



Service Descriptions – Professional Archive

Last updated October 2023



Professional Archive

Overview

Professional Archive (“Professional Archive”) archives electronic communications and other data from supported third-party systems (“channels”). Professional Archive’s core functionality is explained in its Documentation, but generally allows Clients to:

- I. Archive electronic communications
- II. Search and export archived electronic communications
- III. Generate reports from Professional Archive

Professional Archive includes (for additional cost) additional modules to augment the core capabilities of Professional Archive.

Professional Archive Core Functionality

Search

Users can perform searches across electronic communications archived in Professional Archive using both text and filters 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.

Admin dashboard

Authorized Users can add, manage, and remove Users from within the Admin Dashboard, as well as designate certain roles, groups, permissions, and access rights for Users within Professional Archive.

Self-service exports

Using Professional Archive’s self-export functionality, Client may export or download messages from Professional Archive. The number of active exports a User can have running at any given time is four (4).

Retention policies

Professional Archive provides Client with the ability to set up and maintain data retention policies on the electronic communications archived within Professional Archive. Retention policies will maintain electronic communications for the period of time designated by Client and purge (delete) such electronic data from Professional Archive thereafter.

Multi-factor authentication

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

Supervision

Supervision allows Client to designate Users as “reviewers.” With Supervision, reviewers can review and supervise electronic communications by marking them with pre-defined tags, such as “reviewed,” “escalate,” or “violation.” Supervision allows Client to design and implement review and escalation queues based off a policy. The number of supervised users is based on how many are purchased by Client. Client’s ability to access and use Supervision will be dependent upon the package purchased by Client.

Discovery

Discovery provides Client with augmented and enhanced search capabilities. Discovery can be configured to allow Users the ability to:

- I. create cases based on search criteria or filters such by channel, participant, message tags, and other facets
- II. Implement legal hold tags on electronic data within a particulate case
- III. Share cases with other Users
- IV. Export messages from a case

The number of Discovery Users purchased by Client determines the number of users who can access Discovery cases.

Policies

Policies give Client the ability to configure lexicon rule-based policies, which when implemented, will flag and classify electronic data archived by Professional Archive. Electronic messages flagged or classified by a policy can be assigned to a User for later review. The number of policies that Client may configure, and use, is based the number of policies purchased by Client, including policies from Smarsh’s Policy Library (see below).

Reporting Dashboard

Client will have access to pre-built reports depending upon Client's specified plan. Available standard reports include Professional Archive administration, policy activity, and supervision (to the extent Supervision is included in the package purchased by Client). 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.

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. Smarsh Central (<https://central.smarsh.com>) includes access to user guides, technical documentation, and knowledge articles. Client may purchase Smarsh University training and certification courses for an additional fee.

Support

Professional Archive includes basic support, including web-based technical support articles, which are available at Smarsh Central. Client may purchase a premium support package to extend hours of availability, allocate designated support resources, and access to other premium support services. For more information, please review the [Smarsh Support and Service Levels document](#).

Professional Archive Add-On Modules

Client must purchase add-ons in order for such add-ons to become available in Professional Archive.

Policy Library

Policy Library is a repository of pre-built Smarsh-designed lexicon policies which can be leveraged by Client. Policies within Policy Library are updated and maintained by Smarsh's Professional Services team on a regular basis (as approved by Client). A Policy Library is purchased on a policy-by-policy basis (e.g., individually). Policy Library is independent from the number of Policy slots in Client's Professional Archive.

Personal Archive

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

Identity and 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 login credentials.

Professional Archive Professional Services

Onboarding

Smarsh offers four onboarding packages. For more information, please review Smarsh's onboarding packages, [HERE](#).

Supervision Services

Policy Tuning

Policy Tuning is a service through which Smarsh experts optimize the policy performance of Smarsh Policy Libraries that are used by Client within Professional Archive. Frequency of tuning is determined by the package purchased. Policy libraries are an additional fee.

Supervision Health Check

A supervision health check is an abbreviated assessment conducted by Smarsh of Client's use of Professional Archive. Such health check is not a fully comprehensive gap analysis but provides Client with guidance and recommendations for optimizing Client's use of Professional Archive. Deliverables of the health check include a kick-off survey, written recommendations, and final review of Smarsh's recommendations.

Supervision Architect Services

Smarsh performs configuration and optimization of Professional Archive based on recommendations approved by Client, which may include: setup of users, queues, saved searches, policies, and/or tags. Configuration may also include user and role assignment, custom role development, base policy tuning, and/or groups access assignment. Groups build, custom policy design, and policy tuning are not included but are available as additional services (subject to additional fees).

Supervision Architect includes a Statement of Work or Service Agreement governing time to complete as determined by the purchased package size. Additional hourly fees may apply for overages.

Assisted Review

Assisted Review is a service through which Smarsh completes first-pass reviews of electronic communications flagged by Smarsh's Policies used by Client. Client and Smarsh will first develop standard operating review guidelines under which Smarsh will review flagged messages within Professional Archive and escalate the messages to Client for its own review by Client's compliance team.

Assisted review includes policy tuning and policy libraries, as well as a Statement of Work or Service Agreement governing the Assisted Review Services.

Data Management Services

Data Import

Smarsh offers data import services to Client, whereby Smarsh will import electronic communications provided by Client to Smarsh into Professional Archive. In addition to import fees, additional data conversion fees and/or data storage fees may apply.

Data Migration

Smarsh offers data migration services to Client, whereby Smarsh will migrate electronic communications from Client existing service provider or Client systems into Professional Archive. In addition to migration fees, additional data conversion fees and/or data storage fees may apply.

Data Conversion

Data conversion services may be required when data provided for a Data Import or Data Migration is not in a format suitable for archiving into Professional Archive.

Audit Assist

Audit Assist provides Client with a requestable data export from Professional Archive with an expedited start date once per year. Data export size and complexity are dictated by a criteria score evaluated at the time of the request. Data export size or complexity in excess will be estimated at criteria data export rates. In the event Client requests a data export, Smarsh will confirm criteria before beginning data export and will provide updates until completed. Data exports will only be delivered via courier on a secure portable media device.

Monthly Archive DVD

Smarsh will provide Client with one or more DVDs or Blu-rays containing a copy of the data ingested by Professional Archive in the previous month. Media will be shipped to Client's delivery address as specified on Smarsh Central by Client.

Burn and Ship Media

Based on the case created by Client in Professional Archive, Smarsh will export all such data in the case from Client's Professional Archive to secure portable media device. Additional fees may apply based on the secure portable device chosen by Client and the size of data export.

Data Export – Criteria Export

Smarsh will perform a data export of Client's Professional Archive data based on Client's provided criteria. Data export will be provided to Client or a designated third party. Minimum

fees are based on archive size, with fees calculated by data export complexity dictated by a criteria score evaluated at the time of the request.

Expedited data exports are available at an additional fee. Additional fees may apply based on the secure portable device chosen by Client.

Data Export Criteria may include a Statement of Work or Service Agreement governing time to complete as determined at time of request.

Data Export – Full Export

Smarsh will perform a full data export of all message data in Client's Professional Archive to a mutually agreed upon medium and provide it to Client or a designated third party. Fees are based on archive size.

Expedited data exports are available at an additional fee. Additional fees may apply based on the secure portable device chosen by Client and the complexity of data export.

Data Export Criteria may include a Statement of Work or Service Agreement governing time to complete as determined at time of request.

Training

Smarsh University Web Access

Client will gain access to pre-recorded trainings on Smarsh University. Access to such trainings will be limited to number of seats purchased by Client. Seats may be assigned up to three times within the applicable subscription term. Assignment of Seats is managed by Client's admin support right user.

Smarsh University Full Access

Client will gain full access to all courses on Smarsh University, including all pre-recorded and live instructor-led remote content (i.e., public classes). Access to such trainings will be limited to number of Seats purchased by Client. Seats may be assigned up to three times within the applicable subscription term. Assignment of Seats is managed by Client's admin support right user.

Dedicated Instructor-Led Training

Smarsh will provide Client and Client's users with instructor led training based on Smarsh's pre-recorded content (i.e., non-public class). Instructor-led trainings are subject to minimum time commitments (i.e., half-day, full day, or multiple days) and can be provided virtually or on-site. On-site trainings will be subject to additional fees.

Client's individual users may also purchase on demand access to a public instructor led training without enrolling with a Smarsh University Seat.

Other Professional Services

Value Added Module - Custom Development

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

Slack Data Import Capture Services

Smarsh will provide a one-time import of historical Slack data for a specified date/time range into Professional Archive. Client must provide access to their Slack environment for import to be completed. A prerequisite for this Service is that Client must be or have been using Professional Archive to archive their Slack Enterprise Workspaces.

User Group Configuration Services

Smarsh will configure groups (hierarchy) within Professional Archive for Client. Client must provide the list of users and Smarsh will perform the service once.