

# Service Descriptions

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# Professional Archive

## Overview

The Connected Archive - Professional Archive (“Professional Archive”) archives supported electronic communications and other data from third party systems (“Channels”). Professional Archive includes the following capabilities: storage, search, discovery, administration, reporting, exports, and depending upon the plan, policies and supervision. Additional modules or professional services may be added to enhance the capabilities of Professional Archive. Available features and add-on modules are described in this document. Certain plans are not eligible for certain features or add-on modules. Smarsh will enable the features of Professional Archive that are associated with the plan Client purchases. Client must purchase Connection bundles to enable capture from supported Channels. A full list of supported Channels is available at <https://www.smarsh.com/products/connected-capture/all-supported-channels/>. Connections captured from a premium Channel will incur additional charges, as indicated on the applicable Order Form (defined in the General Terms available at <https://www.smarsh.com/legal/>).

## Plans and Features

Client must purchase a plan to access Professional Archive. Client will have access to the features and other services that correspond to the purchased plan, as specified in the tables on pages 3-8 below.

Legend	
✓	<i>Feature is included</i>
\$	<i>Feature is available for an additional fee</i>
-	<i>Feature is not available</i>

	Silver	Gold	Platinum
<b>Professional Archive</b>			
# of Bundled Connections	5   10   20	50   100   200	500   1000   2000   5000
Professional Archive Access	3 Users	10 Users	100 Users
Standard Storage	7 years	7 years	7 years
<b>Search</b>			
Universal Search	✓	✓	✓
Proximity Search	✓	✓	✓
Saved Search	✓	✓	✓
Advanced Search	-	✓	✓
<b>Policies</b>			
Active Lexicon Policies	2	10	50
Post Review Actions	✓	✓	✓
<b>Supervision</b>			
Review & Escalation Queues	✓	✓	✓
Review Tools	✓	✓	✓
<b>Discovery</b>			
Cases	Unlimited	Unlimited	Unlimited
Legal Hold	✓	✓	✓
Discovery Users	1	5	20
<b>Admin</b>			
Self-Service Exports	2 active per User	10 active per User	25 active per User
Roles	✓	✓	✓
Groups	✓	✓	✓
Retention Policies	✓	✓	✓
IP Whitelisting	-	✓	✓
Multi Factor Authentication	-	-	✓
Identity & Access Management	-	\$	✓
External Archiving	✓	✓	✓
<b>Reports</b>			
Administration	✓	✓	✓
Policy Activity	✓	✓	✓
Supervision	✓	✓	✓

	Silver	Gold	Platinum
<b>Client Services</b>			
Onboarding	\$	\$	\$
Legacy Data Import	\$	\$	\$
<b>Professional Services</b>			
Audit Assist	\$	\$	\$
Monthly Archive DVD	\$	\$	\$
Policy Library	\$	\$	\$
Policy Tuning	\$	\$	\$
Assisted Review	\$	\$	\$
Custom Feature/Application Development	-	-	\$
<b>Training</b>			
Online User Guides and Knowledge Base	✓	✓	✓
Smarsh University: Web-based and Instructor-led Training	\$	\$	\$
Smarsh University: On-site Training	\$	\$	\$
<b>Support</b>			
Basic	✓	✓	✓
Premium	\$	\$	\$

	SMG	GOV
<b>Professional Archive</b>		
Connections	10   20   50   100   200	500   1000   2000   5000
Professional Archive Access	3 Users	50 Users
Standard Storage	7 years	7 years
<b>Search</b>		
Universal Search	✓	✓
Proximity Search	✓	✓
Saved Search	✓	✓
Advanced Search	-	✓
<b>Policies</b>		
Active Lexicon Policies	2	10
Post Review Actions	✓	✓
<b>Discovery</b>		
Cases	Unlimited	Unlimited
Legal Hold	✓	✓
Discovery Users	3	15
<b>Admin</b>		
Self-Service Exports	2 active per User	25 active per User
Roles	✓	✓
Groups	✓	✓
Retention Policies	✓	✓
IP Whitelisting	-	✓
Multi Factor Authentication	-	✓
Identity & Access Management	-	✓
External Archiving	✓	✓
<b>Reports</b>		
Administration	✓	✓
Policy Activity	✓	✓

	SMG	GOV
<b>Client Services</b>		
Onboarding	\$	\$
Legacy Data Import	\$	\$
<b>Professional Services</b>		
Audit Assist	\$	\$
Monthly Archive DVD	\$	\$
Custom Feature/Application Development	-	\$
<b>Training</b>		
Online User Guides and Knowledge Base	✓	✓
Smarsh University: Web-based and Instructor-led Training	\$	\$
Smarsh University: On-site Training	\$	\$
<b>Support</b>		
Basic	✓	✓
Premium	\$	\$

E-Discovery	
<b>Professional Archive</b>	
Connections	500   1000   2000   5000
Professional Archive Access	10 Users
Standard Storage	3 years
<b>Search</b>	
Universal Search	✓
Proximity Search	✓
Saved Search	✓
Advanced Search	✓
<b>Discovery</b>	
Cases	Unlimited
Legal Hold	✓
Discovery Users	15
<b>Admin</b>	
Self-Service Exports	10 active per user
Roles	✓
Groups	✓
Retention Policies	✓
IP Whitelisting	✓
Multi Factor Authentication	✓
Identity & Access Management	\$
<b>Reports</b>	
Administration	✓

E-Discovery	
<b>Client Services</b>	
Onboarding	\$
Legacy Data Import	\$
<b>Professional Services</b>	
Audit Assist	\$
Monthly Archive DVD	\$
Custom Feature/Application Development	\$
<b>Training</b>	
Online User Guides and Knowledge Base	✓
Smarsh University: Web-based and Instructor-led Training	\$
Smarsh University: On-site Training	\$
<b>Support</b>	
Basic	✓
Premium	\$

## Add-on Modules

Personal Access	
Employee access to the employee's archived messages	\$
Tablet & Mobile Interfaces	✓
User Labels/Folders	✓
Outlook® Plug-in	✓



## Plan Features Descriptions

### Connections

One Connection is:

- An end-user account such as email mailbox;
- An instant message account or screen name;
- A social media page or profile; or
- A mobile device phone number

A Channel is an electronic communications data source, such as email, a social media platform, a mobile carrier, or a collaboration platform. Connections from certain Channels are premium Connections and will incur additional capture and archive fees as indicated on the applicable Order Form.

### Professional Archive Access

Each User of Professional Archive receives individual log-in credentials, which allows that User to access Professional Archive.

### Standard Storage

The Capture & Archive Fees specified in the Order Form for Professional Archive include 3 years of storage of Client Data for the E-Discovery package and 7 years of storage of Client Data for all other packages. Client must purchase extended data retention if a longer storage period is required. Additional storage fees apply for legacy data sent to Smarsh for import into Professional Archive or data sent from Connected Capture products or other external capture services to Professional Archive.

### Search

Users can perform e-discovery or compliance and supervision searches across archived Connections based on variables such as message data, User data review activities and advanced search features. Users can apply tags, retention policies, notes and other information to (i) individual messages or (ii) in bulk to a set of messages. Professional Archive includes an audit trail that tracks and logs activity within Client's account including searches, messages reviewed, and notations made.

### Policies

Policies allow Client to configure compliance rules for automated flagging and classification of messages based on Client-selected criteria within Professional Archive, up to the number of active lexicon policy rules specified in Client's plan. Messages can be automatically tagged, flagged, scored or assigned to a specific User.

### Supervision

Supervision allows Reviewers to mark messages "Reviewed," "Escalate," or "Violation," as well as to design and implement review and escalation queues based off policies and escalated messages. These queues enable formalized, streamlined, workflows for small and large compliance teams.

## Discovery

Discovery allows Users to: (i) access cases as well as a facet and filtering panel that allows Users to filter the messages by Channel, participant, message tags, and other facets, (ii) manage legal holds, (iii) share cases with other Users, and (iv) and export messages from a case via FTP.

## Admin

Authorized Users have the ability to add, manage, and remove Users and Reviewers from within Professional Archive, set permissions for Users and Reviewers, and grant access to specific features.

## Self-Service Exports

Client may export or download messages from Professional Archive by creating an Export. An Export is a collection of messages that can be exported out of the archive. The number of active Exports a User can have at any given time is specified in the Plans and Features table in this document.

## Users, Reviewers, and Roles

Client can provide access to Professional Archive for as many Users as Client requires. Client must appoint at least one Authorized User as the administrative User associated with the account. Reviewers are Users who perform supervision. Roles allow Client to define permissions for specific pages and features. These roles can be assigned to a User.

## Groups

Groups allows Client to create a hierarchy of groups using end-user identifiers and associated Connections. Client can set permissions for these groups to control data access for Professional Archive Users.

## Retention Policies

Retention policies allow a User to create and apply policies to messages to be retained for a certain time period and then purged (deleted) from Professional Archive.

## IP Whitelisting

IP whitelisting allows Client to determine the IP addresses that a User may use to access Professional Archive. IP whitelisting supports multi-factor authentication.

## Multi-Factor Authentication

Multi-factor authentication allows Client to enforce a second layer of authentication before access to Professional Archive is permitted. To access Professional Archive, a User must provide their log-in credentials together with a code that is sent to the email address associated with the applicable Professional Archive account.

## Identity & Access Management

Available identity and access management features include:

- **Active Directory Sync**  
Enables Client to integrate their Active Directory in Professional Archive.
- **LDIF**  
Enables Client to update Groups within Professional Archive using a LDAP Data Interchange Format (“LDIF”) file process.
- **Single Sign-on**  
Enables Client to allow Users to authenticate into Professional Archive using a single set of log-in credentials.

Client must purchase an add-on onboarding service to enable identity and access management features.

## External Archiving

Enables Client to send a copy of Client Data to a third party by email.

## Reports

Client will have access to different levels of pre-built reports depending upon Client’s specified plan. Available standard reports include Professional Archive administration, policy activity, and supervision. Administration reports include User activity, archive statistics, and content usage. Policy reports include policy activity, auditing, and actions. Supervision reports include reviewer, queue, and message activity.

## Add-on Modules Descriptions

### Personal Archive

Allows end-users of Connections to search their own archived messages through a web-based client or Outlook plugin.

## Professional Services Descriptions

### Onboarding

Smarsh offers several Professional Archive onboarding packages to provide options that align to each Client’s specific implementation needs. With all onboarding packages, Smarsh will create Client’s Professional Archive environment and provide detailed configuration instructions.

### Data Import

Smarsh will import Client’s messages from legacy systems into Professional Archive at an agreed-upon rate specified in an Order Form. Additional data conversion charges will apply if the data is not provided in a supported format.

## Audit Assist

Audit Assist allows Client up to five hours of data export service, once per year, in response to a regulatory audit. Any hours in excess of five will be paid at the hourly rate specified in the applicable Order Form, or if not specified, \$250 per hour. Alternatively, Client may purchase assistance with data requests for audit or litigation purposes at an hourly rate. Audit Assist includes structuring a data export and responding to a data request.

## Monthly Archive DVD

The Smarsh Client Data team will create a copy of the data ingested by Professional Archive in the previous month. The data will be copied to one or more DVDs and then shipped to Client's authorized shipping address.

## Assisted Review

Assisted Review is a service through which Smarsh certified reviewers augment Client's existing compliance program by completing first-pass compliance reviews on Client's behalf. The certified reviewers follow Client's supervision policies and guidelines to review flagged messages within Professional Archive and escalate the messages that meet Client's specified risk criteria for further review by Client's compliance team.

## Policy Library

Policy Library is a library of pre-built Smarsh-designed lexicon policies that a Client can select for its use.

## Policy Tuning

Policy Tuning is a service through which Smarsh experts work with Client to tune policies and modulate lexicons for Supervision within Professional Archive. Policy Tuning results in a standard set of diagnostic tools and processes that prioritize the most critical, high-risk messages for review in order to improve the effectiveness of Client's compliance program. Client must purchase Policy Library to be eligible to purchase Policy Tuning.

## Training

Smarsh offers online documentation, training courses, and certification courses to help Client and its Users understand and leverage Professional Archive's features and functionality. Each Professional Archive package includes access to user guides, technical documentation, and knowledge articles on Smarsh Central. Client may purchase Smarsh University training and certification courses for an additional fee.

## Support

Smarsh provides phone and web-based technical support as specified in the Smarsh Support and Service Levels document available at <https://www.smarsh.com/legal>. Web-based technical support articles are available at <https://central.smarsh.com/s/>. Each Professional Archive package includes the Basic support package. Client may purchase a premium support package to extend hours of availability, allocate designated support resources, and access other premium support services.

### **Regulatory Letter**

Upon completion of Professional Archive implementation, and at Client's request, Smarsh will provide Client a letter stating that Smarsh is providing third-party downloader service pursuant to certain rules and regulations.

### **Custom Feature/Application Development**

Custom features/applications that are not currently available in Professional Archive may be requested and will be provided (if feasible, in Smarsh's sole discretion) at an agreed-upon rate.

### **Additional Professional Services / Support**

The following additional professional and support services may be purchased by Client for a fee:

- Premium support
- Custom documentation
- Custom end-user communications
- Data export services