Information Archiving
Buyers Guide

The need for compliance continues to grow, so let's not waste time talking alphabet soup – if you're here, you're already familiar with the requirements and regulations that your business or your customers are facing. Whether IRS, DOD 5015.2, HIPAA, FCC, FOIA, FRCP, FDIC, SEC, PCI DSS, FINRA 3010, SEC 204-2, 17a-3 and a-4 – the challenge is to find the right solution for your needs.

Whether migrating from a legacy archive platform or deploying a compliance archive for the very first time, a comprehensive archiving solution will make it easier to achieve the following business objectives:

- **Ensure Compliance and Supervision**
An information archiving solution should help you maintain good corporate governance while aligning with regulatory requirements. Data retention is not just a concern for highly-regulated industries such as healthcare, financial services, or government. According to the Federal Rules of Civil Procedure, organizations of all types need to discover and preserve information that may pertain to potential litigation. Employee complaints of discrimination or harassment may signal potential litigation as well as trigger a need for investigation or supervision. And customer service teams may wish to proactively identify misconduct to improve service and minimize risk to the brand.

- **Scale to Meet Current and Future Needs**
Email remains the electronic communications backbone of business, but collaboration tools such as Microsoft Teams and Slack, and social media applications such as Facebook and Twitter, are growing in use for communication both internally and externally, between employees and business partners or customers. As new communication channels are adopted and innovative communications platforms enter the market, organizations should partner with vendors who demonstrate the ability to keep up with evolving needs.

- **Improve Operational Efficiency**
According to Gartner, by 2023, 70% of complex e-discovery cases will be managed by in-house IT leaders, up from less than 20% today. Digital transformation efforts and innovative communication tools are contributing to an ever-growing flood of data, which increases the complexity of data searches and places a burden on the IT department to ensure data retention and timely access to selected data. Organizations should choose archiving platforms that can consolidate search parameters for disparate data sources and have the ability to provide enhanced search, review, and message classification to address more challenging requirements – all while being easy enough to use that IT doesn't have to get involved.

The right compliance archiving solution to meet today's regulatory and internal governance needs can be had, but must deliver on the following critical requirements:

Unified Archiving

The solution must be able to capture communications data for the systems you are using today, as well as platforms the business may need to use in the future. Adopting a unified archiving solution with the ability to capture email, social media, instant messaging and collaboration tools insulates the business from the need to use multiple archiving systems or to migrate to a more scalable solution when business needs evolve. Finally, the solution should consolidate each archived source into a format that streamlines the process of searching, reviewing, sharing, or exporting data.

Requirement	Yes/No
Support for archiving email data from on-premises, cloud, or hybrid environments	
Support for archiving instant messaging and collaboration tools, including private or 1:1 chat sessions and meeting transcripts	
Support for archiving individual and organizational social media and audio/video accounts	
Support for archiving blogs and RSS feeds	
Ability to set user retention policies that apply to all channels of communication, ensuring you preserve the data you need in private chat sessions, meeting transcripts, social media posts, email communication, and more	
Maps all data elements into EML format for rapid indexing and centralized storage regardless of media type, providing intuitive searchability across multiple data sources while simplifying data exports and ensuring archive portability	
Vendor demonstrates product investments and capabilities to support emerging communication channels, helping to future-proof your archiving investment	

Secure, Cloud-based Infrastructure

Modern archiving solutions should be cloud-based, with proven high-availability and security. The pace of digital transformation is accelerating, regulatory requirements are expanding, and the volume and variety of communications data continues to grow. Your archive should have no storage quotas or restrictions on retention options, and it must be proven to be robust, scalable, and secure.

Requirement	Yes/No
Infrastructure is cloud-based with data triplication across geo-redundant datacenters to ensure data cannot be lost due to disaster or system failure	
Data is stored in a private cloud with encryption both in transit and at rest	
Unlimited data storage with no limitations on retention	
WORM (Write One Read Many) compatible storage that provides legally defensible data immutability. Once data has been written to the drive, it cannot be altered	
Vendor can provide annual SOC2 audits attesting to the effectiveness of security and availability controls, simplifying continued due diligence and security reviews	

Simplify eDiscovery and Legal Case Management

Employees send and receive hundreds of emails and electronic communication every day, and sorting through the data properly can be overwhelming. The archive service you select must provide sophisticated yet intuitive search capabilities to ensure fast and accurate eDiscovery. The service must also be able to create litigation holds and easily share access with key internal and external parties, ensuring compliance with the Federal Rules of Criminal Procedure and reducing the cost associated with discovery.

Requirement	Yes/No
Provides basic search features for simplified or user-focused search queries	
Advanced search capabilities augmented with Boolean Search logic with relationship qualifiers (And, Or, Contains, Does Not Contain) that are important for eDiscovery	
Instantly save, share, export or create litigation holds right from the search results	
Full message review within the platform, with keyword results highlighted to ensure the reviewer can quickly understand the content and context, along with timestamped activity history to log message views, exports, or existing litigation holds	
Ability to create, filter, and share saved searches with authorized users without creating a full legal hold	
Ability to create, filter, and share litigation holds with authorized users to preserve data for early case assessment or litigation	
Ability to seamlessly share large data sets with external stakeholders such as trusted third-party counsel or regulatory auditors, without the need to export data, copy to a shared location, or ship media	
Seamlessly identify, protect, and remove privileged communication, such as attorney-client communication, from case documentation by designating privileged contacts	

Simplify Supervision Workflows

Organizations with compliance workflows, such as highly-regulated industries, or departments with supervisory requirements, such as HR or Customer Service, will require features that enhance message identification and review.

Requirement	Yes/No
Ability to organize users into groups, such as business units with separate archive administration and eDiscovery protocols	
Out of the box, predefined searches for rapid data retrieval	
Message classification such as "Compliant", "Not Compliant", "Additional Review", or "Escalate" with tracked comments to document supervisory workflow and decisions	
Ability to filter by reviewer, classification, escalation, and privileged addresses	
Ability to return a random sample of results with highly-configurable percentage parameters	
Proactively flag messages for review when they contain pre-defined glossary terms, whether for compliance reviews (SEC/FINRA supervision) or to identify red flags (HR or Customer Service)	
Ability to automatically run scheduled searches every day, week, or month and provide notification of the search completion via email	
Easily define email disclaimers to exclude irrelevant search results	

Predictable License Model with No Hidden Fees

Archive services are designed to store data for long periods of time, so organizations should choose solutions with clear, predictable license fees and be aware of factors that may impact the total cost of ownership. Organizations should choose solutions that license based on the number of users writing data to the archive, and avoid solutions that license based on data storage or historical users. Before choosing a vendor, it is also important to ask about fees for data import or data export, as some vendors charge a prohibitive fee for data export. Such export fees could make it challenging to switch vendors if the service is not meeting the organization's needs in the future.

Requirement	Yes/No
Vendor licenses based on number of users writing data into the archive	
Vendor does not charge fees for historical users or size of archive	
Vendor affirms the customer owns its archive data and will not charge a fee for data export	
Service reduces third-party attorney fees and speeds early case assessments via integrated sharing of litigation holds and message classification	
Vendor can provide migration as a service to ensuring successful migration from a legacy archiving platform and reduce the impact of legacy data export fees	

Implementation and Customer Care

Organizations must work with a vendor that not only provides a solution that will work once deployed but also sets the organization up for long-term success. Onboarding, implementation, and ongoing support should be provided as part of the subscription. Organizations must demand high quality customer care and be able to trust that the vendor is looking out for the customer's best interest and not their own.

Requirement	Yes/No
White-glove installation support included with the service	
Live 24/7 US-based telephone, email, and online support	
Compliance analyst team ensuring the service offering always meets the latest regulatory or compliance requirements	

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Conclusion

While compliance and corporate governance can be challenging, our Information Archiving helps you stay ahead of changing regulations while maintaining a high level of passive compliance, all with a simple and powerful interface that's easy to provision and optimize. Information Archiving is part of the Secure Cloud, which helps to ensure regulatory compliance through best-in-class email encryption, easy-to-use secure content sharing, advanced email threat protection and business communications archiving (email, instant message, social media, and more). Plus, it's all backed by Phenomenal Care for customers and 24/7/365 support.