

Supervision Policy Tuning



What are policies?

Policies are a capability of the Smarsh archiving solution, designed to speed up the review process by automatically classifying messages as they enter the archive and highlighting keyword hits on each message.

The Challenge

All policies need to be tuned to maximize their value. In adhering to regulatory requirements, ensuring that policies are properly tuned to identify risk, while reducing noise to manage queue capacity, is key to effective supervision. Some firms need a set of policies to get started, which can then be tuned. Others need outside help to work with an existing set of policies. Either way, expertise is invaluable in the area of supervision to make the most out of policies and ensure they meet their goals.

The Solution

With Supervision Policy Tuning, a professional service from Smarsh, you can improve the effectiveness of your supervision program and make the best use of your team's time. Our experts actively tune policies, modulate lexicons to surface risk and reduce white noise so you spend time reviewing only the most critical, high-threat messages. Our Policy Tuning service provides your organization with a standard set of diagnostic tools and processes to enhance your supervision program and support your supervision needs.

Policy Tuning requires the Smarsh Policy Library (an evergreen library of Smarsh-designed policy lexicons, purchased separately) as a base set of policies on which to perform tuning.

What you get

- > Experienced consultants skilled in understanding regulatory requirements
- > Development of policy rules to address your needs and industry concerns
- > Testing and optimization of policies to ensure maximum effectiveness
- > Implementation of the Policy Library by our Customer Success team
- > Implementation of Policy Tuning by legal experts in our Professional Services Team*
- > Ongoing management of policy performance and system health
- > Detailed report highlighting key findings and recommendations
- > Annual tuning check-up included with annual account review

*changes to policies are active immediately and applied to new messages, not historical data

Supervision Policy Tuning Methodology

We have developed a methodology based on years of experience that will provide your organization with best practices in policy management.



Consult

We establish baseline metrics and identify your firm's goals and then implement policy rules to meet your needs.



Optimize

We analyze your policy rules, monitor effectiveness, identify areas for optimization and recommend improvements as needed.



Maintain

We meet on an annual basis to fine-tune your policies and roll out updates to reflect any changes to the regulatory environment that affects your firm.