

eCommunications Monitoring and Audit



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The exploding growth of corporate data volume and electronic communication platforms, rise in regulatory oversight, globalization of workforces and operations, and increasing use of third-party vendors and suppliers presents new compliance challenges—and unprecedented risks—for organizations of all sizes. Now, you have the opportunity to detect and resolve issues early on.

Proactively Detect Your Organization's Risk

It's never been an easy task to remain compliant with the myriad of new and changing regulatory requirements. Today, it's near-impossible for compliance, risk management and legal professionals due to a number of salient trends—including the increasing importance of, and focus on, effective corporate compliance programs, individuals and gatekeepers in criminal investigations, whistle-blower and qui tam relators, anti-money laundering, enforcement of cyber regulations, anti-bribery and corruption enforcement, and accounting, fraud and disclosure enforcement actions.

Internal processes and controls are key to steering clear of a regulatory investigation or enforcement action. However, these approaches have, until now, focused on risk-related procedures and training on the mechanical aspects of risk management and regulatory impact on system functions, such as structured data housed in transactional systems—not on unmonitored internal communications such as email, chat, and social media—where evidence of fraud and malfeasance increasingly lurks undetected.

To protect your company and your brand, you need the right combination of data analytics, prevention tools and expertise to pinpoint the electronic communications indicative of untapped risk.

Conduent Solutions

Conduent's compliance solutions enable companies to evaluate real risks and plan the appropriate actions by detecting and pinpointing potential compliance infractions and "bad actor" communications before they turn into liabilities. Whether providing insight on a look-back or real-time basis, our comprehensive analysis of flagged areas of risk help legal, compliance, risk and audit make informed decisions.

We work across industries, including financial services, manufacturing, healthcare, pharma, life sciences, automotive, manufacturing and consumer, to help clients proactively detect and mitigate compliance risk:

- Adherence to Foreign Corrupt Practices Act
- International Traffic in Arms Regulations
- Financial Industry Regulatory Authority and Consumer Financial Protection Bureau regulations, along issues related to financial services fraud, price fixing allegations, loan securitizations, client investment selection, rate setting, and more



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- Servicemembers Civil Relief Act and Military Lending Act
- 2013 Mortgage Rules under the Real Estate Settlement Procedures Act and Truth in Lending Act
- Fair Debt Collection Act
- FDA compliance and issues ranging from off-label marketing and Sunshine Law reporting to minimization of safety and disparagement of patient populations
- Data privacy related to sensitive data, including client information, proprietary intellectual property, trade secrets and privilege
- Vendor and third-party risk management
- Accounting-related and disclosure requirements
- False Claims Act and related matters involving government contracts or expenditures

Validation and Look-Back Reviews

For organizations that have received a regulatory request, are subject to a formal investigation or simply want to conduct a comprehensive look-back internal review to identify potential areas of non-compliance before the regulators do, our validation and look-back review service quickly pares down hundreds of millions of documents or more to the small sub-set of relevant set warranting client review (often less than 1% of the starting document population) and potential remediation. Our service eliminates costly manual and error-prone processes.

eCommunications Monitoring

Our eCommunications monitoring service provides actionable insights into email and other server-based communications to help organizations address high-risk issues at the formative stages. We target clear indicators of risky behavior, non-compliance or malfeasance based on client areas of concern, whether one or multiple issues. Our service is designed to mitigate risk while protecting the individual employee by flagging only phrases and concepts that indicate increasing risk rather than “reading” all employee communications.

eCommunications Auditing

For areas or issues of less immediate concern, we deliver actionable insights into company data on a periodic basis, such as monthly or quarterly, with a deep analysis of a broad range of compliance issues that require a complex and extensive search—such as a highly technical issue or areas that require unique industry knowledge—across multiple communication and data stores.

Client Portal: Actionable Insights into Risk

Our solutions offer client insight into areas of potential risk via a web-based client dashboard:

- Summaries of risk areas found in email and other communications
- Holistic insights such as patterns in communication behaviors, messages between employees and departments, recipient patterns by business units, company product references, off-shift communications, communications with competitors, employee and manager communication patterns, and recipient type (such as internal or external)
- Insights into additional criteria, customizable by client



In addition to leveraging analytics to quickly cull documents to the potential relevant subset warranting attention, our in-house team of legal, compliance, and industry experts quickly identify false positives and other documents that should be excluded from client review, to ensure the client focuses only on relevant documents.

- Visualizations to quickly view the important areas to act on, and include heat maps, concept clouds, time series analysis, recipient volumes, risk scores, and color-coding
- Clear identification and reporting of documents flagged for specific conditions
- A document viewer providing users the ability to inspect in scope communications enabling real-time decision making on key issues

Our Approach

Our compliance solutions utilize our proprietary big data analytics and review platforms, combined with the expertise of our in-house data scientists, compliance, review and industry and regulatory compliance subject matter experts. Our big data analytics platform aggregates company data from many sources, identifying key document facts and trends, which are stored in a single, security repository in Conduent's global ISO 27001 data centers.

- **Data collection:** We collect email warranting attention from a variety of sources, include Exchange Server environments and hosted Office 365, as well as other forms of electronic communications and data from servers, desktops and laptops, SharePoint environments, servers, and social media sites.
- **Data consolidation and processing:** We consolidate data into our proprietary data analytics platform and process the data. For example, for emails, we prepare the data to capture email text and metadata, along with additional features such as employee location, sales region or team, sales rank or revenue. We work with clients to add more features as they evolve.
- **Risk identification:** Working in close collaboration with the client, we identify and prioritize areas of potential risk based on specific areas of interest—regulatory or litigation, whistleblower, litigation, enforcement priorities and actions, or specific areas such as of risk defined by the client.
- **Data modeling and sampling:** Our data scientists and analysts develop algorithms designed to detect specific issues of concern and potential compliance violations. Applying statistics and other sampling methodologies, we then identify and analyze representative samples of “bad” employee communications, which are then used to refine the algorithms.
- **Identification of emails indicating potential risk:** Our analytics identifies, with very high accuracy, data suggestive of potential compliance infractions.
- **Expert review:** In addition to leveraging analytics to quickly cull documents to the potential relevant subset warranting attention, our in-house team of legal, compliance, and industry experts quickly identify false positives and other documents that should be excluded from client review, to ensure the client focuses only on relevant documents.
- **Delivery of critical insights:** Based on our analytics and review services, we deliver the small subset of documents to the company for review and possible remediation.

Additional Services

Electronic Discovery and Litigation Support

For companies that need to conduct a more thorough investigation into areas of risk, whether internal or regulatory-driven, Conduent offers end-to-end technology-enabled services, software, analytics and expertise for litigation and investigations. Services include data collection and forensics, data processing, hosted or on-site review, managed attorney review, analysis and production.

Learning Services

Regulatory compliance requirements, along with compliance with investigations or enforcement actions, require robust training of employees at all levels of the organization. Conduent helps firms meet these needs by providing engaging, comprehensive learning services that are delivered to employees at the point and time of need, including instructor facilitation, learning administration, learning consulting, content design and curation, strategic sources and managed services. Our adaptive training approach tailors the educational material to each person's learning needs and situation, supported by analytics that help legal and compliance teams identify and mitigate future risks.

For more information on Conduent Legal and Compliance Solutions, visit us at:
www.conduent.com/legalsolutions, or call 1-844-ONE-CNDT



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