

# Ensure compliance management

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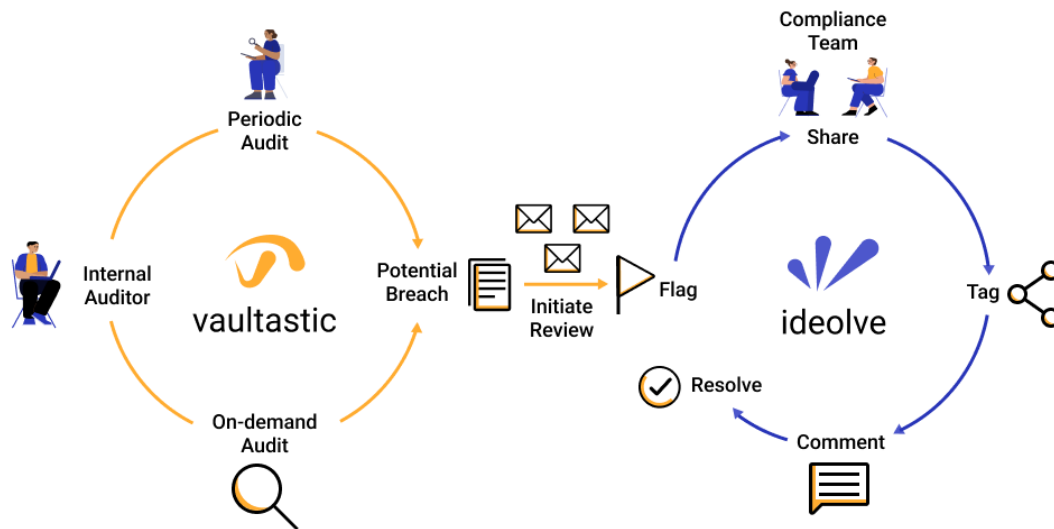
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## How you can ensure compliance management with Vaultastic

Regular proactive audits of email communication are crucial to mitigating conduct, reputational, and financial risks.

Organizations need to manage the risk related to information leakage and ensure regulatory compliance about supervision and reporting of email communications:

To ensure compliance, organizations often need the help of external experts, auditors, and enforcement agencies to review potential policy violations and decide the course of action.



## How can you share critical and possibly classified email information with external people while maintaining privacy and confidentiality?

- The integration of Vaultastic with [Ideolve](https://ideolve.mithi.com) (<https://ideolve.mithi.com>), Mithi's team collaboration tool, can be of great help here.
- The internal compliance team typically consists of an auditor with access to Vaultastic and who will follow daily, weekly, monthly routines or perform on-demand searches for objectionable emails to share with the other internal members and external auditors.
- The internal and external compliance team members will have shared access to specific workspaces on the Ideolve tool.
- The internal auditor will upload objectionable emails to the individual workspaces on ideolve and share those with the relevant people for deeper analysis and review.
- The team members will post comments and tag each other to collaborate and arrive at actionable steps to deal with the violation.
- And this entire activity, all comments, and decisions are recorded permanently in Ideolve as an audit trail for future reference.
- This document highlights the two-part process - the first is a one-time process of onboarding the compliance teams on Ideolve and Vaultastic. The second is the creation of proactive routines/SOPs to detect and manage (potential) policy violations.

## Preparation to ensure compliance management

## Onboarding the internal and external compliance team members on Ideolve

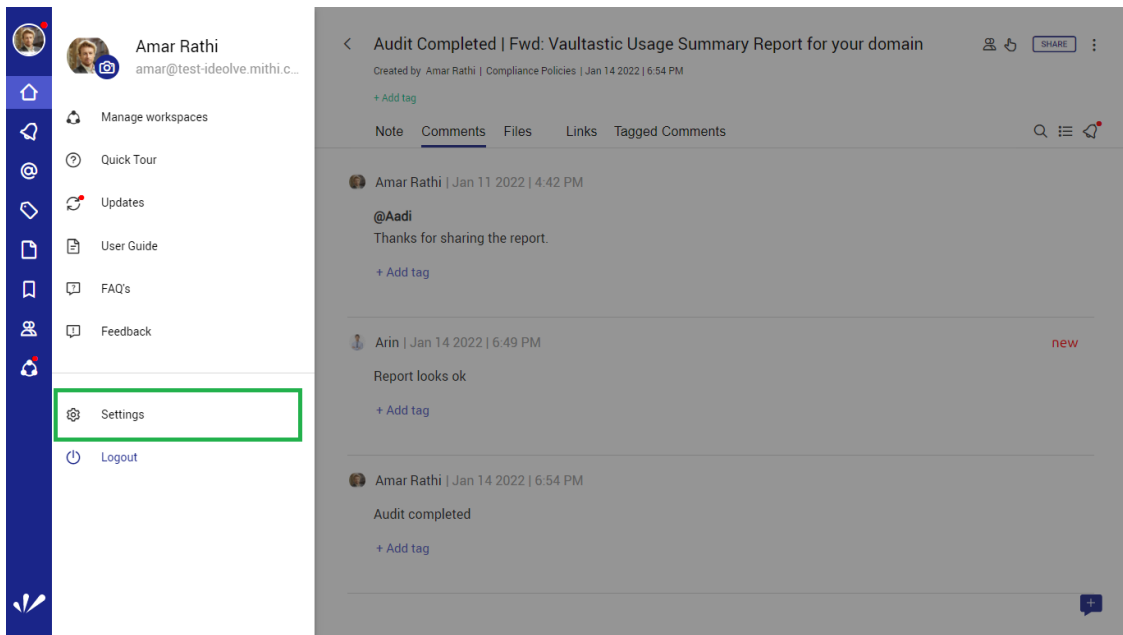
1. The internal auditor to [sign up on Ideolve](https://docs.mithi.com/home/how-to-sign-up-to-ideolve) (<https://docs.mithi.com/home/how-to-sign-up-to-ideolve>) using the business email id.
2. The internal auditor now [creates workspaces](https://docs.mithi.com/home/how-to-create-and-manage-workspaces-in-ideolve) (<https://docs.mithi.com/home/how-to-create-and-manage-workspaces-in-ideolve>) for each category of compliance (e.g., “regulatory compliance,” “communication policy compliance,” “information leakage review”) to segregate the reviews and possibly the compliance teams too. This structure is as per the organization's policy.
- The internal auditor now [invites relevant internal and external auditors](https://docs.mithi.com/home/how-to-create-and-manage-workspaces-in-ideolve#send-an-invitation%C2%A0to-join-workspaces) (<https://docs.mithi.com/home/how-to-create-and-manage-workspaces-in-ideolve#send-an-invitation%C2%A0to-join-workspaces>) and team members to each workspace by adding their email ids. The members will accept the invites and create their Ideolve account to now be a part of the relevant workspace(s).

## Onboarding the internal auditor on Vaultastic

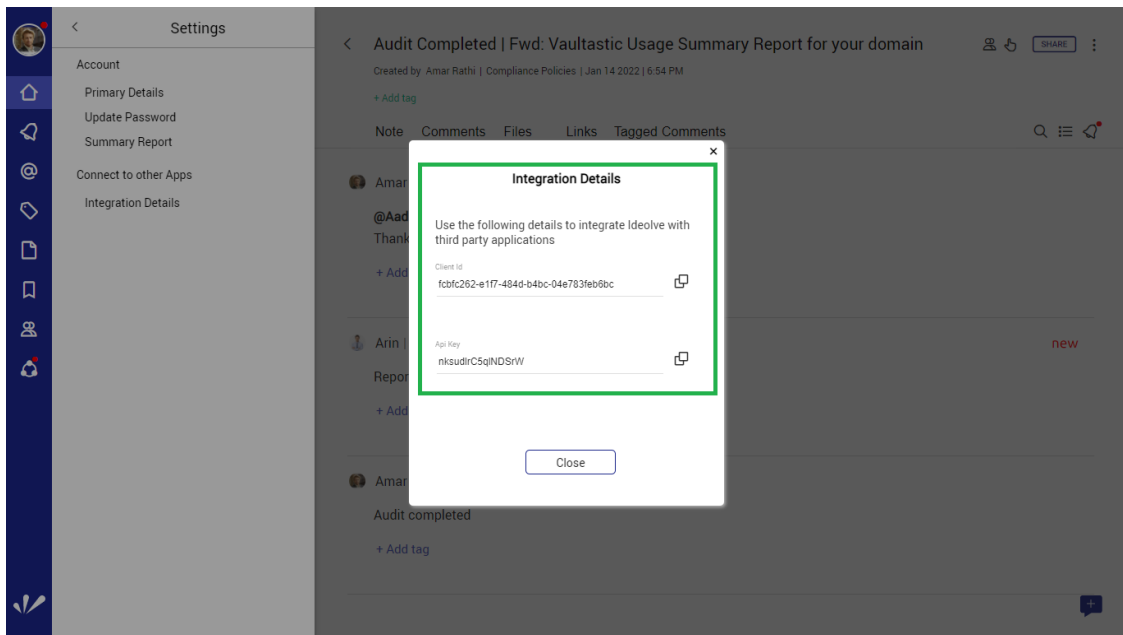
1. Log in [as the Vaultastic Administrator](https://docs.mithi.com/home/how-to-log-in-to-the-admin-panel) (<https://docs.mithi.com/home/how-to-log-in-to-the-admin-panel>).
2. Ensure that you have [enabled archiving](https://docs.mithi.com/home/how-to-configure-your-primary-email-server-to-journal-or-forward-live-mail-to-vaultastic) (<https://docs.mithi.com/home/how-to-configure-your-primary-email-server-to-journal-or-forward-live-mail-to-vaultastic>) for all or targeted employees.
3. Provide [ediscovery access](https://docs.mithi.com/home/how-to-use-the-ediscovery-view-to-quickly-locate-mail-or-do-a-compliance-check) (<https://docs.mithi.com/home/how-to-use-the-ediscovery-view-to-quickly-locate-mail-or-do-a-compliance-check>) to all vaults or selected ones to the designated internal auditor.

## Integrate Ideolve with Vaultastic

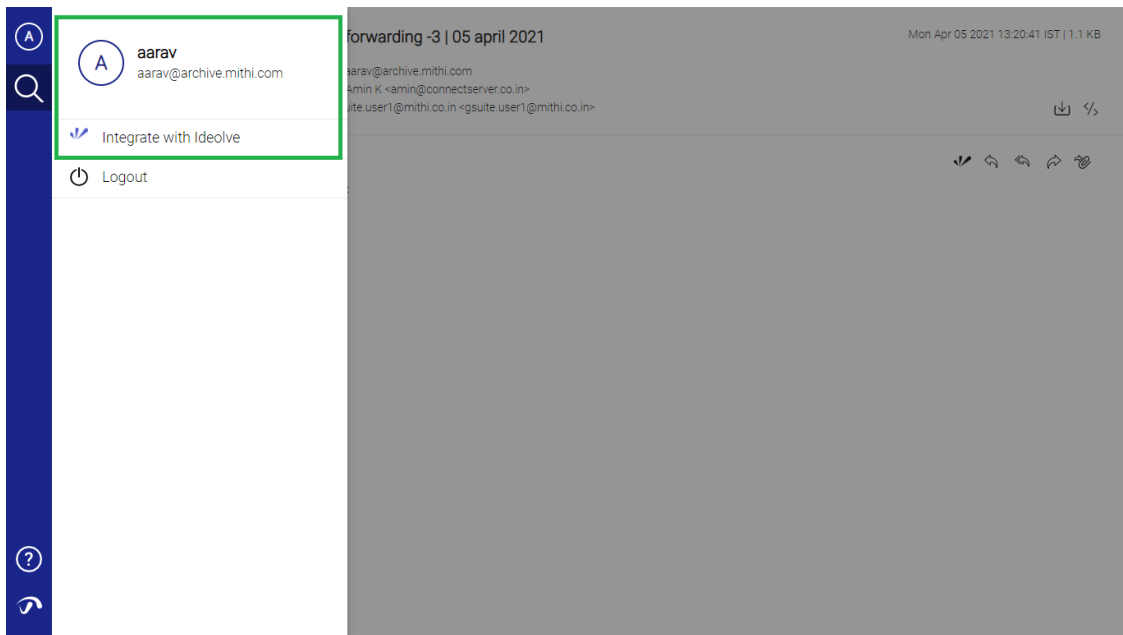
1. [Login to Ideolve](https://docs.mithi.com/home/how-to-log-in-to-ideolve) (<https://docs.mithi.com/home/how-to-log-in-to-ideolve>)
2. The top icon on the Application Bar shows your profile photo. Click on the Profile photo and navigate to the **Settings** page.



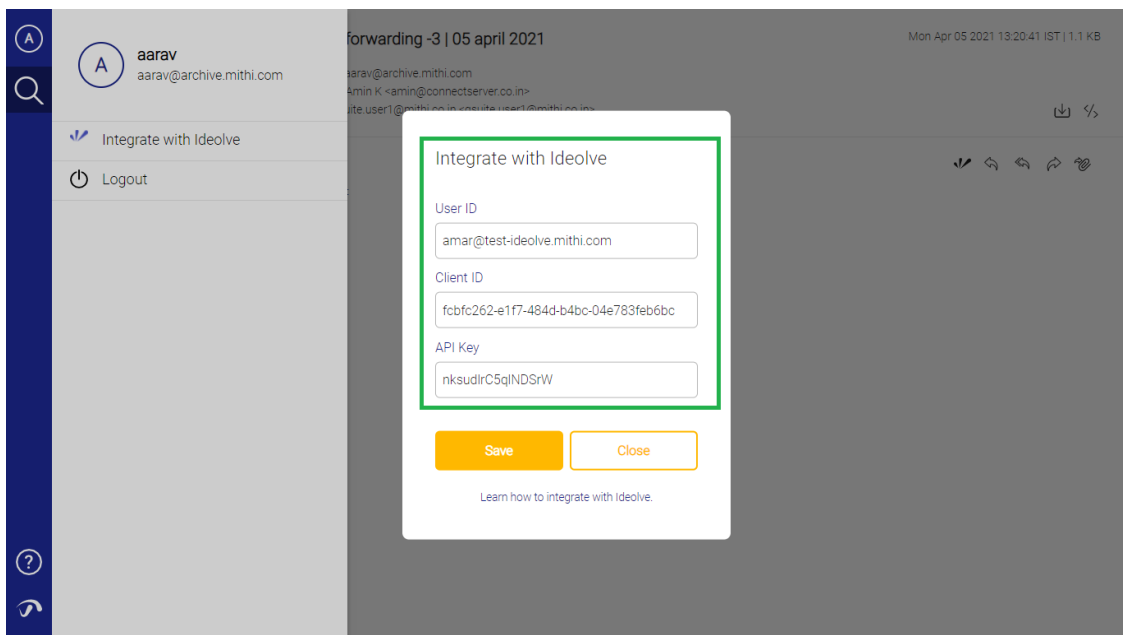
3. Navigate to **Integration Details** under **Connection to Other Apps**.
4. Copy the **Client ID** and the **API Key**.



5. [Login to Vaultastic \(https://docs.mithi.com/home/how-to-log-in-to-the-admin-panel\)](https://docs.mithi.com/home/how-to-log-in-to-the-admin-panel)
6. Click on the profile initials in the top left corner and select **Integrate with Ideolve**



7. Enter the email-id that you used for signing up on Ideolve in the **User ID** field
8. Enter the **Client ID** and **API key** that you noted in step 4
9. Click **Save**



## Routines/SOPs to ensure compliance management

### Define and save queries to detect breaches

Define and save searches that look for emails indicating a (potential) compliance violation.

Create the query using mail attributes, keywords, and a date range and give the saved search a relatable name, e.g., "breaches 1-7 Jan 2022", "information leakage," "tone violations," etc.

### Scan for breaches on-demand or periodically

1. Log in to Vaultastic (<https://docs.mithi.com/home/how-to-log-in-to-the-admin-panel>) as the internal auditor.
2. Run the appropriate saved search.

The screenshot shows an email client interface. On the left, a search bar contains 'Vaultastic Report' and shows 'Found: 9 | All'. The main pane displays an email with the subject 'Fwd: Vaultastic Storage Usage Report for your domain' and a date of 'Mon May 28 2018 16:58:58 IST | 18.2 KB'. The email content includes the Vaultastic logo, a 'VAULTASTIC STORAGE USAGE REPORT' header, and a table showing storage usage for 'vn1-com.vaultastic.com' as 0.0002 GB.

3. Review the results and upload all or selected mails to Ideolve. (<https://docs.mithi.com/home/vaultastic-ideolve-integration#uploading-mail-to-ideolve>)

This screenshot is identical to the previous one, but with a 'Review in Ideolve' dialog box overlaid on the right. The dialog box contains the email subject 'Fwd: Vaultastic Storage Usage Report for your domain' and a 'Select Workspace' dropdown menu.

4. While uploading, select the appropriate workspace (<https://docs.mithi.com/home/ideolve-concepts#workspaces>) and share each mail with the relevant auditors who are part of the workspace.

**eDiscovery** Search: Vaultastic Report

Found: 9 | All

May 28, 2018

**Fwd: Vaultastic Storage Usage Report f...**  
 Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>  
 To: aarav@mithi.com

May 28, 2018

**Fwd: Vaultastic Usage Summary Repor...**  
 Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>  
 To: aarav@mithi.com

May 28, 2018

**Fwd: Vaultastic User Creation Report fo...**  
 Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>  
 To: aarav@mithi.com

May 28, 2018

**Fwd: Vaultastic Missing Users Report f...**  
 Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>

**Review in Ideolve**

Fwd: Vaultastic Storage Usage Report for your domain

Select Workspace \*

Compliance Policies

Aadi Amar Rathi Arin

Enter user name, group name or Email Id

a

- Aadi aadi@test-ideolve.mithi.com
- Amar Rathi amar@test-ideolve.mithi.com
- Arin arin@mithiconnect.org
- Minali minali@mithi.com

**vaultastic**

**VAULTASTIC STORAGE USAGE REPORT**

**Greetings from Mithi,**

Thank you for using Vaultastic to archive email for your domain(s). Your Vaultastic Storage Usage **Report** as on 24-05-2018 is summarized in the table below.

To view storage used by individual accounts, refer to the CSV files attached

[vn1-com.vaultastic.com](http://vn1-com.vaultastic.com)

Storage Used(GB)	0.0002
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To know how you can get more out of your Vaultastic account, refer to the topics and vide [www.vaultastic.com/docs](http://www.vaultastic.com/docs)

In case you have **additional queries** or need assistance, feel free to write to us at

### 5. Vaultastic flags uploaded emails.

**eDiscovery** Search: Vaultastic Report

Found: 9 | All

May 28, 2018

**Fwd: Vaultastic Storage Usage Report f...**  
 Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>  
 To: aarav@mithi.com

May 28, 2018

**Fwd: Vaultastic Usage Summary Repor...**  
 Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>  
 To: aarav@mithi.com

May 28, 2018

**Fwd: Vaultastic User Creation Report fo...**  
 Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>  
 To: aarav@mithi.com

May 28, 2018

**Fwd: Vaultastic Missing Users Report f...**  
 Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>

**Fwd: Vaultastic Missing Users Report for your domain** Mon May 28 2018 16:58:10 IST | 18.3 KB

Vault: aarav@archive.mithi.com  
 From: Mark W <mark@baya.in>  
 To: <aarav@mithi.com>

**vaultastic**

**VAULTASTIC MISSING USERS REPORT**

**Greetings from Mithi,**

Thank you for using Vaultastic to archive email for your domain(s). Your Vaultastic Missing User **Report** as on 24-05-2018 is summarized in the table below.

For a detail list of missing users, refer to the CSV files attached.

[vn1-com.vaultastic.com](http://vn1-com.vaultastic.com)

No of missing users*	0
Mails dropped for missing users	0

### Review notes of the other auditors for flagged email

1. Log in to Vaultastic (<https://docs.mithi.com/home/how-to-log-in-to-the-admin-panel>) as the internal auditor.
2. Run the appropriate saved search.
3. The emails earlier uploaded to Ideolve will be flagged.

The screenshot shows an email client interface. On the left, a search bar contains 'Vaultastic Report' and a list of search results is visible. The main pane displays an email titled 'Fwd: Vaultastic Missing Users Report for your domain' dated 'Mon May 28 2018 16:58:10 IST | 18.3 KB'. The email content includes the Vaultastic logo, a header 'VAULTASTIC MISSING USERS REPORT', and a table with the following data:

No of missing users*	0
Mails dropped for missing users	0

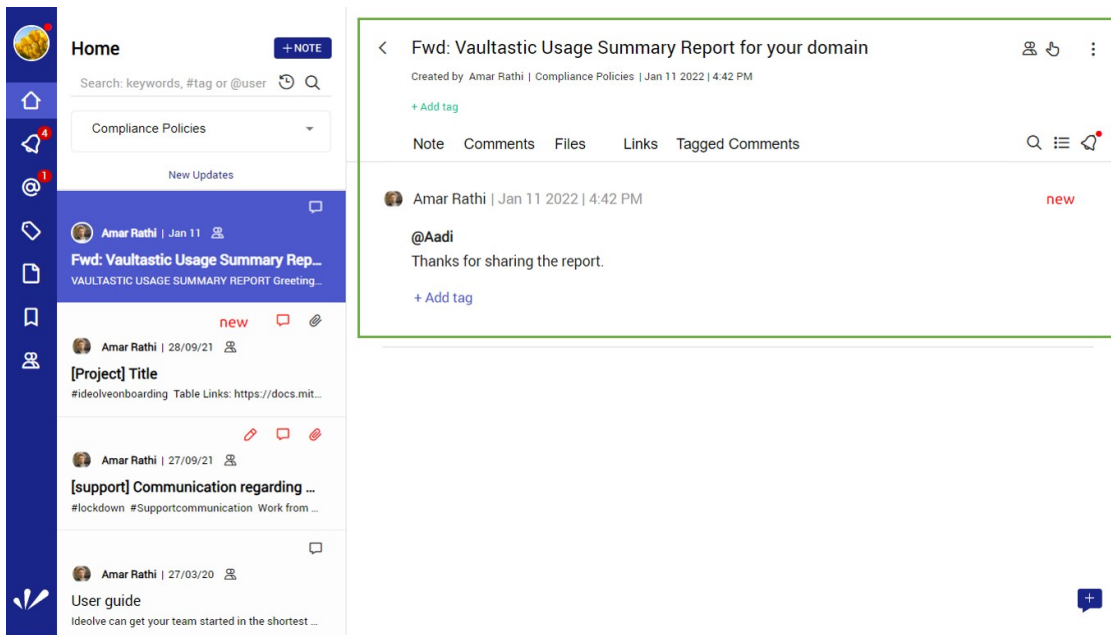
4. Click on any of the flagged emails to show the discussion thread for this email in the Ideolve widget.

This screenshot shows the same email client as above, but with an Ideolve discussion widget overlaid on the right. The widget title is 'Review in Ideolve' and it shows a discussion for the email 'Fwd: Vaultastic Usage Summary Report for your domain'. The discussion includes a post from 'Aadi' with '+1 users' and a comment from 'Amar Rathi' dated 'Jan 11 2022 | 4:42 PM' with the text '@Aadi Thanks for sharing the report.'

## Review discussions, comments by auditors for all flagged emails together

1. Log in to Ideolve (<https://docs.mithi.com/home/how-to-log-in-to-ideolve>) as the Internal auditor.
2. Switch to the required workspace (<https://docs.mithi.com/home/how-to-create-and-manage-workspaces-in-ideolve#switch-workspace>).
3. Search or browse emails and the comments by other auditors.





4. [Tag \(https://docs.mithi.com/home/how-to-add-tags-to-a-note-in-ideolve\)](https://docs.mithi.com/home/how-to-add-tags-to-a-note-in-ideolve) or [update the subject \(https://docs.mithi.com/home/how-to-add-tags-to-a-note-in-ideolve\)](https://docs.mithi.com/home/how-to-add-tags-to-a-note-in-ideolve) for all emails whose audit is complete to reflect the completion.

