

CA Email Supervision Policy Catalog

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Document Overview

This document provides an overview and description of the types of content that CA Email Supervision can detect out of the box. The availability of pre-built templates eliminates the need to design new rules from scratch, thereby accelerating deployment to enable you to more quickly begin effectively managing electronic communications. Each template described in this document was developed through close collaboration with industry leaders who are leveraging our solution in their production environments. The templates have been designed to detect sensitive information related to a number of specific industries both in the United States and around the globe. There are also a number of templates that have been designed to support general monitoring of employee behavior that could put your organization at risk. CA periodically updates these templates and any updates made will ship as part of the next release and be described in the product release notes. CA also welcomes the opportunity to work with your organization to develop new templates that can be shipped and shared with the broader user community.

Policy Primer

To get the most out of the pre-built templates described in this document, you will need to configure and enable what is known in the system as a policy. A policy within CA Email Supervision consists of (a) mechanisms to detect information that is sensitive to the organization, (b) enhancement parameters which describe the context in which the data is being used and (c) any action that should be taken by the system once content is discovered in the correct context.

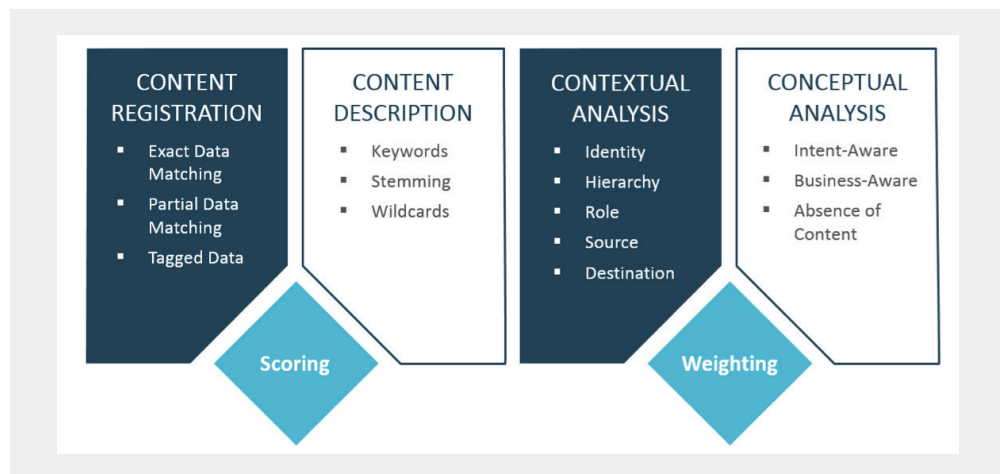
For purposes of this document, we are describing policies that are developed leveraging regular expression or “content description” templates. The solution also supports content registration or “fingerprinting”.

Why do I need this capability? Many of our customers who transition from existing supervision solutions begin simply by inspecting content residing in the email archive. Their previous solutions supported keyword searches and complex sampling rules that pull content for review at random. Once they have migrated operations to CA Email Supervision, they quickly discover that they can use policy enhancements to reduce noise and false positives by accurately describing the context surrounding the communications that they are reviewing. For example, your organization may need to monitor all communications between two departments, but there may be certain in scope communications that occur that include “safe” content, senders or recipients that should not be subject to review. There might also be certain communications that should be prioritized for review above others so that the organization can respond in a timely fashion. This is where CA Email Supervision policy capabilities shine.

Now, consider that these same communications could be detected and managed in real time. With CA Email Supervision, you can configure policy to block or warn when certain communications occur or even quarantine for delegated review.

Figure 1.

CA Email Control Policy Capabilities



Corporate and Regulatory Compliance

Anti-Money Laundering - OFAC

This policy is designed to help detect suspicious financial transactions such as tax evasion or false accounting, especially with entities that appear on the U.S. OFAC list.

Bid Rigging Detection: Insurance

This policy is designed to help detect 'B' bids, and other electronic communications indicative of bid rigging, as it relates to the insurance industry.

Bid Rigging Detection: Municipal Bond Issuance

This policy is designed to help detect language that indicates possible bid rigging related to Municipal Bond issuance.

Blast E-Mail

This policy is designed to help detect blast e-mail which is sent to more than a specified number of external recipients at one time.

Bribes/Kickbacks/Quid Pro Quos/Blackmail

This policy is designed to help detect involvement in bribery or blackmail schemes.

Broker Error

This policy is designed to help detect indications that a broker has made or is attempting to correct an error with respect to trading.

Communication with Regulatory, Legal, and Governmental Authorities

This policy is designed to help detect communications between an employee and regulatory, legal, and governmental authorities.

Fair and Balanced Advice

This policy is designed to help detect unbalanced communication by recognizing claims and statements that focus solely on positive or negative aspects of a product, advice, or decision.

Information Destruction Alert

Electronic information can be eliminated as easily as it is created, making the uncontrolled destruction of retained information an unacceptable risk. This policy is designed to help detect text indicative of a suggestion to eliminate e-mail messages, computer files, or documents. It also detects general references to retention rules.

Investment Advice Prohibition

This policy is designed to help detect messages that appear to contain investment advice or recommendations.

Securities Parking

This policy is designed to help detect evidence of two parties engaged in a possible "trade parking", or "wash trade", arrangement.

Solicitations: Charitable

This policy is designed to help detect solicitations or requests for contributions to charities, student fundraisers, or other non-commercial and non-political organizations.

Solicitations: General

This policy is designed to help detect language containing general references to contributions or solicitations for contributions.

Solicitations: Political

This policy is designed to help detect solicitations or requests for contributions to political causes or campaigns.

Solicitations: Private Investments

This policy is designed to help detect language containing references to contributions or solicitations for contributions to private investment activities.

Solicitations: Religious

This policy is designed to help detect solicitations or requests for contributions to religious organizations.

Tax Advice Prohibition

In general, a representative must be both qualified, and allowed by the firm, in order to offer 'advice' to a customer. This policy is designed to help detect messages where a non-tax professional offers tax advice to a public customer.

Trading in an Outside Account: Order Confirmations

This policy is designed to help detect order confirmations so as to identify trading activity, for one's personal account, outside of firm-approved processes and/or procedures.

Trading in an Outside Account: Order Placements

This policy is designed to help detect trade order placements, for one's personal account, outside of Firm-approved processes and/or procedures.

Whistleblower

This policy is designed to help detect possible whistle blower situations.

Customer/Supplier Treatment

Customer Complaints: Response Prohibition

Most companies do not allow their representatives to directly respond to a customer complaint. This policy analyzes outbound external e-mail for indications that a representative has directly responded to a customer complaint, which may or may not have been received initially by e-mail.

Customer Complaints: Unprofessional Responses

This policy analyzes outbound external e-mail for indications that a company representative has directly responded to a customer complaint, which may or may not have been received initially by e-mail, in an unprofessional and/or un-empathetic manner.

Customer Conditioning

This policy is designed to help detect communications to a customer that include pressuring language. This may include attempts to force the customer to accept products or services they do not want or need.

Customer Threats

This policy is designed to help detect language that indicates pressure being used against a customer in order to limit business with competitors. This is an example of anti-competitive behavior and can be a violation of anti-trust regulations.

Exclusivity

This policy is designed to help detect language that suggests an attempt to establish full control over sales to a third party. This is an example of anti-competitive behavior and can be a violation of anti-trust regulations.

Gifts and Entertainment

Gifts and entertainment form a common part of many business relationships, yet have the potential to create conflicts. This policy is designed to help detect when a business expense violates policy or law and becomes a gift.

Guarantees and Assurances

Guarantees, though often considered a part of "fair and balanced" communication, carry with them legal, regulatory, and financial risks, as well as risks to a firm's reputation. This policy is designed to help detect guarantees or assurances and can be used to prevent them from reaching customers.

Unqualified Rebates or Benefits

This policy is designed to help detect an offer of a rebate when the terms and conditions have not been met. This can be used as a method to offer money to a customer for excluding competitors or accepting otherwise unwanted products.

Employee Behavior

Coercive Behavior and Intimidation

This policy is designed to help detect coercive behavior and intimidation in the workplace.

Communication with Competitors

This policy is designed to help detect electronic communication between an employee and competitor companies.

Communication with the Press/News Organizations

This policy is designed to help detect electronic communication between an employee and the press or media organizations.

Corporate Criticism

This policy is designed to help detect criticisms and negative comments about the company, its products, or the management team.

Deceptive Language

This policy is designed to help detect communications that may include false or misleading information. In addition, it detects references that indicate inappropriate offline communications.

Discrimination and Racism

This policy is designed to help detect inappropriate discriminatory language and/or actions based on race, gender, disability, sexual orientation, religion, age, and other legally protected classes. (Note: Sexual harassment related issues are covered by the Harassment policy.)

Discrimination: Age

This policy is designed to help detect communications containing words and phrases that indicate a likelihood that age discrimination is taking place or being referenced.

Fantasy Leagues

This policy is designed to help detect events and activities associated with participation in or running a fantasy sports league.

Gambling Prohibition

This policy is designed to help detect gambling and betting among employees. (Note: Fantasy leagues are covered by a separate policy.)

Harassment

This policy is designed to help detect harassment such as quid pro quo requests for sexual contact, or behavior that may alarm or annoy others.

Inappropriate, Offensive and Sexual Language

This policy is designed to help detect communications that may contain offensive and sexual language.

Intent to Resign

This policy is designed to help detect language indicative of an employee who is dissatisfied with their position or workplace and is actively engaged in seeking employment.

Jokes

This policy is designed to help detect electronic communication of a wide range of joke formats and subjects. (Note: It does not address communication that originated outside the firm, but will capture such events if the recipient within the firm attempts to forward them.)

Office Relationships: Romantic

This policy is designed to help detect communications of a romantic nature, or language indicating that such a personal relationship exists.

Outside Business Activity/Directorships/Employment

This policy is designed to help detect communications that suggest an employee is engaged in external business activities unrelated to the company; serving or considering serving on another company's board of directors; or is participating in other activities that might affect the employee's performance at the company.

Termination/Layoff Discussions

This policy is designed to help detect communications concerning potential and pending terminations and layoffs.

UK Resumes/CVs

This policy is designed to help detect UK resumes in standard format.

US Resumes/CVs

This policy is designed to help detect US resumes in standard format.

Intellectual Property

Confidential Trade Data

This policy is designed to help detect confidential information such as trade secrets, proprietary processes and technical competitive differentiators.

Patent Applications

This policy is designed to help detect non-public patent applications.

Product and Design Specifications

This policy is designed to help detect functional or marketing specifications of material, products, or services.

Proprietary Software Code

This policy is designed to help detect software code, programs, and executables.

Technical Specifications or Designs

This policy is designed to help detect technical designs and specification documents related to products or services.

Legal

Attorney Client Privilege

When a privileged communication or document leaves an organization any privilege associated with it may be waived. This policy is designed to help detect the external transmission of any such communications.

Discussion of Legal Proceedings

This policy is designed to help detect communications related to legal proceedings such as pending civil lawsuits, criminal proceedings, and/or administrative hearings or trials. (Note: Threats of contemplated litigation against the organization are not intended to be covered by this policy.)

Potential Ethical Issues

This policy is designed to help detect potential ethical misconduct or claims of ethical misconduct and alerts the proper internal legal representative.

Potential Legal Issues

Often, questions are circulated internally about the legality of a particular action or business practice without informing a legal representative until the problem has been made public or resulted in some harm. This policy is designed to help detect such discussions and alerts the appropriate legal representative.

Threats of Litigation

This policy is designed to help detect discussions indicating an outside party or an internal employee suggesting or overtly threatening to file a lawsuit against the company.

Non-Public Information

Board Minutes and Discussions

This policy is designed to help detect communications between or concerning board members of an organization.

Corporate Contracts

This policy is designed to help detect the language that is typically used in corporate contracts.

Customer Lists

This policy is designed to help detect multiple occurrences of various types of customer contact information.

Draft Documentation

This policy is designed to help detect and prevent draft documentation, and discussions surrounding it, being sent outside an organization.

Financial Information - Balance Sheet

This policy is designed to help detect content found on financial balance sheets.

Financial Information - Income Statement

This policy is designed to help detect content found on financial income statements.

Financial Information - Projections

This policy is designed to help detect the disclosure of financial projections.

Information Security Label Control

This policy is designed to help detect sensitive material classified in various ways such as “confidential”, “top secret”, and “not for distribution”.

Inside Information: Front Running/Trading Ahead

This policy is designed to help detect messages exhibiting evidence that a market participant is attempting to profit financially by placing transactions before (in front of) another market player, or customer, by leveraging the information a “tipper” possesses about what that market player/customer intends to do.

Inside Information: Non-Public Company Information Loss

This policy is designed to help detect non-public company insider information, such as management discussions.

Inside Information: Non-Public Financial Information Loss

This policy is designed to help detect disclosure of non-public company financial and stock information.

Inside Information: Rumors and Secrets

This policy is designed to help detect unsubstantiated information or rumors about an organization or client.

Inside Information: Trading Ahead of Research

This policy is designed to help detect language indicative of two or more parties disseminating non-public information regarding advance knowledge of pending research.

Internal Investigations

This policy is designed to help detect the existence, purpose, and/or results of company specific investigative matters.

Internal IT Support Documents

This policy is designed to help detect internal IT system and support documentation.

Licensing Agreements

This policy is designed to help detect information containing software license agreements.

Mergers and Acquisitions

This policy is designed to help detect discussions and documents pertaining to pending or proposed merger and acquisition transactions in which the organization is or will be participating. (Note: Transactions such as IPOs, private placements, and other prospectus offerings are not expressly included in this policy.)

Pricing List

This policy is designed to help detect non-public pricing information.

Project Information

This policy is designed to help detect various types of project information such as project plans, timelines, project codes, task lists, and issue lists related to project planning and deployments.

Restricted List

This policy is designed to help detect items and content on restricted lists in e-mails and files. Restricted/Watch/Grey Lists are associated with services, products, companies, customers, or other defined business elements that have restrictions.

Sales Information

This policy is designed to help detect company sales information, sales collateral such as tools, models, contracts, fee structures, and deal information, and other elements supporting the sales organization.

Personal Health Information

Benefits Enrollment Information

This policy is designed to help detect benefit applications and other forms that include personal health information.

Diagnosis Information

This policy is designed to help detect medical diagnosis information including mental, physical and addiction-related ailments.

Individually Identifiable Health Information (IIHI) This policy is designed to help detect individually identifiable information in conjunction with medical information related to patients, employees, or customers.

Medical Billings and Claims

This policy is designed to help detect medical billing information and claims data including submissions to insurance companies, approvals and denials of payment, and continuing correspondence.

Medical History

This policy is designed to help detect medical history information including diagnosis and prescription details.

Medical Record Numbers

This policy is designed to help detect medical record numbers used in the identification and treatment of patients.

Medical Record Numbers - Threshold

This policy is designed to help detect a specified amount (or threshold) of medical record numbers used in the identification and treatment of patients.

Personally Identifiable Information

Account Number

This policy is designed to help detect specific account numbers and/or account numbers that fall within a particular range. Numbers may be entered exactly or matched with a template.

Account Number - Threshold

This policy is designed to help detect a specified amount (or threshold) of specific account numbers and/or account numbers that fall within a particular range.

Account Number and Routing Information

This policy is designed to help detect both an organization's account number(s) and the associated routing number(s).

Account Number with Additional PII

This policy is designed to help detect specific account numbers and/or account numbers that fall within a particular range when accompanied by at least one or more pieces of identifying information such as name, address or DOB that could be used for identity theft.

Australian Medicare Card Number

This policy is designed to help detect one or more Australian Medicare Card Numbers in various formats.

Australian State Drivers License

This policy is designed to help detect one or more Australian State Drivers License Numbers in various formats.

Australian Tax File Number

This policy is designed to help detect one or more Australian Tax File Numbers in standard format.

Background Checks

This policy is designed to help detect background information checks, including private and often sensitive data that might be communicated inappropriately.

Canadian Social Insurance Number

This policy is designed to help detect one or more Canadian Social Insurance Numbers in various formats.

Canadian Social Insurance Number - Threshold

This policy is designed to help detect a specified amount (or threshold) of Canadian Social Insurance Numbers in various formats. Canadian Social Insurance Number with Additional PII This policy is designed to help detect one or more Canadian Social Insurance Numbers when accompanied by at least two pieces of identifying information such as name, address or DOB which could be used for identity theft.

Chinese Identity Card Number

This policy is designed to help detect one or more Chinese Identity Card Numbers in standard format.

Credit Card Information

This policy is designed to help detect credit card numbers in various ranges and formats.

Credit Card Information - Threshold

This policy is designed to help detect a specified amount (or threshold) of credit card numbers in various ranges and formats.

Credit Report

This policy is designed to help detect inappropriate distribution of credit reports or credit related data issued by consumer reporting agencies (CRAs).

Employee Evaluation Information

This policy is designed to help detect employee evaluations, often regarded as private between an employee and an organization.

German Social Insurance Number

This policy is designed to help detect one or more German National Pension Numbers in standard format.

Hong Kong Identity Card Number

This policy is designed to help detect one or more Hong Kong Identity Card Numbers in standard format.

Indian Permanent Account Number

This policy is designed to help detect one or more Indian Permanent Account Numbers in standard format.

Indonesian Identity Card Number (Nomor Induk Kependudukan)

This policy is designed to help detect one or more Indonesian Identity Card Numbers in various formats.

Irish Personal Public Service Number

This policy is designed to help detect one or more Irish Personal Public Service Numbers in standard format.

Italian National Identification Number

This policy is designed to help detect one or more Italian National Identification Number in standard format.

Macau Non-Permanent Resident Identity Card (BIRNP) This policy is designed to help detect one or more Macau Non-Permanent Resident ID Numbers in standard format.

Macau Permanent Resident Identity Card (BIRP)

This policy is designed to help detect one or more Macau Permanent Resident ID Numbers in standard format.

Malaysian National Registration Identification Card Number

This policy is designed to help detect one or more Malaysian National Registration Numbers in standard format.

Pakistan National Identity Card Number

This policy is designed to help detect one or more Pakistan National Identity Card Numbers in standard format.

Singapore National Registration Identity Card

This policy is designed to help detect one or more Singapore National Registration Identity Card Numbers in standard format.

Social Security Number

This policy is designed to help detect one or more US Social Security Numbers in various formats.

Social Security Number - Threshold

This policy is designed to help detect a specified amount (or threshold) of US Social Security Numbers in various formats.

Social Security Number with Additional PII

This policy is designed to help detect one or more US Social Security Numbers when accompanied by at least one or more pieces of identifying information such as name, address or DOB that could be used for identity theft.

Taiwan Identity Card Number

This policy is designed to help detect one or more Taiwan Identity Card Numbers in standard format.

Thailand Population Identification Code

This policy is designed to help detect one or more Thailand Population Identification Codes in standard format.

UK Drivers License

This policy is designed to help detect one or more UK Driving License Numbers in various formats.

UK Drivers License - Threshold

This policy is designed to help detect a specified amount (or threshold) of UK Driving License Numbers.

UK Employee Compensation Information

This policy is designed to help detect information related to the compensation of their UK employees to identity outside the organization, to a particular group (e.g. HR), or to a select circle of individuals that are allowed to receive and send such compensation information.

UK National Insurance Number

This policy is designed to help detect one or more UK National Insurance Numbers (i.e. the U.K. equivalent of the U.S. SSN) in various formats.

UK National Insurance Number - Threshold

This policy is designed to help detect a specified amount (or threshold) of UK National Insurance Numbers in various formats.

UK National Insurance Number with Additional PII

This policy is designed to help detect one or more UK National Insurance Numbers when accompanied by at least two pieces of additional identity information such as name, address or DOB that could be used for identity theft.

UK Tax Identification Number

This policy is designed to help detect one or more UK Tax Identification Numbers in various formats.

UK Tax Identification Number - Threshold

This policy is designed to help detect a specified amount (or threshold) of UK Tax Identification Numbers in various formats.

Unencrypted Wire Transfer Information

This policy is designed to help detect unencrypted disclosure of wire transfer information.

US Drivers License

This policy is designed to help detect one or more US Drivers License Numbers in various formats.

US Drivers License - Threshold

This policy is designed to help detect a specified amount (or threshold) of US Driver License Numbers in various formats.

US Employee Compensation Information

This policy is designed to help detect information related to compensation for US employees being disclosed to parties outside the organization.

US Passport Number

This policy is designed to help detect US Passport Numbers in various formats.

US Passport Number - Threshold

This policy is designed to help detect specified amount (or threshold) of US Passport Numbers in various formats.

US Taxpayer Identification Number (TIN)

This policy is designed to help detect US Taxpayer Identification Numbers in various formats.

US Taxpayer Identification Number (TIN) - Threshold

This policy is designed to help detect a specified amount (or threshold) of US Taxpayer Identification Numbers in various formats.

Vietnam ID Card Number

This policy is designed to help detect one or more Vietnam ID Card Numbers in standard format.

Security General/Corporate Policy

Audio Files

This policy is designed to help detect the transmittal of audio media files.

E-mail to Personal Addresses

This policy is designed to help detect electronic communication with attachment(s) being sent to non-commercial domains (e.g., Hotmail, Yahoo, Gmail, and domains ending in .gov, .edu, .info, etc.).

Forwarding Senior Management E-mail or Documents

This policy is designed to help detect the forwarding of content originally sent by senior management.

Graphic and Image Files

This policy is designed to help detect graphic and image files in various formats.

Large Message or File Size

This policy is designed to help detect users sending or receiving messages over a certain size or files over a certain size.

Large Print Job Warning

This policy is designed to help detect print jobs that exceed a specified number of pages and warns the user.

Network Security Threats

This policy is designed to help detect common hacking utilities and terms such as spoofing, buffer overflow tools, log wiping tools and password database cracking tools.

Password Protection/Encryption: Prohibition

This policy is designed to help detect content that has been protected with a password or has been encrypted.

Random Sample

This policy will randomly select messages, based on a percentage that is defined by the firm, to be automatically included in a reviewer's queue.

Sharing of Usernames and Passwords

This policy is designed to help detect the disclosure and sharing of passwords both inside and outside the organization.

Suspicious E-mail Behavior

This policy is designed to help detect electronic communication with blank subjects whose context suggests that the sender is attempting to avoid detection.

Transfer of Attachments - Threshold

This policy is designed to help detect electronic communication with a specified number (or threshold) of attachments.

Transfer of Personal E-mail File Folders

This policy is designed to help detect inappropriate bulk transfer of e-mail file folders which includes .PST and .NSF files.

Video Files

This policy is designed to help detect video media files in various formats.

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