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## Introduction

### The Supervision Module

The Supervision Module is an add-on to The Archiving Platform, and is designed as a full supervision and monitoring solution for companies with regulatory compliance obligations. The Supervision Module includes:

- Supervision Roles
- Review Queues
- Escalation Queues
- Action buttons to streamline message review
- Supervision Reports

Review Queues are a holding area for messages to be reviewed, and can be especially useful for firms who have a dedicated team of reviewers. Review Queues allow for reviewers to have a dedicated place to review only the messages for which they are responsible. Messages are added to Review Queues automatically on a daily, weekly, or monthly basis, and stay in the Review Queue until they are reviewed or cleared.

**The messages within a Review Queue can be populated based on the following:**

- a. A random sampling of total messages
- b. Messages marked with the Further Review flag by a Policy rule
- c. Communications from a specific person or Group

Escalation Queues are an additional tool that can be leveraged by supervisors, so that end-reviewers do not have to be responsible for identifying messages as a violation of their internal policies. Rather, end-reviewers can escalate messages that they suspect may be in violation to Supervisors, who can then confirm a violation or not.

**Note:** The information in this guide is intended for Administrators.

### Prerequisites

In order to utilize Review Queues, you must be subscribed to the Supervision Module. In order to utilize Escalation Queues, you must meet all prerequisites for Review Queues, and have at least one Review Queue configured.

## Supervision Roles

Supervision Roles control access to the features included with the Supervision Module. To access these features, a user must be assigned one of the Supervision Roles. There are three standard Supervision Roles included, but it is possible to clone these roles to customize permissions.

- **Admin Reviewer:** provides access to Review Actions – the ability to update messages as Reviewed, Escalated or Violation. This role includes access to Supervision Reports and Supervision Queues.
- **Advanced Reviewer:** provides access to Review Actions and Supervision Reports.
- **Basic Reviewer:** provides access to Review Actions.

### Managing Supervision Roles

Access to the Supervision Module components are linked to Supervision roles listed in the Roles area. Please note that this Supervision Role is *in addition* to the regular Platform Role assigned to users upon creation.

1. Click **Admin** and select **Roles** from the dropdown.
2. From the Roles dashboard, locate the **Supervision** roles located beneath the Platform Roles.
3. To assign users to these roles, click on the desired role. Choose the **Users** tab and click the **Add Users** button. This will provide a drop-down list of active users. Select those to be granted the permissions for each role.
4. To remove users from these roles, choose the **Users** tab and select the user(s) to be removed with the checkbox(es) on the left side. With these users selected press the **Remove Role** button.

# Queues Overview

## Permissions

Only Users with the **Admin Reviewer** Supervision Role (or a custom Role that includes the **Supervision Queues** feature permission) can create and manage Queues. Any reviewer who has review permissions to a Queue will be able to see that Queue when they log into The Archiving Platform.

## Queues Administration Page

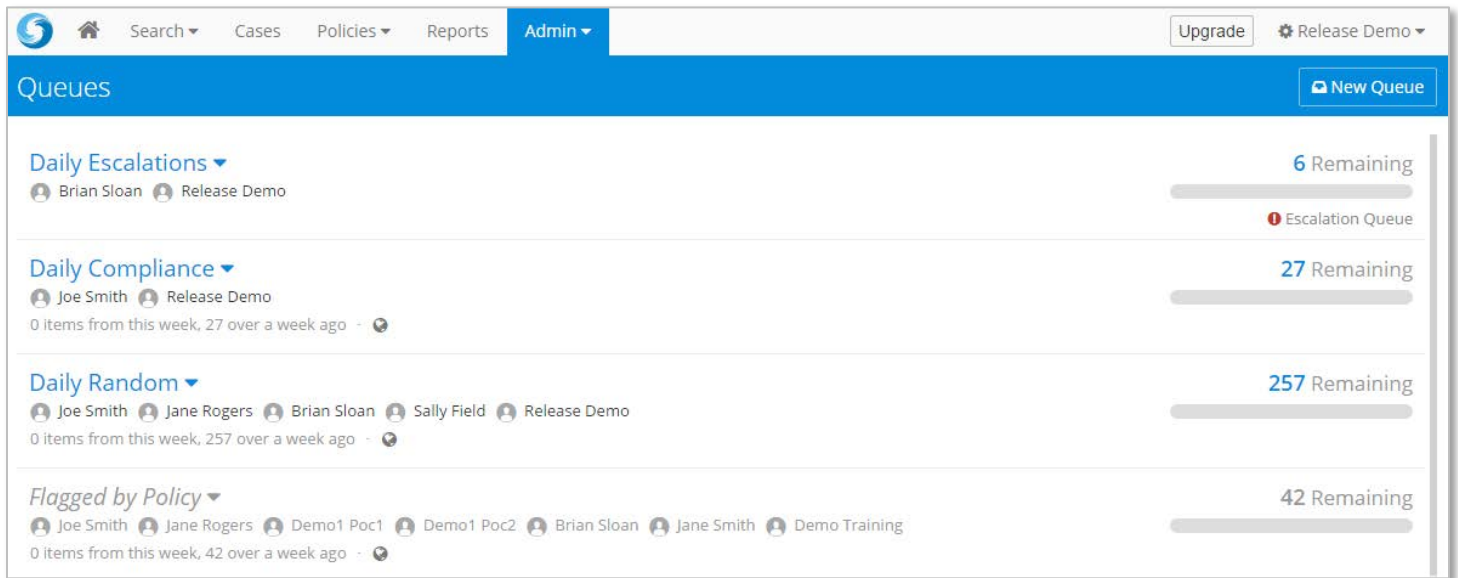
The Queues administration page is the starting point to view your Queues, as an administrator. You can only access this page if you are an **Admin Reviewer**, or if you have the Supervision Queues permission enabled for your Role.

### To access the Queues administration page:

1. Click **Admin**
2. Select **Company Settings** from the dropdown
3. Click **Supervision Settings**
4. Click **Queues**

From the Queues administration page you can see all Queues configured for your company (Figure 1.1), with Escalation Queues listed first, and inactive Queues listed last.

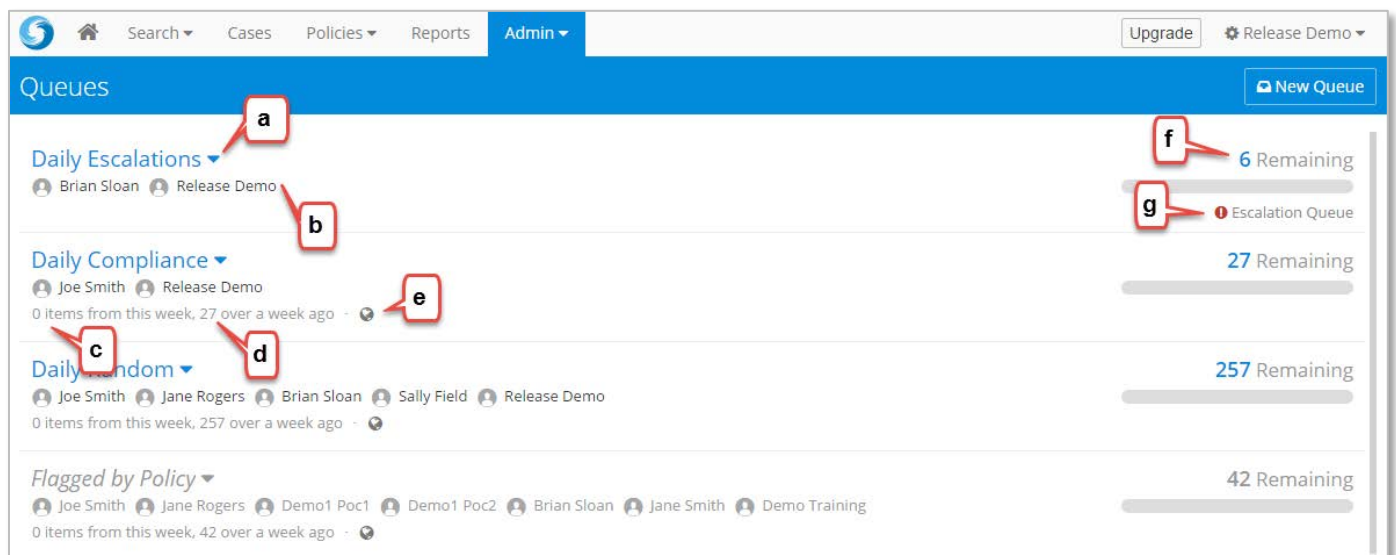
Figure 1.1



For each Queue in your list, you can see (Figure 1.2):

- a. Queue Name
- b. Users with access to the Queue
- c. Messages in the Queue from this week that are pending review
- d. Messages in the Queue from over a week ago that are pending review
- e. Which message types are included in the Queue
- f. Progress left to completion for the Queue (click the number of messages remaining to view the contents of the queue)
- g. Whether the Queue is a Review Queue or an Escalation Queue

Figure 1.2



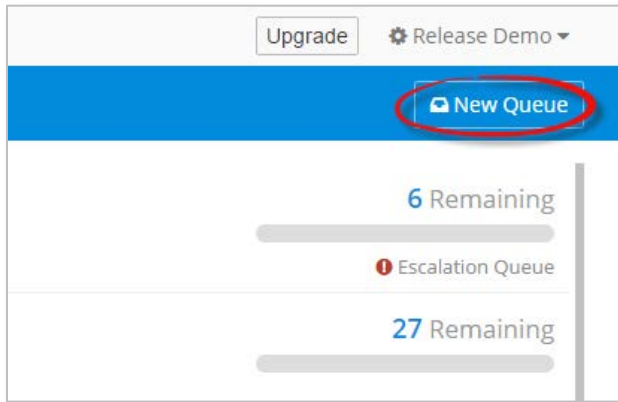
# Queue Management

## Review Queue Creation

To create a Review Queue,

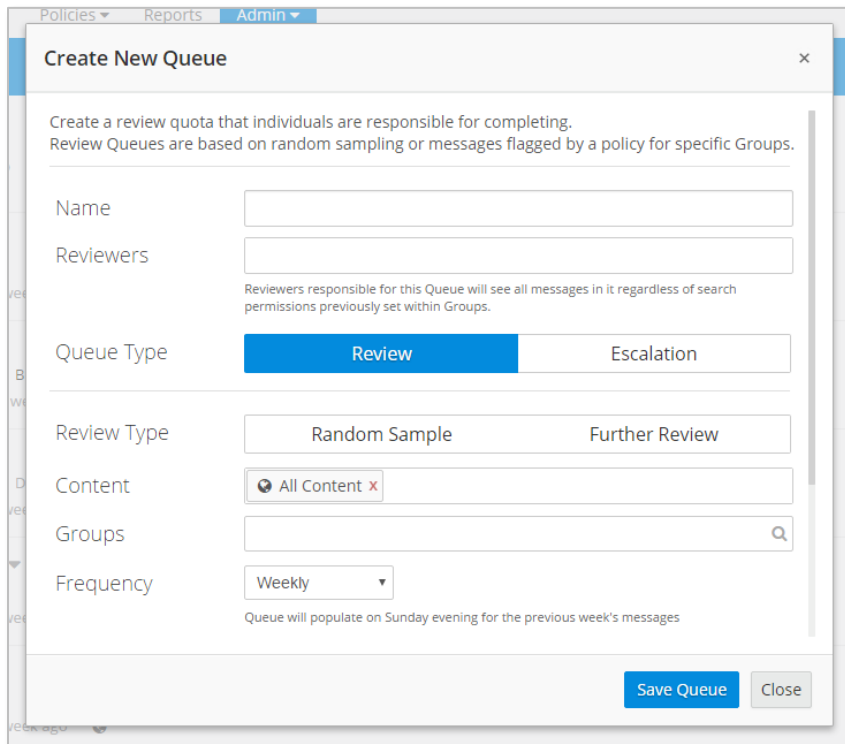
1. From the Queues administration page, click the **New Queue** button (Figure 1.3).

Figure 1.3



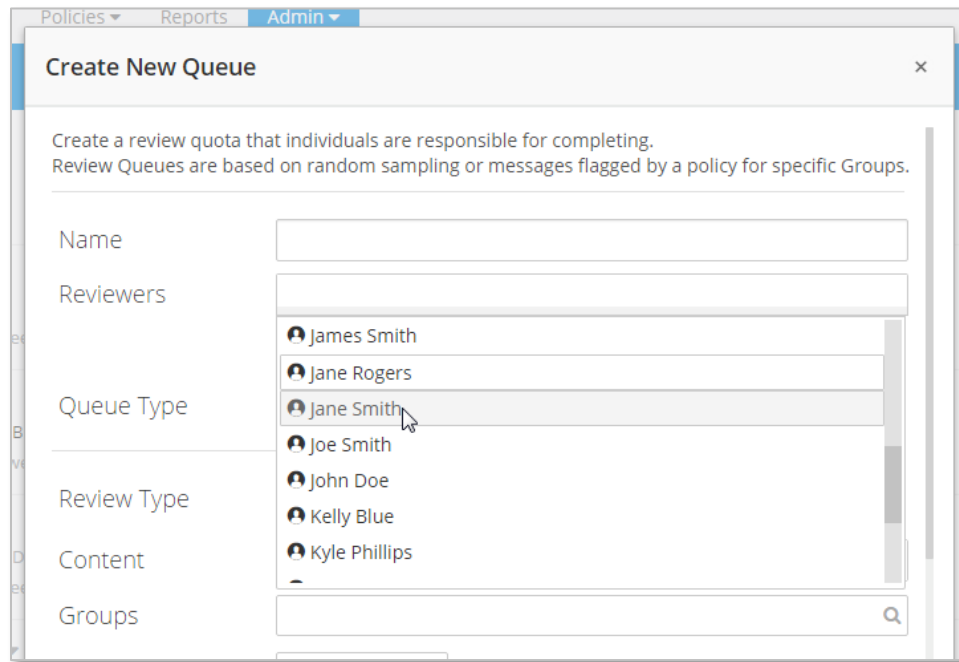
2. A pop-up modal (Figure 1.4) will prompt you to enter the following information for your Queue

Figure 1.4



- a. **Name**
- b. **Reviewers:** Choose which reviewers are responsible for reviewing the messages in the Queue (Figure 1.5)

Figure 1.5



Policies ▾ Reports Admin ▾

### Create New Queue ✕

Create a review quota that individuals are responsible for completing.  
Review Queues are based on random sampling or messages flagged by a policy for specific Groups.

Name

Reviewers

- James Smith
- Jane Rogers
- Jane Smith
- Joe Smith
- John Doe
- Kelly Blue
- Kyle Phillips

Queue Type

Review Type

Content

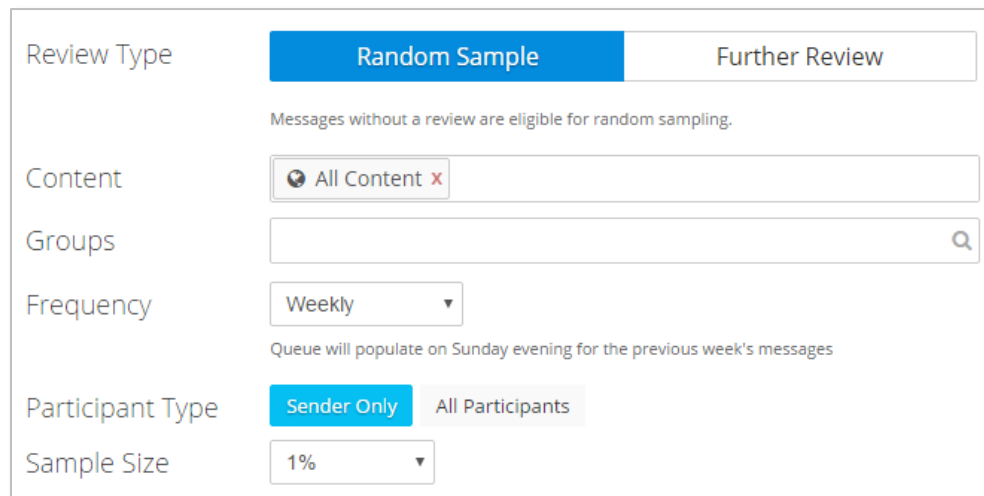
Groups

- c. **Queue Type:** Review
- d. **Review Type:** Choose to populate your Queue with **either** a random sample, **or** messages flagged for further review



- **Random Sample Options (Figure 1.6)**

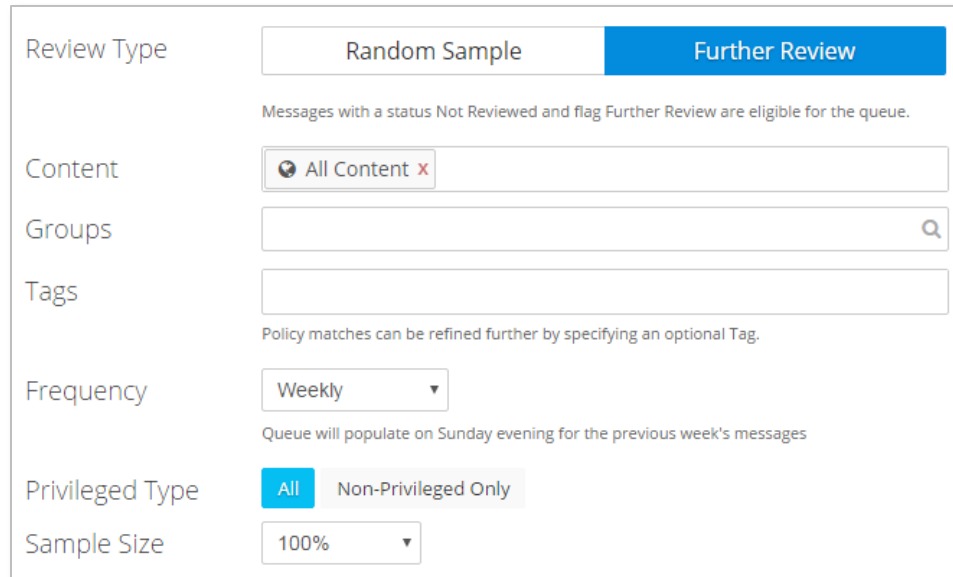
Figure 1.6



- **Content:** Populate your queue with data from all content types you archive, or drill down to specific content types like Email, LinkedIn, or Bloomberg data.
- **Groups:** Choose which hierarchy Groups (or users from your Groups) whose data will populate the Queue. Fill in this field by searching for a Group name, address or screen name. **Note:** Queue access permissions override view permissions set at the Group level.
- **Frequency:** Choose to automatically add messages to your Queue on a daily, weekly, or monthly basis.
  - If you choose **Daily**, your Queue will populate every morning with the previous day's messages.
  - If you choose **Weekly**, your Queue will populate on Sunday evening with the previous week's messages.
  - If you choose **Monthly**, your Queue will populate on the 1<sup>st</sup> of each month.
- **Participant Type:**
  - **Sender Only:** Selecting **Sender Only** will populate your queue based only on message senders from the Groups selected above
  - **All Participants:** Selecting **All Participants** will populate your queue based on message participants (not just senders) from the Groups selected above
- **Sample Size:** Choose the sample size of messages to populate your Queue (either a set or custom percentage, or a set or custom number of results). Random Sample Queues default to a sample size of 1%.

- **Further Review Options** (Figure 1.7)

Figure 1.7



- **Content:** Populate your queue with data from all content types you archive, or drill down to specific content types like Email, LinkedIn, or Bloomberg data.
  - **Groups:** Choose which hierarchy Groups (or users from your Groups) whose data will populate the Queue. Fill in this field by searching for a Group name, address or screen name. **Note:** Queue access permissions override view permissions set at the Group level.
  - **Tags:** Opt to populate the Queue with messages that have a specific Tag attached
  - **Frequency:** Choose to automatically add messages to your Queue on a daily, weekly, or monthly basis.
    - If you choose **Daily**, your Queue will populate every morning with the previous day's messages.
    - If you choose **Weekly**, your Queue will populate on Sunday evening with the previous week's messages.
    - If you choose **Monthly**, your Queue will populate on the 1<sup>st</sup> of each month.
  - **Privileged Type:** Choose to only show messages flagged as non-privileged, or to show messages regardless of privileged status
  - **Sample Size:** Choose the sample size of messages to populate your Queue (either a set or custom percentage, or a set or custom number of results). Further Review Queues default to a sample size of 100%.
- e. **Allow Escalation:** Select this option to associate your Review Queue with an Escalation Queue, so that reviewers can escalate messages that may be violations for additional supervisory review.
- f. **Escalation Queues:** Choose which Escalation Queue(s) escalated messages should flow into from your list of configured Escalation Queues. If no Escalation Queues have been configured, this dropdown will be empty.

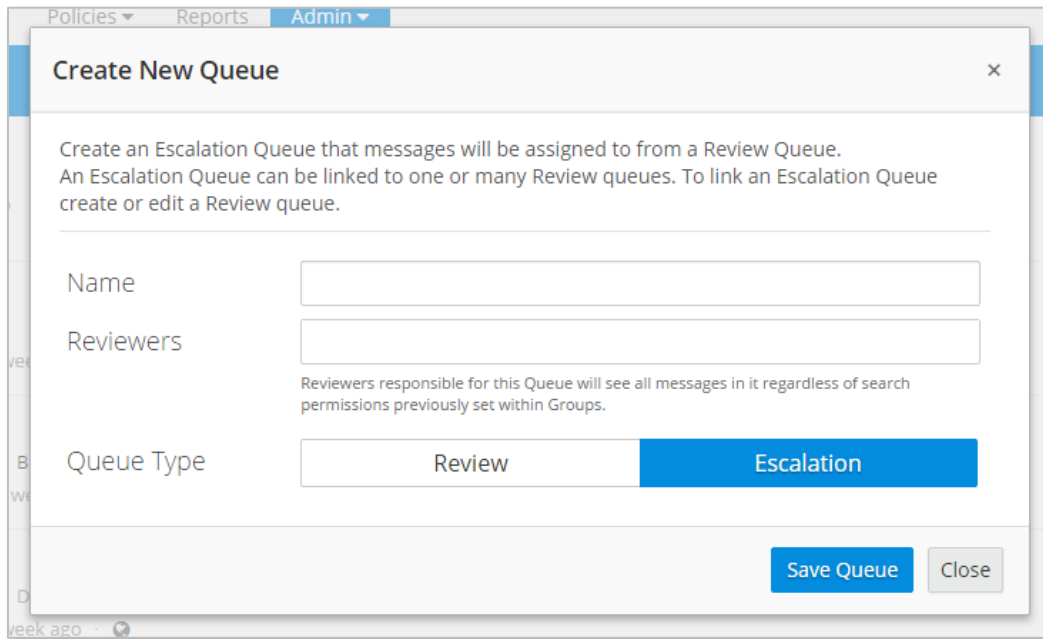
3. Once you have specified all options for your new Queue, click **Save Queue**

## Escalation Queue Creation

### To create an Escalation Queue,

1. From the Queues administration page, click the **New Queue** button.
2. A pop-up modal (Figure 1.8) will prompt you to enter the following information for your Queue

Figure 1.8



- a. **Name:** Choose a name for your Escalation Queue
  - b. **Reviewers:** Select which supervisors should have access to the Escalation Queue
  - c. **Queue Type:** Choose Escalation
3. Click **Save Queue**

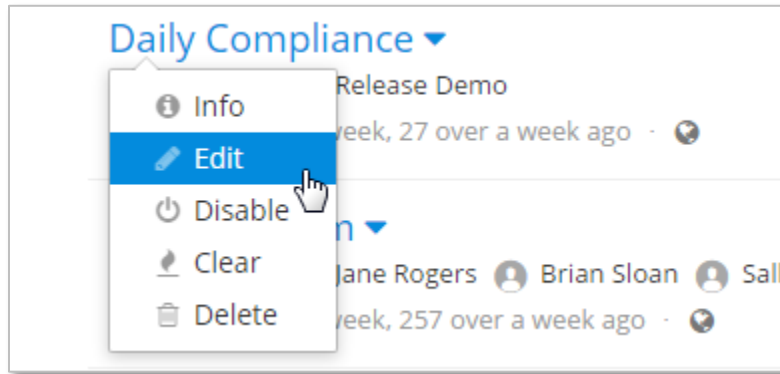
To define which Review Queues should flow into your Escalation Queues, see [Associate an Escalation Queue with a Review Queue](#).

## Modify an Existing Queue

To modify a Queue that already exists,

1. From the Queues administration page click the name of the Queue
2. Select from the list of options (Figure 1.9):

Figure 1.9



- a. **Info:** View the Queue criteria and details without modifying the Queue
- b. **Edit:** Update Queue criteria or the reviewers with access
- c. **Disable:** Suspend the Queue, but do not delete it. If a Queue is disabled, new messages will not be added, but it will continue to appear for Users with review access to that Queue.
- d. **Clear:** Remove all messages currently populating a Review Queue
- e. **Delete:** Remove the Queue entirely

**Notes:**

- Neither **Clear** nor **Delete** will purge any messages from the archive
- The Clear option is not available for Escalation Queues

## Associate an Escalation Queue with a Review Queue

Multiple Review Queues can be associated with a single Escalation Queue, and a single Review Queue can be associated with multiple Escalation Queues. To define which Review Queues flow into your Escalation Queue(s):

1. From the Queues administration page click the name of the Review Queue you want to use as the source for the Escalation Queue, then select **Edit** from the dropdown
2. A pop-up modal with the current Queue settings will appear
3. At the bottom of the modal, select **Allow Escalation**
4. Use the dropdown to choose which Escalation Queue(s) escalated messages from the Review Queue should flow into
5. Click **Save Queue**

## Message Review Within a Queue

### View Your Queues

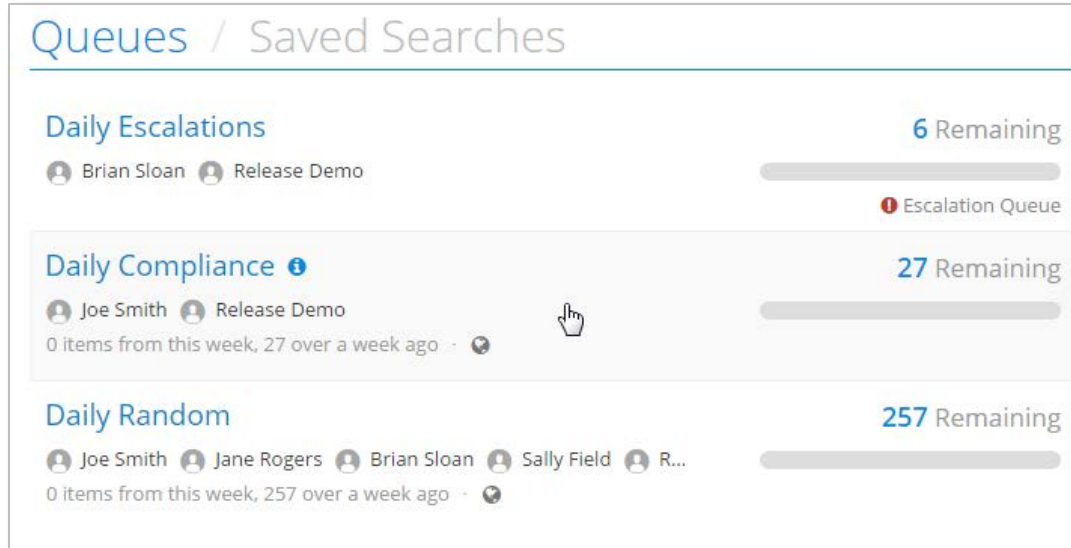
Once a queue has been created and populated with messages, Queues are visible in two locations:

1. For administrators, all Queues are visible from the Queues administration page
2. For reviewers, a Queues dashboard is accessible from the main Archiving Platform dashboard, visible when reviewers first log in

### To view a Queue as a reviewer,

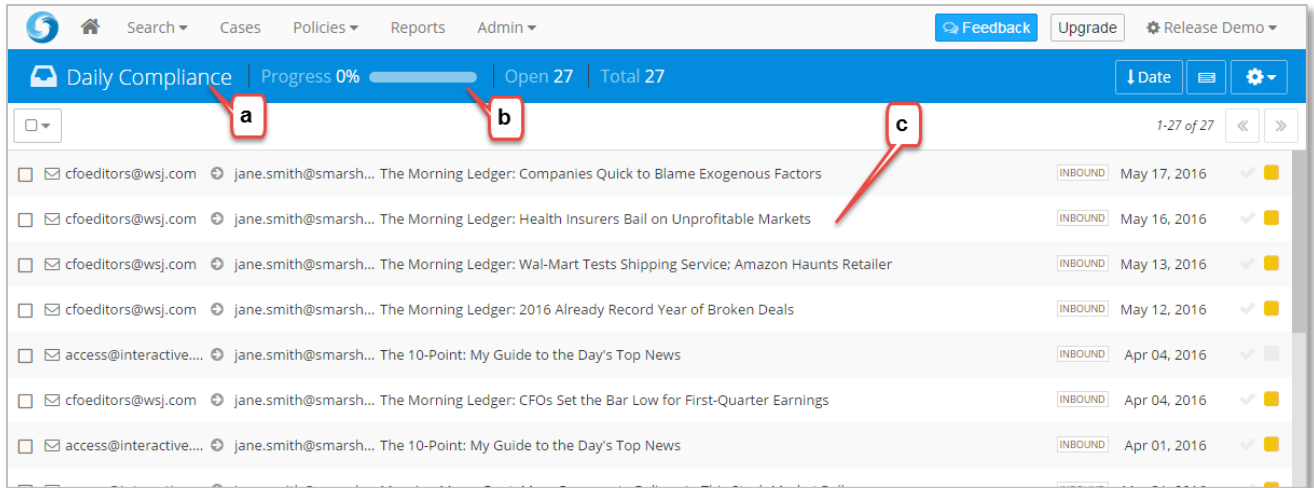
1. Log in to **The Archiving Platform**
2. Click on the Queue to display the contents of that Queue (Figure 2.1)

Figure 2.1



3. When viewing a single Queue (Figure 2.2), you can see:
  - a. The name of the Queue
  - b. The Queue Progress Indicator, which is a visual representation of how many messages are awaiting review in the Queue. As you review and close messages, the indicator percentage increases and the progress bar advances.
  - c. The messages populated in your Queue

Figure 2.2



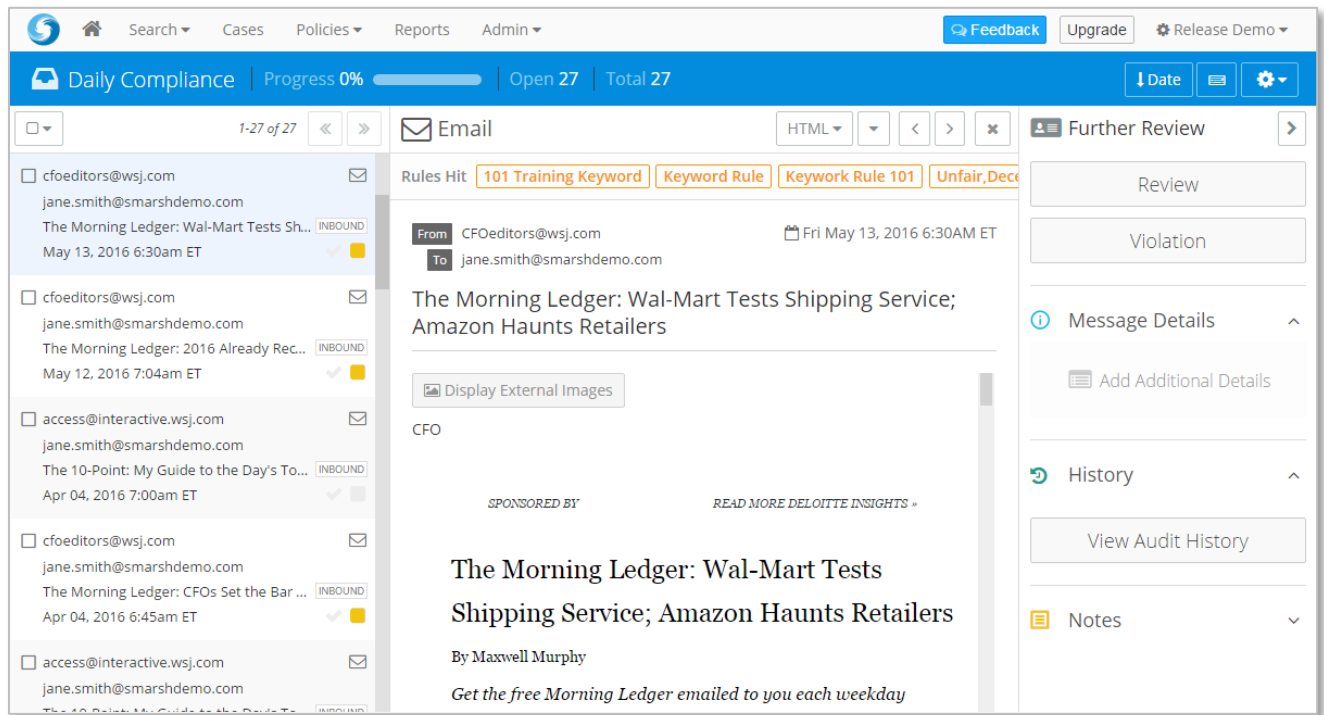
## Review Messages

Messages in a Queue are reviewed the same way that messages are reviewed within The Archiving Platform. They can be reviewed one by one, or in bulk (using the checkboxes along the left side).

### To review messages in a Queue,

1. Click on a message from the message list view to display the message review pane in the middle and the action panel on the right (Figure 2.3):

Figure 2.3



2. From the message review pane, use the action panel to:
  - a. Mark messages as Reviewed or as a Violation. **Note:** Review Queues linked to an Escalation Queue will display an Escalate button instead of a Violation.
  - b. Update Message Details
    - i. Apply Tags
    - ii. Add to a Case
    - iii. Assign to a specific reviewer
    - iv. Manually apply retention policies
    - v. Add review notes
  - c. View Audit History
  - d. Add review notes
3. Changes made in the action panel apply automatically (no need to save or update manually). Clicking **Review**, **Escalate**, or **Violation** will update the message status and advance to the next message

## Need More Help?

### Common Support Questions

[Visit our FAQ](#) for on-demand help. You must be logged in to the Archiving Platform to view all available help resources.

### Register for an Online Training Webinar

[Register for a live webinar](#) with a member of our Customer Success team.

### Submit a Support Case

[Open a case](#) with our Support team (select product The Archiving Platform). A Support Technician will reach out to assist.

If you are interested in adding the Supervision Module, simply click the **Upgrade** button within The Archiving Platform.