and export it in formats such as Excel, Acrobat (PDF), XML, and comma-separated values (CSV). Note that a report is a snapshot of data at the time that you created it. Viewing the report later does not refresh the data in it, so you must create a new report if you want to view the latest data.

You must have the View Reports permission to view an existing report. By default, most users with a department role have this permission.

To view an existing report

- 1 Click the **Reports** tab in the Compliance Accelerator client.
- 2 In the center pane, click the report that you want to view. Compliance Accelerator provides information on the selected report in the **Details** tab at the right.

You can filter the list of reports by checking the options in the left pane. Alternatively, in the **Search Reports** box at the top of the center pane, enter a keyword for which to search in the names and descriptions of the reports.

- 3 Click the **Preview** tab to display the contents of the report.
- 4 Do one or more of the following:
 - To page through the report, go to a specific page, find a specific word, or adjust the magnification level, click the navigation controls at the top of the preview pane.
 - To export the report, select the required format and then click **Export**. Compliance Accelerator prompts you to choose a location for the report file.
 - To update the report contents, click **Refresh**.
 - To print the report, click **Print** and then select the printing options that you want.

Deleting reports

When you have no further use for a report, you can delete it from Compliance Accelerator.

You must have the View Reports permission to delete a report. By default, most users with a department role have this permission.

Caution: You cannot recover reports that you accidentally delete.

To delete a report

- 1 Click the **Reports** tab in the Compliance Accelerator client.
- 2 In the left pane, click the report that you want to delete.
- 3 Click **Delete Report** at the top left of the window.
- 4 Click **Yes** to confirm that you want to delete the report.

Index

A

- Add Own Review Comments permission 37
- Add Standard Review Comments permission 37
- adding
 - folders 46
- App User Admin role 15
- Application Search permission 15

C

- comments
 - adding to review items 37
- Commit Appraised Folder Messages permission 49
- Commit Messages role 49
- Commit Reviewed Folder Messages permission 49
- committing folder items to review set 49
- Compliance Supervisor Responsibility report 58, 60
- Compliance Supervisor role 37, 49
- creating
 - folders 46
 - reports 57
 - searches 15

D

- deleting
 - reports 71
- Department Reviewer role 28, 37, 40, 49
- Department Roles Detail report 58, 60
- Department Roles Summary report 58, 61
- Differential Sampling Summary by Department report 58, 62

E

- Effective Roles by User report 58, 63
- Escalate Messages permission 40
- escalating items 39
- Escalation Reviewer role 28, 39–40, 47
- Evidence of Review by Department/Employee reports 63
- Evidence of Review reports 59
- Exception Reviewer role 28, 37, 40, 49

- Exception reviewer role 15
- exceptions
 - exporting the items of 55
- Export Escalations permission 51
- export IDs 55
- Export Messages permission 47, 51
- Export role 47
- exporting
 - an exception's items 55
 - creating an export run 51
 - items from folders 47
 - limits on number of simultaneous runs 55

F

- folders
 - committing items to review set 49
 - copying items to 49
 - creating 46
 - exporting items from 47
 - giving other users access to 48
 - introduction to 45
 - reviewing the items in 47
- Full Control role 47–49

G

- guaranteed sample searches 19

I

- icons in Compliance Accelerator client 11
- Item Aging by Department report 59, 64
- items
 - committing to review set 49
 - copying to folders 49
 - exporting from folders 47
 - reviewing folder messages 47

M

- marks
 - assigning in the Review pane 36
- Message Stats Summary report 59, 64

Message Summary report 59, 65
 Microsoft Outlook, making export ID visible in 55
 Monitored IDs by Department report 59, 65

O

Outlook, making export ID visible in 55

P

Passive reviewer role 28
 Perform Ad Hoc Searches permission 46, 49
 Personal Folders (.pst) files 55
 printable versions of review items 38

Q

Questioned Items by Department report 59, 66

R

removing

reports 71

reports

Compliance Supervisor Responsibility 58, 60
 creating 57
 deleting 71
 Department Roles Detail 58, 60
 Department Roles Summary 58, 61
 Differential Sampling Summary by
 Department 58, 62
 Effective Roles by User 58, 63
 Evidence of Review 59
 Evidence of Review by Department/Employee 63
 introduction to 57
 Item Aging by Department 59, 64
 Message Stats Summary 59, 64
 Message Summary 59, 65
 Monitored IDs by Department 59, 65
 Questioned Items by Department 59, 66
 Responsibility by Department 59, 66
 Responsibility by Reviewer 59, 67
 Review Activity Summary 59
 Review Activity Summary by Department 59,
 67
 Reviewer Activity by Department 68
 Reviewer Activity Detail 68
 Reviewer Activity Detail 59
 Reviewer Mapping 59, 69
 Unreviewed Departments 60, 70
 Unsupervised Departments 60, 70
 viewing 71

research folders. *See* folders

Responsibility by Department report 59, 66

Responsibility by Reviewer report 59, 67

Review Activity Summary by Department report 59,
 67

Review Activity Summary report 59

Review Messages permission 39, 47

Review pane

adding comments to items in 37

areas of 28

assigning review marks in 36

changing the appearance of 41

closing escalated items with 40

copying the item list in 39

displaying printable items in 38

downloading the original versions of items
 with 38

escalating items in 39

filtering the items in 32

reassigning escalated items with 40

setting display and operation preferences 42

viewing the history of items in 37

Review role 47–48

Reviewer Activity by Department report 68

Reviewer Activity Detail report 59, 68

Reviewer Mapping report 59, 69

reviewing items

adding comments to items 37

assigning escalated items to another reviewer 40

assigning review marks 36

closing escalated items 40

committing to review set 49

copying the item list to the Clipboard 39

copying to folders 49

displaying printable versions of items 38

downloading the original versions of items 38

escalating items 39

exporting from folders 47

exporting or producing 51

in folders 47

introduction to 27

viewing comments and audit history 37

Rule Admin role 15

S

Search Capture permission 15

searches

about the criteria options 17

creating and running 15

searches *(continued)*
 guidelines on conducting 26
setting up
 folders 46
 reports 57
 searches 15

T

tabs in Compliance Accelerator client 11

U

Unreviewed Departments report 60, 70
Unsupervised Departments report 60, 70

V

View Reports permission 71
viewing reports 71