

# INSPIRATION<sup>neo</sup> for Compliance

## Compliance Management module



## User manual

5/30/2022

### Product line Neo, version 7.x

The described functions can be used with the following ASC products:

INSPIRATION<sup>neo</sup> for Compliance

This item is only available in selected countries.

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## 1 General information

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## 2 Compliance Alarm module

### 2.1 General

The Compliance Alarm module is used to create compliance alarms to inform configured users when at least one configured keyword has been found or a keyword defined as mandatory could not be found in the activity of a trader.

The following compliance alarms are available:

- Compliance Alarm for Keywords

This compliance alarm checks cyclically whether the activities (conversations) of the traders do or do not contain a certain number of keywords. If the keywords are found or not found, depending on the configuration, an alarm is issued and the concerned trader can be trained correspondingly.

- Compliance Alarm for Real-Time Keyword Spotting

This compliance alarm checks in real time whether the activities (conversations) of the traders contain a certain number of keywords. If the keywords are found, an alarm is issued and the concerned trader can be trained correspondingly.

**NOTICE!** The options *Compliance Alarm for Keywords* and *Compliance Alarm for Real-Time Keyword Spotting* can only be configured if at least one Keyword Spotting Analysis license is available in the system.

**NOTICE!** If a notification is supposed to be issued when a keyword is detected during real-time keyword spotting, the notification `QUALITY_ALARM_KEYWORD_REALTIME` must have been activated in the Notifications module. For more information refer to the administration manual for tenants *Notifications module*.

In this module, you can define and activate these compliance alarms.



Basic information about using the application *INSPIRATION<sub>neo</sub>* for Compliance can be found in the user manual *INSPIRATION<sub>neo</sub> for Compliance - General information*.



Only those employees are displayed as *supervisors* who have been assigned the role *Supervisor* by the administrator.

### 2.2 Main view

In the main view, all saved compliance alarms are displayed.







Type	Name	Created By	Creation Date	Activated	Global
	Internal QA	Admin, 1st-Tenant	11/21/2018 3:39:07 AM	✗	✗

Fig. 1: Main view - Compliance Alarm module

Depending on the configuration of the columns, the following information is displayed in the main view:






<i>Type</i>	Type of the compliance alarm  = Compliance Alarm for Keywords
<i>Name</i>	Name of the template
<i>Created By</i>	Name of the user who has created the compliance alarm.
<i>Creation Date</i>	Shows the date on which the template was created.
<i>Activated</i>	Shows whether the compliance alarm has been activated.  = The compliance alarm has been activated.  = The compliance alarm has been deactivated.
<i>All Traders</i>	Shows whether the compliance alarm applies for all traders.  = Applies for all traders  = Does not apply for all traders.
<i>Updated</i>	Shows when the compliance alarm was updated for the last time.

### 2.2.1 Toolbar of the main view

The toolbar offers the following functions:



Fig. 2: Toolbar Compliance Alarm module

	<i>Search</i>	Opens the window of the search function. The search function allows searching systematically for sets of data which meet certain criteria, see <a href="#">chapter "Search", p. 7</a> . The icon  (Search) is displayed whenever the search has been adjusted by means of a filter.
	<i>Reset search</i>	Resets all manually entered search criteria. The search is started without manual filter settings.
	<i>Create</i>	Here, you can create a compliance alarm. See <a href="#">chapter "Create compliance alarm", p. 17</a> . There are 2 options: <ul style="list-style-type: none"> <li>• <i>Compliance Alarm for Keywords</i></li> <li>• <i>Compliance Alarm for Real-Time Keyword Spotting</i></li> </ul>
	<i>Delete</i>	Deletes the selected compliance alarm. To permanently delete the compliance alarm, confirm the security prompt with Yes.
<i>General</i>	<i>Print</i>	Prints the table of the main view.
	<i>Adjust Table</i>	Opens a window where you can adjust the following settings for the main view: <ul style="list-style-type: none"> <li>• Displayed information</li> <li>• Order of the displayed columns.</li> <li>• Number of rows per page</li> </ul>
	<i>General Help</i>	By clicking on the menu item <i>General Help</i> , a description of the application you are currently viewing is opened.
	<i>Module Help</i>	By clicking on the menu item <i>Module Help</i> , a description of the module you are currently viewing is opened.





In the user manual *INSPIRATIONneo for Compliance - General information*, you find detailed descriptions of the default functions such as *Print*, *Adjust table* or *Help* if required.

### 2.2.2

#### Search


The search function allows searching systematically for sets of data which meet certain criteria.

1. In the toolbar, click on the icon  or  (*Search*).



⇒ The window *Search Criteria* appears.



Fig. 3: Window Search Criteria (example)

2. Set the respective search criteria.  
**NOTICE!** It depends on the respective module which search criteria are available.
3. To start the search, click on the button *Search*.  
To reset all manually entered search criteria, click on the button *Reset*.  
⇒ After running the search, only those sets of data are displayed in the main view which meet the set search criteria.
4. To display all original sets of data in the main view again, i. e. to reset the manually entered search criteria, click on the icon  (*Reset search*) in the toolbar.

By clicking on the button *Manage Searches*, you can save the defined search criteria under an unambiguous name, load saved search criteria or delete them.

By clicking on the icon , you can tag the search criterion as favorite. Criteria tagged as favorite are displayed additionally in the upper area of the window *Search Criteria* and marked with the icon .

If conversation rules (view filters) apply for the logged-in user, then predefined search settings are displayed in the search criteria of the following modules which comply with the filter settings of the conversation rules:

- Activities module
- Compliance Analysis module


You cannot delete these user-specific filter or search settings but it is possible to add criteria to filter the elements displayed in the main view.





A detailed description of the search function can be found in the user manual *INSPIRATIONneo\$ for Compliance - General information*.

### 2.2.3 Icons of the compliance alarms table



#### Column: Type

	<i>Compliance Alarm for Keywords</i>	Shows that this is a compliance alarm for keywords.
	<i>Compliance Alarm for Real-Time Keyword Spotting</i>	Shows that this is a compliance alarm for real-time keyword spotting.

#### Column: Activated

	<i>Active</i>	Shows that the compliance alarm has been activated.
	<i>Inactive</i>	Shows that the compliance alarm has been deactivated.

#### Column: All Traders

		Shows that the compliance alarm applies for all traders.
		Shows that the compliance alarm does not apply for all traders.

### 2.3 Detail view

Here, you can display and edit detailed information about the selected template.

Internal QA

Details\*

Notifications\*

Traders\*

Keywords

Activated

☐

Name\*

Internal QA

Enable for

☐ All traders

Compliance analysis job\*

+

-

Save

Reset

Fig. 4: Detail view - Compliance Alarm module (example)

The detail view consists of the following tabs:

- *Details*, see [chapter "Tab Details", p. 9](#)
- *Notifications*, see [chapter "Tab Notifications", p. 10](#).
- *Traders*, see [chapter "Tab Traders", p. 14](#).
- *Keywords*, see [chapter "Tab Keywords", p. 16](#). Only visible for keywords.



## 2.3.1 Tab Details

Here, you can define basic settings of the compliance alarm.

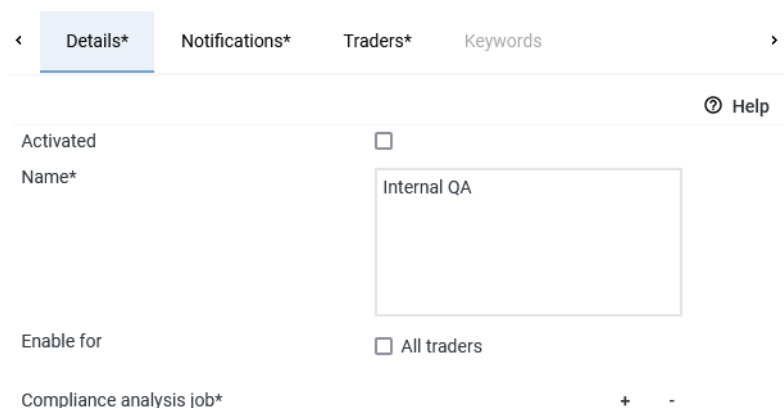




Fig. 5: Tab Details (example)

<b>Activated</b>	Shows whether the compliance alarm has been activated. Select whether the compliance alarm is supposed to be activated. <input checked="" type="checkbox"/> = compliance alarm has been activated. <input type="checkbox"/> = compliance alarm has been deactivated.
<b>Name</b>	Name of the compliance alarm. Enter the name of the compliance alarm.
<b>Enable for</b>	Shows whether the compliance alarm is supposed to apply for all traders or templates known in the system. If the option <i>All traders</i> is selected, a notification is issued and all traders which have been selected previously in the tab <i>Traders</i> are deleted. Enter how the compliance alarm is supposed to apply. <input checked="" type="checkbox"/> = Apply to all entries. <input type="checkbox"/> = Apply only to assigned entries.
<b>Compliance analysis Job</b>	Shows which compliance analysis job is used. Click on the button  to add an compliance analysis job. See <a href="#">chapter "Add compliance analysis job", p. 9</a> . Click on the icon  to remove the compliance analysis job from the compliance alarm. Only visible for <i>Compliance Alarm for Keywords</i> and <i>Compliance Alarm for Real-Time Keyword Spotting</i> .



The fields marked with " \*" are mandatory fields. These fields have to be filled out.

## 2.3.1.1 Add compliance analysis job

1. Click on the button  next to the field *compliance analysis job*.

Details\*
Notifications\*
Traders\*
Keywords

Help

Activated
☐

Name\*

Enable for
☐ All traders

Compliance analysis job\*

+

-

Fig. 6: Add compliance analysis job

2. Select an compliance analysis job from the list.

Compliance Analysis Jobs					
Name	Analysis Direction	Analysis Type	Analyzed Activities	Activities with Hits	Hits
KWS_Periodisch	→	🔍	2285	274	20574
KWS_Einmalig	←	🔍	10082	10082	90680

Rows per page 20
1 - 2 of 2
Add Cancel

Fig. 7: Select compliance analysis job (example)

3. Click on the button *Add*.

### 2.3.2

#### Tab Notifications

Here, you can select who is supposed to be notified when a compliance alarm is issued. Notifications can go to traders, team supervisors, users, or the creator of the alarm.

< Details\* Notifications\* Traders\* Keywords >

☒ Notify myself via CLIENTcommand.  
☐ Notify team leader via CLIENTcommand.  
☐ Notify traders via CLIENTcommand  
☒ Notify following users via e-mail:

Registered Users		
Name	E-mail	CC
Agent, 5.	✓	✓

Unregistered Users		
Name	First Name	E-mail
Grün	Fritz	f.grün@test.de

Fig. 8: Specific compliance alarm - notifications

- To notify the creator (yourself), supervisors or traders directly via CLIENTcommand, set a check mark in the respective check box ☒.
- To notify certain users, set the check mark in the check box *Notify following users via e-mail*.
  - ⇒ Additional fields are displayed where you can enter users and select the notification type. See [chapter "Assign registered users", p. 11](#) and [chapter "Assign unregistered users", p. 13](#).  
 The column *E-Mail* displays whether users are notified by e-mail or by means of CLIENTcommand:  
 ✓ = notification option activated  
 ✗ = notification option not activated

### 2.3.2.1 Assign registered users

- To assign a registered user, click on the icon  (Add).


Registered Users		
Name	E-mail	CC
Agent, 5.	✓	✓

Fig. 9: Specific compliance alarm - registered user (example)

- To select a user from the list, click on the line with the corresponding information. You can select several users by clicking on several lines.  
 To revoke a selection, click on the respective line while holding the [Ctrl] key down.

Traders To Notify					
Employee Number ↕	First Name ↕	Last Name ↕	Login Name ↕	Date of Entry ↕	Date of Birth ↕
1000	10.	Agent			
900	9.	Agent			
800	8.	Agent			
700	7.	Agent			
600	6.	Agent			
400	4.	Agent			
300	3.	Agent			
Rows per page 20 ▾ 1 - 9 of 9 < << >> >					
					Add Cancel

Fig. 10: Specific compliance alarm - select registered user (example)

- To add selected users, click on the button *Add*.  
To discard the selection and close the window, click on the button *Cancel*.
- To define whether the user is supposed to be notified via e-mail or via CLIENT command, click on the icon  (*Edit*). One of the two options has to be activated.


Registered Users		
Name	E-mail	CC
Agent, 5.	✓	✓ 

Fig. 11: Specific compliance alarm - edit registered user (example)

- Select the notification type in the column *E-mail* or *CC* (CLIENT command):  
☒ = Notification has been activated.  
☐ = Notification has not been activated.






Name	E-mail	CC
Agent, 5.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>  

Fig. 12: Specific compliance alarm - select notification type (example)

- To save the changes, click on the icon  (*Save*).  
To discard the changes, click on the icon  (*Discard*).

### 2.3.2.2 Remove registered users

- To remove a registered user from the list, select the corresponding entry in the list and click on the icon  (*Remove*).




Registered Users			
Name	E-mail	CC	
Agent, 5.	✓	✓	

Fig. 13: Specific compliance alarm - remove registered user (example)

### 2.3.2.3 Assign unregistered users

1. To assign an unregistered user, click on the icon  (Add).
2. Enter the name and the e-mail address of the user.

Add Unregistered User



First name\*
Last name\*
E-mail\*

Save
Cancel

Fig. 14: Specific compliance alarm - add unregistered user

3. To save the settings, click on the button **Save**.  
To discard the settings and close the window, click on the button **Cancel**.

### 2.3.2.4 Edit unregistered users

1. To edit the information about an unregistered user, select the corresponding entry in the list and click on the icon  (Edit).




Unregistered Users			
Name	First Name	E-mail	
Grün	Fritz	f.grün@test.de	

Fig. 15: Specific compliance alarm - unregistered user (example)



2. Make the required changes.

Unregistered Users




Name
First Name
E-mail

☐
☐

Fig. 16: Specific compliance alarm - edit unregistered user (example)

- To save the changes, click on the icon  (Save).  
To discard the changes, click on the icon  (Discard).

### 2.3.2.5 Delete unregistered users

- To delete an unregistered user from the list, select the corresponding entry in the list and click on the icon  (Delete).


Unregistered Users			
Name	First Name	E-mail	
Grün	Fritz	f.grün@test.de	




Fig. 17: Specific compliance alarm - delete unregistered user (example)

### 2.3.3 Tab Traders


Here, you can compile the list of traders who are supposed to be assigned to the compliance alarm. If you do not select the option *All traders* in the tab *Details*, then the compliance alarm is only assigned the traders listed here.

Internal QA		
<	Details*	Notifications*
	Traders*	Keywords
		>
Last Name ↕	First Name ↕	
Agent	10.	
Agent	1.	

Fig. 18: Specific compliance alarm - assign traders

	<i>Add from organization structure</i>	Opens a window in which you can select traders from the organization structure, see <a href="#">chapter "Add traders from organization structure", p. 14.</a>
	<i>Add</i>	Opens a window in which you can select your own traders, see <a href="#">chapter "Add traders", p. 15.</a>
	<i>Remove</i>	Removes the selected traders from the list.

#### 2.3.3.1 Add traders from organization structure

- Select the tab *Traders*, see [chapter "Tab Traders", p. 14.](#)
- To assign traders from the organization structure, click on the icon  (*Add from organization structure*).

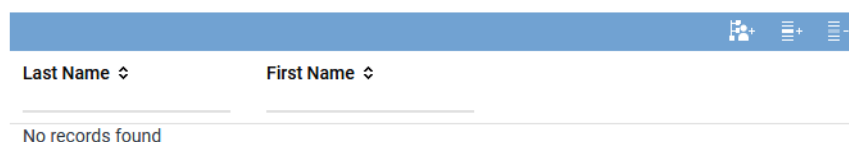
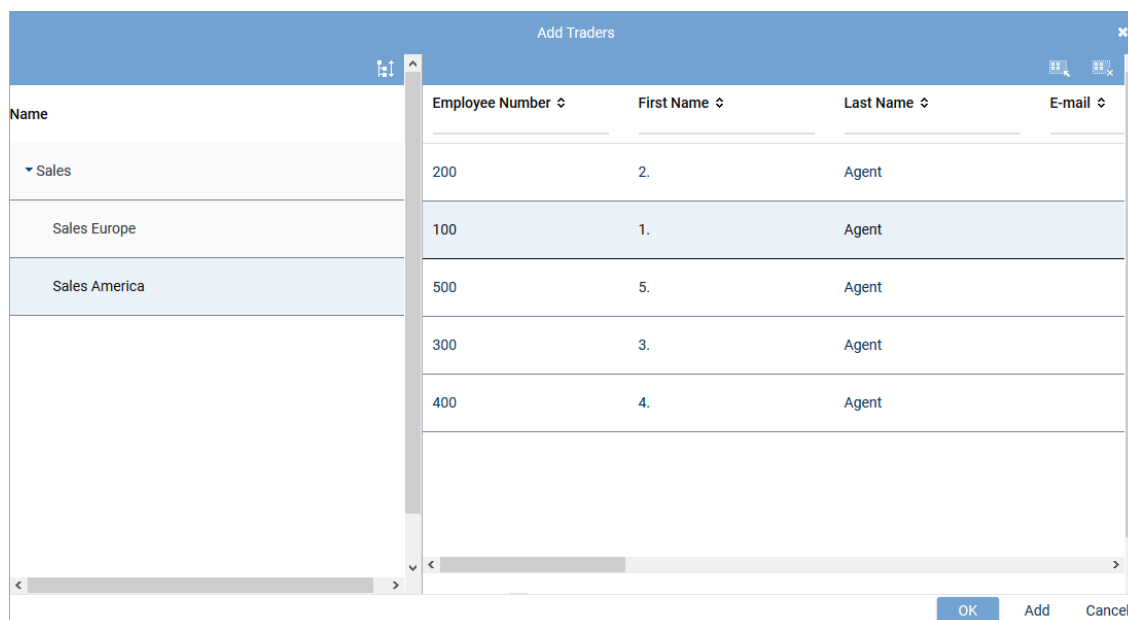




Fig. 19: Traders

- Click on the organization unit on the left of the window.



Name	Employee Number	First Name	Last Name	E-mail
Sales	200	2.	Agent	
Sales Europe	100	1.	Agent	
Sales America	500	5.	Agent	
	300	3.	Agent	
	400	4.	Agent	

Fig. 20: Add traders from organization structure


- Select one or several traders from the list in the right window.  
To select several traders or to revoke a selection, click on the respective line while holding the [Ctrl] key down.  
To select all traders, click on the icon  (Select all).  
To deselect all selected traders, click on the icon  (Deselect all).
- To add the selected traders and leave the window open for further adjustments, such as adding more traders from other organization structures, click on the button *Add*.  
To add selected traders and close the window, click on the button *OK*.  
To discard the selection and close the window, click on the button *Cancel*.

### 2.3.3.2 Add traders

- Select the tab *Traders*, see [chapter "Tab Traders", p. 14](#).



You can only add traders to whose data you have access.

- To assign an trader, click on the icon  (*Add*).

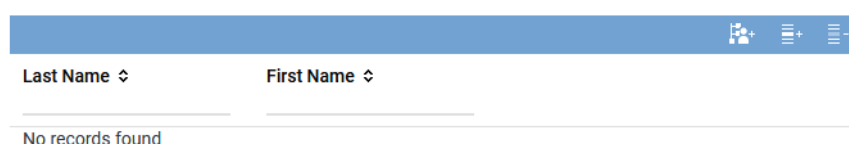
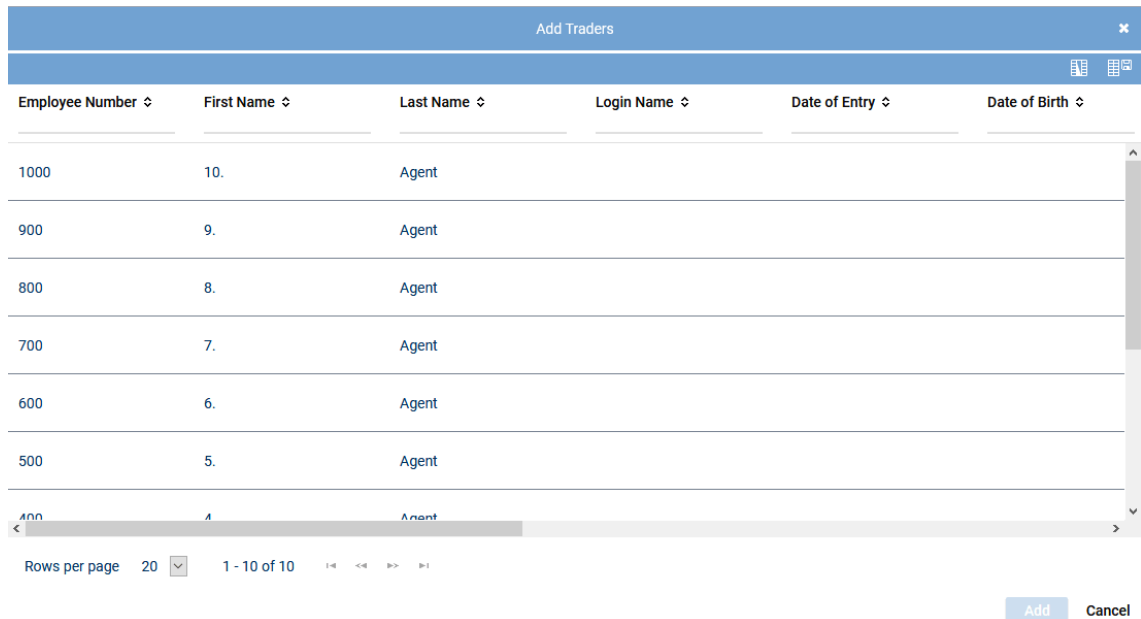


Fig. 21: Traders (example)

- Select one or several traders from the list.  
To select several traders or to revoke a selection, click on the respective line while holding the [Ctrl] key down.



Employee Number	First Name	Last Name	Login Name	Date of Entry	Date of Birth
1000	10.	Agent			
900	9.	Agent			
800	8.	Agent			
700	7.	Agent			
600	6.	Agent			
500	5.	Agent			
400	4.	Agent			
300	3.	Agent			
200	2.	Agent			
100	1.	Agent			

Rows per page: 20 | 1 - 10 of 10 | < << >> >

Add Cancel

Fig. 22: Add own traders

- To add the selected traders, click on the button *Add*.  
To discard the selection and close the window, click on the button *Cancel*.

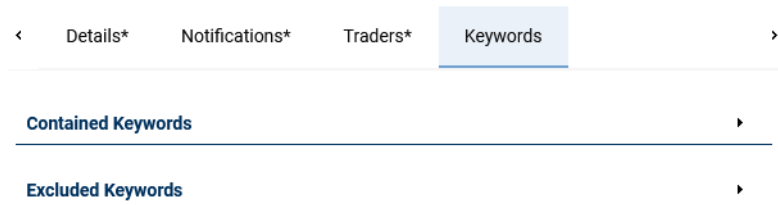
### 2.3.4

#### Tab Keywords

Here, you can select the keywords which are supposed to be contained or not contained.



Keywords can only be added when an compliance analysis job has been selected previously in the tab *Details*.



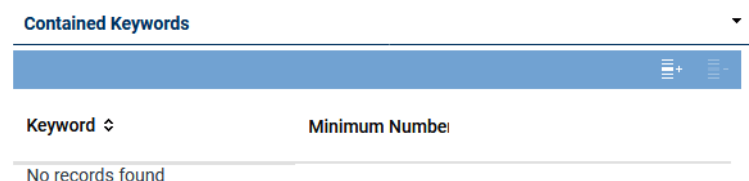
< Details\* Notifications\* Traders\* Keywords >

Contained Keywords ▶

Excluded Keywords ▶

Fig. 23: Tab Keywords

#### Group field Contained Keywords





Contained Keywords ▼

Keyword Minimum Number

No records found

Fig. 24: Group field Contained Keywords

The compliance alarm is issued when the configured minimum number of all configured keywords have been found in the activity.

	<i>Add</i>	Opens a window in which you can select and add keywords. See <a href="#">chapter "Add keywords", p. 17</a> .
	<i>Remove</i>	Deletes the selected keyword.



### Group field Excluded Keywords

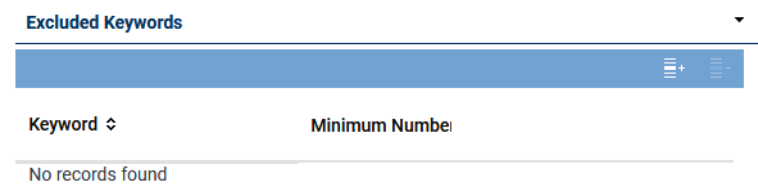





Fig. 25: Group field *Excluded Keywords*

The compliance alarm is issued when at least one configured keyword could not be found in the activity.

	<b>Add</b>	Opens a window in which you can select and add keywords. See <a href="#">chapter "Add keywords", p. 17</a> .
	<b>Remove</b>	Deletes the selected keyword.

#### 2.3.4.1

### Add keywords

- To add keywords, click on the icon  (*Add*).  
⇒ The following window appears:

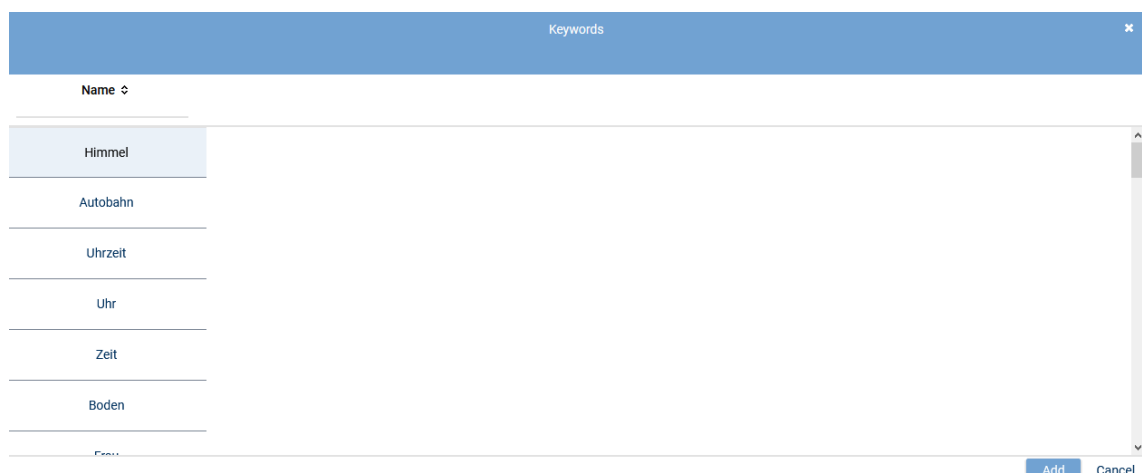



Fig. 26: Add keywords (example)

- Select one or several keywords from the list.  
To select several keywords or to revoke the selection, click on the respective line while holding the [Ctrl] key down.
- To add the selected keywords, click on the button *Add*.  
To discard the selection and close the window, click on the button *Cancel*.
- Group field *Contained Keywords*: Enter the minimum number of the keyword directly into the entry field via the keyboard.
- To save the settings, click on the button *Save*.  
To discard the change and close the window, click on the button *Cancel*.

## 2.4

### Create compliance alarm

- Click on the icon  (*Create*) in the toolbar of the main view.
- Select one of the following options:

<b>Compliance Alarm for Keywords</b>	A new compliance alarm for keywords is created.
--------------------------------------	---

### Compliance Alarm for Real-Time Keyword Spotting

A new compliance alarm for real-time keyword spotting is created.

Configure the settings in the tabs.

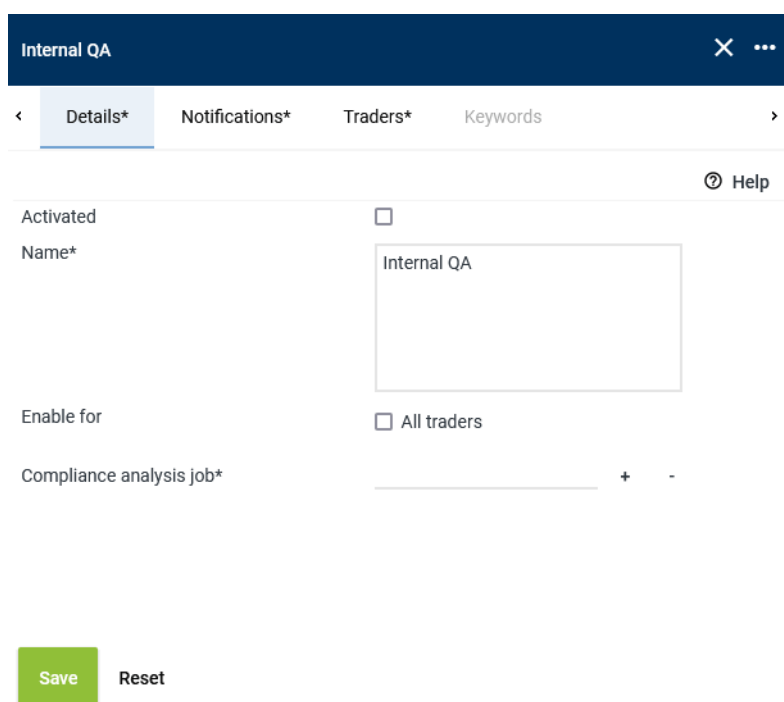


Fig. 27: Create compliance alarm (example)

- **Details**  
Here, you can display and edit detailed information about the selected compliance alarm. See [chapter "Tab Details", p. 9](#).
  - **Notifications**  
Here, you can define the notification settings of the compliance alarm. See [chapter "Tab Notifications", p. 10](#).
  - **Traders**  
Here, you can add the traders to the compliance alarm. See [chapter "Tab Traders", p. 14](#).
  - **Keywords**  
Here, you can select the keywords which are supposed to be contained or not contained. See [chapter "Tab Keywords", p. 16](#).
3. To save the settings upon finishing, click on the button *Save*.  
To discard the unsaved settings, click on the button *Reset*.



The fields marked with " \* " are mandatory fields. These fields have to be filled out.

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## Glossary