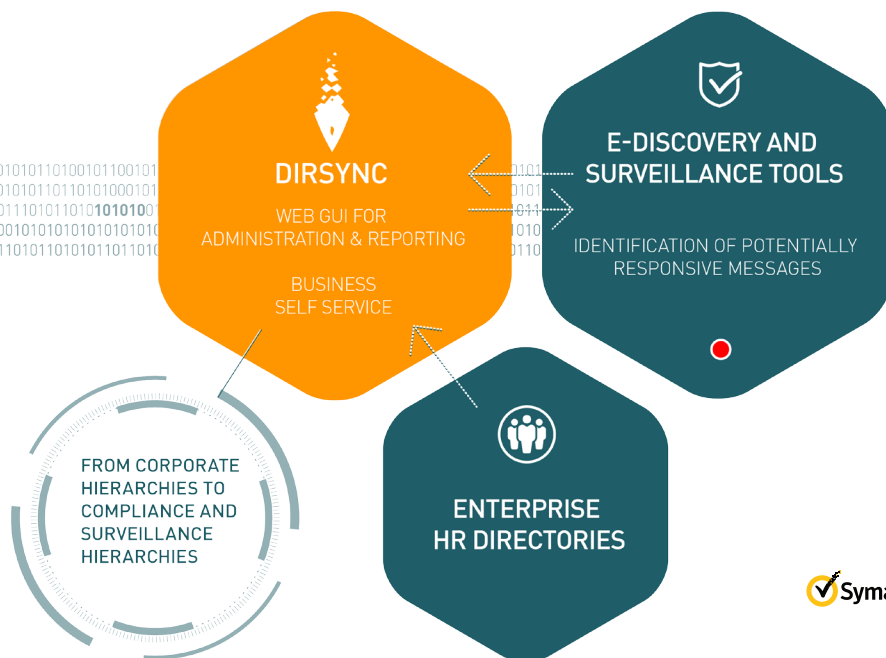# IN SYNC
IN CONTROL
IN TIME

DIRSYNC

ACCELERATING YOUR
ENTERPRISE MESSAGING
COMPLIANCE

ksf
technologies

ELECTRONIC MESSAGING SUPERVISION CAN BE CHALLENGING EVEN WITH THE INDUSTRY LEADING SYMANTEC ENTERPRISE VAULT™ COMPLIANCE ACCELERATOR APPLICATION.
DIRSYNC IS AN ADD-ON TO COMPLIANCE ACCELERATOR THAT INCREASES USER PRODUCTIVITY, LOWERS TOTAL COST OF OWNERSHIP AND PROVIDES NEW FEATURES AND CAPABILITIES.

KEY BENEFITS

- Automatically updates personnel with HR data
- Makes changing the review hierarchy quick and easy
- Allows full auditing of events and changes
- Generates easy to read and in-depth reports
- Improves application response time
- Reduces your infrastructure costs

DIRSYNC
WEB GUI FOR ADMINISTRATION & REPORTING
BUSINESS SELF SERVICE

E-DISCOVERY AND SURVEILLANCE TOOLS
IDENTIFICATION OF POTENTIALLY RESPONSIVE MESSAGES

ENTERPRISE HR DIRECTORIES

FROM CORPORATE HIERARCHIES TO COMPLIANCE AND SURVEILLANCE HIERARCHIES

Symantec. | Registered Partner

ca technologies

PERSONNEL SYNCHRONIZATION

Automatically Synchronize Employees to Compliance Accelerator

Using a module called the "Sync-O-Mat" HR personnel data can be automatically populated into Compliance Accelerator. Automation provides the following benefits:

- Automated and fast updates of personnel changes

- Reduce system administration and eliminate manual data entry errors

- Date and event level auditing when adding or removing employees

- Summary of personnel changes

STREAMLINED REVIEW HIERARCHY

DirSync advocates the use of a 2-level deep hierarchy. Doing so prevents Compliance Accelerator performance from degrading when using 3 or more levels. HR and corporate employee groupings can be customized. Out of the box groupings provide the ability to clearly see where employees are and who they are being reviewed by - or not. The benefits of this methodology are:

Management

- Elimination of the need of abstract People Soft or accounting group codes to group people

- Grouping of personnel into easy-to-read groupings

- Intuitive and easy management of searches

Performance

- Significant speed improvements on the SQL and Compliance Accelerator servers

- The Compliance Accelerator client GUI performs and renders much faster

- Searches can be configured and conducted much faster

- Removal of exception mappings further enhances search and system speeds

MAPPING SELF SERVICE & DASHBOARD

DirSync provides a web based user interface that gives Compliance, IT and Line of Business Administrators the ability to easily assign and modify reviewer to employee mappings. It also provides a dashboard that displays reviewer status summaries and recent events.

- The user interface is intuitive, fast and responsive
- Self-service removes the need to include IT in the business or compliance mapping process
- Changes to the hierarchy happen in less than 5 seconds
- All changes and modifications provide a full audit trail
- The additional auditing is a new feature not native to Compliance Accelerator
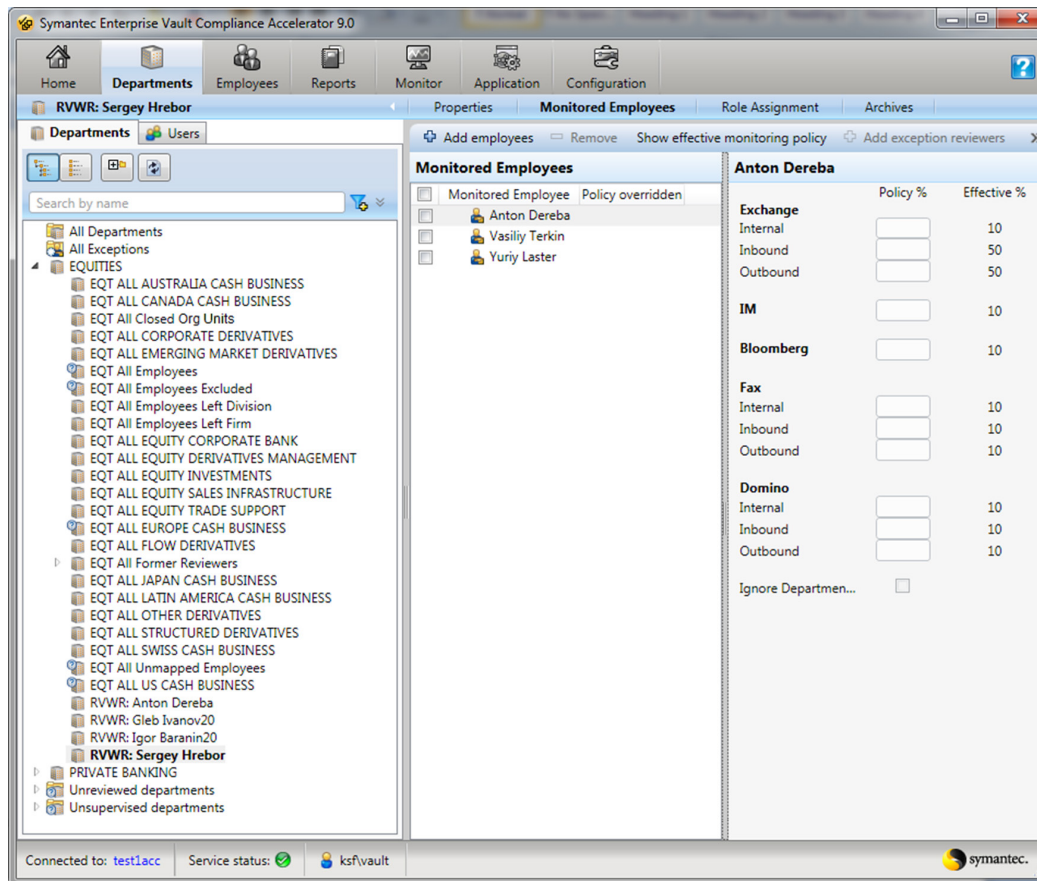
REPORTING

DirSync provides new reports using the native Compliance Accelerator reporting engine. The reports are accessed in the same location as standard out-of-the-box Compliance Accelerator reports.

- New report formats are more readable than native reports
- New reports provide more information, especially for compliance and auditors
- The Excel exports of the new reports are fully functional and easily used in Excel
- The reports compute their data in real time so no more static, time based "snapshot" reports used in some environments
- Reports are generated using SQL Reporting Services and can be easily customized. New reports can also be created to fit customer requirements.

DIRSYNC HIERARCHY METHODOLOGY

The DirSync hierarchy system contains two levels: the business division and below it: reviewer containers, organization specific containers and general administrative containers (See the screenshot below for an example).

- Reviewer Containers - used for review of employee messages at the reviewer level. Named after the reviewer.

- Organization Containers - used to group personnel that are in similar business roles but have different reviewers. Customized to your company.

- Administrative Containers - used to group personnel into general categories for ease of administration. All Employees, All Unmapped Employees, All Employees Excluded, All Employees Left Firm, All Employees in Division, All Closed Org Units, All Former Reviewers.

Organization and Administrative containers facilitate broader searches in Compliance Accelerator.

DIRSYNC SELF SERVICE WEB UTILITY

Overview

DirSync provides a web based self-service utility that facilitates changes, provides auditing and displays DirSync system statistics.

- Event level monitoring for automated synchronization tasks (HR feed update and synch, organizational changes, personnel joiners and leavers)
- Reviewer to Employee mappings
- Reviewer Group mappings (When multiple reviewers review the same personnel)
- Reviewer to Delegate management (When a reviewer delegates review to another person)
- Compliance

THREE TYPES OF USERS

- Compliance Personnel
- Line of Business Administrators
- IT Administrators

Compliance and Line of Business Administrators have access only to their specific divisions. (Exceptions can be made for cross-divisional review if necessary)

IT Administrators can view and manage all of the divisions.

DASHBOARD PAGE

The start page of the DirSync Self-Service Utility is
the Dashboard

The dashboard provides
fast summary data
about unmapped
employees, sync tasks,
leavers and transfers.
The dashboard can be
customized.

SYNC DETAILS PAGE

All operations performed by the "Sync-0-Mat" module and by users through the Self-Service Utility are traced in the system log. The Sync Details page provides a search interface to facilitate fast searches for specific events. A log file can also be exported.

DirSync - Compliance Accelerator: Synchronization details

DASHBOARD	SYNC DETAILS	MAPPING	GROUPS	

From:	05/01/2014 06:27	To:	07.07.2014 06:27	Employee:		Get log
Division:		Org Unit:				

OpTime	PerformedBy	DisplayName	Operation	Division	Org Unit	Reviewee	Reviewer
16.06.2014 14:07:08	InstallOwner	, Vault	Reviewee assigned on reviewer	EQUITIES		Vasiliy Terkin (Emp13_20)	Sergey Hrebor (Emp11_20)
16.06.2014 14:07:08	InstallOwner	, Vault	Reviewee assigned on reviewer	EQUITIES		Yuriy Laster (Emp12_20)	Sergey Hrebor (Emp11_20)
16.06.2014 14:07:08	InstallOwner	, Vault	Reviewee assigned on reviewer	EQUITIES		Anton Dereba (Emp10_20)	Sergey Hrebor (Emp11_20)
13.06.2014 15:21:03	InstallOwner	, Vault	Reviewee excluded from revision	EQUITIES		Alex Petrov20 (Emp3_20)	
13.06.2014 14:58:24	InstallOwner	, Vault	Reviewee unexcluded	EQUITIES		Alex Petrov20 (Emp3_20)	
13.06.2014 14:58:24	InstallOwner	, Vault	Reviewee unexcluded	EQUITIES		Pavel Ogor20 (Emp6_20)	
13.06.2014 14:57:39	InstallOwner	, Vault	Reviewee excluded from revision	EQUITIES		Alex Petrov20 (Emp3_20)	
13.06.2014 14:57:12	InstallOwner	, Vault	Reviewee unexcluded	EQUITIES		Alex Petrov20 (Emp3_20)	
12.06.2014 11:09:18	InstallOwner	, Vault	Group Test12 was created	EQUITIES			
12.06.2014 11:09:11	InstallOwner	, Vault	Group Test11 was created	EQUITIES			
12.06.2014 11:09:04	InstallOwner	, Vault	Group Test10 was created	EQUITIES			
12.06.2014 11:08:55	InstallOwner	, Vault	Group Test9 was created	EQUITIES			
12.06.2014 11:08:46	InstallOwner	, Vault	Group Test8 was created	EQUITIES			
12.06.2014 11:08:38	InstallOwner	, Vault	Group Test7 was created	EQUITIES			
12.06.2014 11:08:31	InstallOwner	, Vault	Group Test6 was created	EQUITIES			
12.06.2014 11:08:24	InstallOwner	, Vault	Group Test5 was created	EQUITIES			
12.06.2014 11:08:15	InstallOwner	, Vault	Group Test4 was created	EQUITIES			
12.06.2014 11:08:04	InstallOwner	, Vault	Group Test3 was created	EQUITIES			
12.06.2014 11:07:04	InstallOwner	, Vault	Reviewee assigned on reviewer	EQUITIES		Yuriy Laster (Emp12_20)	Igor Baranin20 (Emp4_20)
12.06.2014 11:05:44	InstallOwner	, Vault	Reviewee unmapped from reviewer	EQUITIES		Serj Bizin20 (Emp5_20)	Anton Dereba (Emp10_20)
12.06.2014 11:05:44	InstallOwner	, Vault	Reviewee unmapped from reviewer	EQUITIES		Aleksey Krisin (Emp9_20)	Pavel Ogor20 (Emp6_20)
12.06.2014 11:05:44	InstallOwner	, Vault	Reviewer closed	EQUITIES			Pavel Ogor20 (Emp6_20)
12.06.2014 11:05:08	InstallOwner	, Vault	Reviewee excluded from revision	EQUITIES		Serj Bizin20 (Emp5_20)	
12.06.2014 11:05:08	InstallOwner	, Vault	Reviewee excluded from revision	EQUITIES		Pavel Ogor20 (Emp6_20)	
12.06.2014 11:04:26	InstallOwner	, Vault	Reviewee assigned on reviewer	EQUITIES		Serj Bizin20 (Emp5_20)	Anton Dereba (Emp10_20)

MAPPING SUMMARY PAGE

The mapping summary page provides a view of who is mapped to what. Changes are also made on this page. Lists are used for visual clarity and ease of use. A list of historical changes is also displayed for administrative reference.

A detailed history is presented in the bottom grid for auditing.

DirSync – Compliance Accelerator: Reviewer-reviewee mapping

| DASHBOARD | SYNC DETAILS | MAPPING | GROUPS |

No of rows: 9

PID	First name	Last name	Division	Sub division	Org Unit	Cost center	Department	City	Groups	Reviewed by	Reviews	Delegates
Emp10_20	Anton	Dereba	EQUITIES	EQUITIES	EUROPE CASH BUSINESS	Const	SYNDICATE & ALLOCATIONS		0	1	0	0
Emp11_20	Sergey	Hrebor	EQUITIES	EQUITIES	EUROPE CASH BUSINESS	Const	SYNDICATE & ALLOCATIONS		0	0	3	0
Emp12_20	Yuriy	Laster	EQUITIES	EQUITIES	EUROPE CASH BUSINESS	Const	SYNDICATE & ALLOCATIONS		0	2	0	0
Emp13_20	Vasiliy	Terkin	EQUITIES	EQUITIES	EUROPE CASH BUSINESS	Const	SYNDICATE & ALLOCATIONS		0	1	0	0
Emp4_20	Igor20	Baranin20	EQUITIES	EQUITIES	NON JAPAN ASIA CASH BL	Const	TSS JOURNAL - NJST		0	0	1	0
Emp6_20	Pavel20	Ogor20	EQUITIES	EQUITIES	US CASH BUSINESS	Const	TSS JOURNAL - LSST		0	0	0	0
Emp7_20	Stepan20	Bird20	EQUITIES	EQUITIES	US CASH BUSINESS	Const	TSS JOURNAL - LSST		0	0	0	0
Emp8_20	Alex	Siman	EQUITIES	EQUITIES	EUROPE CASH BUSINESS	Const	SYNDICATE & ALLOCATIONS		0	0	0	0
Emp9_20	Aleksey	Krisin	EQUITIES	EQUITIES	EUROPE CASH BUSINESS	Const	SYNDICATE & ALLOCATIONS		0	0	0	0

Records from 1 to 9   Page 1 ▼   20 rows per page ▼

☐ Show reviewers   ☐ Show Unmapped Employees   ☐ Show Excluded Employees   ☐ Delegates

OpTime	Operation	Division	Org Unit	Reviewee	Reviewer
16.06.2014 14:07:16	Changes COMMITTED to CA				
16.06.2014 14:07:08	Reviewee assigned on reviewer	EQUITIES		Vasiliy Terkin (Emp13_20)	Sergey Hrebor (Emp11_20)
16.06.2014 14:07:08	Reviewee assigned on reviewer	EQUITIES		Yuriy Laster (Emp12_20)	Sergey Hrebor (Emp11_20)
16.06.2014 14:07:08	Reviewee assigned on reviewer	EQUITIES		Anton Dereba (Emp10_20)	Sergey Hrebor (Emp11_20)
16.06.2014 14:07:08	Reviewer created				Sergey Hrebor (Emp11_20)
13.06.2014 15:21:10	Changes COMMITTED to CA				
13.06.2014 15:21:03	Reviewee excluded from revision	EQUITIES		Alex Petrov20 (Emp3_20)	
13.06.2014 14:58:30	Changes COMMITTED to CA				
13.06.2014 14:58:24	Reviewee unexcluded	EQUITIES		Alex Petrov20 (Emp3_20)	
13.06.2014 14:58:24	Reviewee unexcluded	EQUITIES		Pavel Ogor20 (Emp6_20)	

GROUP MANAGEMENT

This page allows you to assign multiple reviewers
to a single group of personnel. This happens often
in shared management environments.

DirSync - Compliance Accelerator: Groups Management

| DASHBOARD | SYNC DETAILS | MAPPING | GROUPS |

No of rows: 12

Name	Division	Description	Members	Reviews
Test	EQUITIES	Test	0	1
Test10	EQUITIES	Test10	0	0
Test11	EQUITIES	Test11	0	0
Test12	EQUITIES	Test12	0	0
Test2	EQUITIES	Test2	0	0
Test3	EQUITIES	Test3	0	0
Test4	EQUITIES	Test4	0	0
Test5	EQUITIES	Test5	0	0
Test6	EQUITIES	Test6	0	0
Test7	EQUITIES	Test7	0	0
Test8	EQUITIES	Test8	0	0
Test9	EQUITIES	Test9	0	0

|◁ ◁ Records from 1 to 12 ▷ ▷| Page 1 ▼ 20 rows per page ▼

Delete selected   Edit group   Add new group

OpTime	Operation	Division	Org Unit	Reviewee	Reviewer
16.06.2014 14:07:16	Changes COMMITTED to CA				
16.06.2014 14:07:08	Reviewee assigned on reviewer	EQUITIES		Vasiliy Terkin (Emp13_20)	Sergey Hrebor (Emp11_20)
16.06.2014 14:07:08	Reviewee assigned on reviewer	EQUITIES		Yuriy Laster (Emp12_20)	Sergey Hrebor (Emp11_20)
16.06.2014 14:07:08	Reviewee assigned on reviewer	EQUITIES		Anton Dereba (Emp10_20)	Sergey Hrebor (Emp11_20)
16.06.2014 14:07:08	Reviewer created				Sergey Hrebor (Emp11_20)
13.06.2014 15:21:10	Changes COMMITTED to CA				
13.06.2014 15:21:03	Reviewee excluded from revision	EQUITIES		Alex Petrov20 (Emp3_20)	
13.06.2014 14:58:30	Changes COMMITTED to CA				
13.06.2014 14:58:24	Reviewee unexcluded	EQUITIES		Alex Petrov20 (Emp3_20)	

REPORTS

Additional reports are available. Shown here is a full company summary report exported to Excel.

DS-Review Activity and

Run Date: 6/24/2014 (Comoliance Accelerator

		Reviewers data		Reviewees data	Cumulative Queue Counts				Monthly Count					Activity Data	
Division	Reviewer	Container		Reviewee	Unreviewed	Pending	Questioned	LCD Reviewed	Unreviewed	Reviewed	Pending	Questioned	LCD Reviewed	Last Review Date	Oldest MSG
EQUITIES	36	30		1480											
	DEREBA, ANTON	1		1											
		RVWR: DEREBA, ANTON		1											
				TERKIN, VASILIY	27	0	0	0	10	0	0	0	0		74
	IVANOV20, GLEB	1		43											
	BARANIN20, IGOR	1		116											
	HREBOR, SERGEY	1		251											
		RVWR: HREBOR, SERGEY		97											
				DEREBA, ANTON	23	0	0	0	23	0	0	0	0	###########	1
				TERKIN, VASILIY	23	0	0	0	23	0	0	0	0	###########	1
				LASTER, YURIY	23	0	0	0	23	0	0	0	0	###########	1

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