

# Services Descriptions

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## Professional Archive

The Connected Archive - Professional Archive (“Professional Archive”) archives supported electronic communications and other data from third party systems (“Channels”). The Professional Archive includes the following capabilities: storage, search, policies, discovery, admin, reporting, exports, and depending upon the plan, supervision. Additional add-on modules or professional services may be added to enhance the capabilities of the Professional Archive. Available features and add on modules are described in this document. Certain plans are not eligible for certain features and add on modules. Smarsh will enable the features of the Professional Archive that are associated with the plan Client purchases. Supported Channels are listed in this document; Client must purchase Connection bundles to enable capture from 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

To access the Professional Archive Client must purchase a plan. Client will have access to the features and other services that correspond to the purchased plan, as specified in the table below.

	Silver	Gold	Platinum
<b>Connected 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 per User	10 per User	25 per User
Roles	✓	✓	✓
Groups	✓	✓	✓
Retention Policies	✓	✓	✓
IP Whitelisting	-	✓	✓
Multi Factor Authentication	-	-	✓
Active Directory Sync*	-	\$	✓
LDIF*	-	\$	✓
Single Sign-on*	-	\$	✓
External Archiving	✓	✓	✓
<b>Reports</b>			
Administration	✓	✓	✓
Policy Activity	✓	✓	✓
Supervision	✓	✓	✓

	Silver	Gold	Platinum
<b>Client Services</b>			
Implementation	\$500	\$2,500	\$10,000
Legacy Data Import	\$12/GB	\$10/GB	\$10/GB
<b>Professional Services</b>			
Audit Assist	\$75 / month		
Monthly Archive DVD	\$50 / month		
Assisted Onboarding	\$	\$	\$
Policy Library	\$	\$	\$
Policy Tuning	\$	\$	\$
Assisted Review	\$	\$	\$
Custom Feature/Application Development	-	-	\$
Custom Report Development	-	-	\$
<b>Training</b>			
On-demand Webinars	✓	✓	✓
1:1 Training (web-conference)	-	1 One-hour live session	Up to five one-hour live sessions
On-site Training	-	\$	\$
<b>Customer Support</b>			
24/7/365 Technical Phone Support	✓	✓	✓
Strategic Operational Support	\$	\$	\$

	SMG	GOV
<b>Connected 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 per User	25 per User
Roles	✓	✓
Groups	✓	✓
Retention Policies	✓	✓
IP Whitelisting	-	✓
Multi Factor Authentication	-	✓
Active Directory Sync	-	✓
LDIF	-	✓
Single Sign-on	-	✓
External Archiving	✓	✓
<b>Reports</b>		
Administration	✓	✓
Policy Activity	✓	✓

	SMG	GOV
<b>Client Services</b>		
Implementation	\$500	\$10,000
Legacy Data Import	\$12/GB	\$10/GB
<b>Professional Services</b>		
Audit Assist	\$75/month	
Monthly Archive DVD	\$50/month	
Assisted Onboarding	\$	\$
Policy Tuning	\$	\$
Custom Feature/Application Development	-	\$
Custom Report Development	-	\$
<b>Training</b>		
On-demand Webinars	✓	✓
1:1 Training (web-conference)	-	Up to five one-hour live sessions
On-Site Training	-	\$
<b>Customer Support</b>		
24/7/365 Technical Phone Support	✓	✓
Strategic Operational Support	\$	\$

## Add-on Modules

<b>Personal Access</b> (Employee access to the employee's own messages)	\$5 / User / Month
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

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

Access is by individual Professional Archive log-in credentials.

### Standard Storage

The default storage period for Client Data captured by the Professional Archive is 7 years and is included in each plan. 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 the Professional Archive or data sent from external capture services to Professional Archive.

### Search

Perform e-discovery or compliance and supervision searches across archived Connections based on variables such as message data, review data and advanced search features. Apply tags, retention policies, notes and other information to individual messages or 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

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

Allows Users to access cases, the facet and filter panel, legal hold management, case sharing, unlimited case messages, and destination exports via FTP.

## Admin

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

## Self-Service Exports

Client may export or download messages from Professional Archive for e-discovery, regulatory audits or other purposes 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.

## Roles, Users and Reviewers

Client may 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 for the Client to define permissions for specific pages and features. These roles can be assigned to a User.

## Groups

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

## Retention Policies

Allows a User to create and apply policies to messages that will be retained for a certain time period and then purged from Professional Archive.



### **IP Whitelisting**

Allows Client to determine from which IP addresses a User may access the Professional Archive. IP whitelisting supports multi-factor authentication.

### **Multi-Factor Authentication**

Allows Client to enforce a second layer of authentication to access Professional Archive. To access Professional Archive, a User is required to provide their login credentials along with a code that is sent to the email address associated with their Professional Archive account.

### **Active Directory Sync**

Enables Client to integrate their Active Directory the 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.

### **External Archiving**

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

### **Reports**

Client will have access to different levels of pre-built reports depending upon the 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. For custom report service, see "Custom Reporting" section.

## **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

### Implementation

Standard set-up and configuration services are included in each plan. The fees for the standard set-up and configuration services are specified in the Plans and Features table in this document. Smarsh will configure Users' accounts for Professional Archive.

### 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

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 shipped to the Client's authorized shipping address.

### Assisted Onboarding

The Smarsh Assisted Onboarding service allows you to focus on your business, while our expert team helps you manage implementation. Assisted Onboarding is in addition to the standard setup services included in each plan and includes a project manager that serves as a consistent point of contact throughout your onboarding experience. Data migration management can also be handled as part of this process.

### Assisted Review

With Assisted Review, Smarsh provides you with certified reviewers who can be deployed immediately to handle a portion of your review requirements. Your dedicated Smarsh contact not only advocates for your compliance solution, they connect you with best practices for system architecture, policy design, and compliance practices to optimize your supervision process.

### Policy Library

A library of pre-built Smarsh-designed lexicon policies that a Client can select for its specific use.

## Policy Tuning

With Policy Tuning you can improve the effectiveness of your supervision program and make the best use of your team's time. Our experts actively tune policies and modulate lexicons to surface risk and reduce white noise so you spend time reviewing only the most critical, high-threat messages. Our Policy Tuning service provides your organization with a standard set of diagnostic tools and processes to enhance your supervision program and support your supervision needs. Requires purchase of Policy Library.

## Training

Standard pre-recorded webinar training is included in each plan. 1:1 web training is included only in specified plans. Additional 1:1 webinar training or onsite training may be provided for fee.

## Customer Support

Smarsh will provide 24/7/365 support to Client via phone and web-based customer inquiries and requests as specified in the Connected Archive Service Level Agreement. Customer support is described at <https://central.smarsh.com/s/>. Additional support packages may be purchased by the Client to extend hours of availability and allocate designated resources.

## Smarsh Customer Success Manager

When purchased in a support package, Smarsh will provide Client with access to the Smarsh customer success management team to assist Client with adoption and usage optimization to ensure complete value realization with Professional Archive.

## Regulatory Notice

Upon completion of implementation of Services, 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.

## Custom Reporting

Custom reports that are not available as standard Reports in the Professional Archive will be provided (if feasible in Smarsh's sole discretion) at an agreed upon rate.

## Additional Professional Services / Support

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

- Technical Account Manager
- Customized sign-up forms
- Custom documentation
- Custom end-user communications
- Designated support agent
- Onsite training
- Policy tuning and customization
- Policy management workshops

## Supported Channels

A full list of Supported Channels can be found at <https://www.smarsh.com/products/connected-capture/all-supported-channels/>.