Four Must-Have Features in a Compliant Archiving Solution

Executive Summary

Information archiving is an essential activity that provides organizations with a wide range of benefits. But it could be argued that the most important benefit is the ability to help with compliance. After all, there can certainly be no doubt that achieving and maintaining compliance with government regulations is a top concern for most enterprises. The title of a recent Forbes article succinctly and accurately summed the importance of compliance: "*Compliance Can Make or Break Your Company's Reputation*."[1]

Unfortunately, not all information archiving solutions offer significant help with maintaining compliance. Some, in fact, can instead be a hindrance to organizations' compliance efforts.

But archiving solutions that can help enhance your compliance efforts offer four must-have features. This paper lists those four critical compliance-enhancing features and explains their impact in helping organizations achieve and maintain compliance.

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Let's be honest: Information archiving is easy. No special software tools are needed; no expert knowledge is required. You just save everything. There. Your information is archived.

But archiving information in a way that is useful to your organization, adds value and protects your organization against potential compliancy violations? That's an entirely different matter. Proper information archiving is considerably more difficult than just saving everything.

Proper information archiving most certainly does require a purpose-designed software solution. That's why the information archiving market is virtually exploding. According to The Radicati Group's projections, worldwide expenditures on information archiving solutions are expected to nearly double between 2017 and 2022.[2]

Why are so many companies spending so much money on information archiving solutions? Simply because information archiving is of crucial importance to every enterprise. Information archiving can help to:

- Improve enterprise-wide operational efficiencies
- Reduce email server downtime
- Speed and enhance eDiscovery and audit processes
- Monitor employee productivity
- Guard against security lapses
- Enable social media governance
- Lower data storage costs

1 https://www.microfocus.com/en-us/solutions/information-governance
2 https://www.radicati.com/wp/wp-content/uploads/2018/01/Information_Archiving_Market,_2018-2022_Executive_Summary.pdf

Information archiving can provide all the above benefits and many more.

But for most organizations, there is one overarching concern with information archiving: compliance. Many information archiving solutions can offer most of the benefits listed above. Far fewer solutions can provide the full range of archiving benefits while simultaneously assuring that your archiving efforts do not risk compliance violations. Fewer still can offer archiving features that enhance your efforts to maintain compliance.

An information archiving solution that will help organizations enhance their compliance efforts will provide the following four key benefits, each detailed in this paper:

1. The ability to align with internal data security policies and regulatory compliance demands for long-term data retention, disposition and legal hold requirements

2. eDiscovery functionality for advanced search, tagging and data export

3. Automatic indexing that tags information for the rapid search and retrieval of archived data

4. An integrated search function that enables users to retrieve data regardless of the application of origin

Alignment with Data Security Policies and Regulatory Compliance Demands

Any organization's information archiving efforts should be strategically focused on supporting security and compliance efforts. That goal can only be achieved by aligning the archiving program with internal data security policies, with regulatory compliance demands for long-term data retention, and with disposition and legal hold requirements.

The key descriptor for this feature, of course, is "alignment." An information archiving solution must offer the flexibility to align with your organization's specific archiving needs. Those needs, after all, are different for every organization. Each organization has unique preferences and procedures for archiving. Depending on the industry vertical, each organization must conform to differing regulatory compliance demands.

The right archiving solution will provide the flexibility that is essential in adapting to the specific needs of any enterprise.

Advanced eDiscovery Functionality

According to Duke Law's Electronic Discovery Reference Model (EDRM), eDiscovery is a "process that includes electronic documents and email into a collection of 'discoverable' documents for litigation. Usually involves both software and a process that searches and indexes files on hard drives or other electronic media."[3]

Enabling eDiscovery is crucial for every business. The Osterman Research white paper, *Why eDiscovery Should be a Top Priority for Your Organization*, nicely summarized the significance of eDiscovery: "The importance of eDiscovery should not be underestimated: It is among the primary drivers for the deployment of archiving systems and has significant implications for how organizations retain, store and manage their electronic content. A failure to manage eDiscovery properly can carry with it serious ramifications."[4]

The importance of eDiscovery certainly translates to the software tools used to perform eDiscovery. Archiving tools that do not offer the full range of necessary capabilities will hinder the eDiscovery process — and risk incurrence of the "serious ramifications" referenced in the Osterman paper.

The following built-in eDiscovery tools should be offered in an archiving solution that properly supports eDiscovery:

- **Search:** The ability to perform Google-like searches across all forms of archived data, including emails, mobile messages and social media posts.

- **Tagging:** Custom tags can be created to mark archived items as confidential. Tagged items should only be accessible to users that have been granted the appropriate authorization, and the tags should be searchable.

- **Export:** Archived information can be exported to a variety of formats, including PDF, PST, and stand-alone archive viewers. The archiving solution should also enable the redaction of exported messages.

- **Litigation Hold:** Archived items can be flagged to protect them from deletion or other actions until the hold is removed.

- **Audit Trail:** The solution should generate a searchable audit trail of all users that have accessed the archive.

- **Multi-Platform Unification:** All forms and formats of messaging data can be combined in a single unified archive.

- **Fast and Easy Retrieval:** The solution's indexing engine should enable high-performance indexing.

3 https://www.edrm.net/glossary/electronic-discovery-e-discovery/
4 https://www.microfocus.com/resources/white-paper/archiving-ediscovery-legal/

Automatic Indexing

Saving information in an archive is one thing. The ability to quickly and easily find and retrieve that information is another thing entirely. If archived information cannot be easily found when needed, is there truly any value to that archived data?

Indexing makes it possible to find and retrieve archived data. The best archiving solutions automate the indexing process. In fact, automated indexing is of such importance that The Radicati Group's *Information Archiving – Market Quadrant 2019* analysis listed automated indexing as one of the key features used in evaluating archiving vendors.[5]

Automated indexing can ensure fast and easy data retrieval. An information archiving solution that provides this capability is a tool that will help any organization achieve and maintain compliance.

Integrated Search Capability

As discussed above, the ability to automatically index all archived information is of great importance. But an archiving solution should also make it both possible and easy to search the archived, indexed information. Search capability should be an integral feature of the archiving solution — not a third-party add-on that must be cobbled onto the base functionality of the archiving solution.

And the search capability provided must enable far more than just a simple search. The Radicati Group's analysis, referenced above, defines the necessary search capabilities for archiving solutions as follows: "In addition to basic search functionality (search by sender, recipient, subject, date or contents of a message) information archiving solutions should provide a robust set of advanced search capabilities, including: concept, Boolean, proximity and more."

It's also essential that search capability extends to all forms of archived data, regardless of the data type, and regardless of the application from which the data originated.

Any Help with Compliance Is a Good Thing

Information archiving isn't just about helping organizations achieve and maintain compliance with regulatory mandates. As Computer Weekly once noted, "It's a myth that file archiving is only for regulatory compliance. In reality, archiving has been around for decades." But the publication also observed that "compliance needs have become a serious driver for archiving."[6]

5 https://www.microfocus.com/en-us/assets/information-management-and-governance/the-radicati-group-information-archiving-market-quadrant-2019?
6 https://www.computerweekly.com/feature/Who-should-be-considering-file-archiving-and-compliance

And many organizations have become rather desperate for any compliance help that might be available, particularly among the more heavily regulated industries. In recent years banks have been fined hundreds of billions of dollars for compliance failures.[7] 2018 was a record year for HIPAA compliance enforcement actions against healthcare organizations.[8] And the recently-enacted General Data Protection Regulation (GDPR) has resulted in nearly a hundred GDPR compliance failure fines levied in less than a year's time — including a massive €50 million fine levied against Google.[9]

Any resource that can help organizations lower their risk of compliance failures is obviously a good thing. The right information archiving solution can provide a great deal of help in enhancing the compliance efforts of any organization.

The right archiving solution will provide all of the compliance-enhancing features discussed above. And the Micro Focus Archiving and Risk Management Solution is a perfect example of the right solution. The Micro Focus archiving solution provides each of the compliance-enhancing features discussed in this paper.

Stated simply, Micro Focus, with its Archiving and Risk Management Solution, can help any business enterprise to get compliant and stay compliant.

Contact us today *to learn more about how Micro Focus solutions enhance compliance across security, information archiving, and information lifecycle management — the three most common points-of-failure for organizations that struggle to achieve and maintain compliance.*

Micro Focus offers decades of industry-leading information archiving experience, and currently manages the world's largest secure private cloud. Selected by Radicati as an archiving leader, Micro Focus offers information archiving services to both regulated and unregulated businesses.

7 https://www.marketwatch.com/story/banks-have-been-fined-a-staggering-243-billion-since-the-financial-crisis-2018-02-20
8 https://www.hhs.gov/hipaa/for-professionals/compliance-enforcement/agreements/2018enforcement/index.html
9 https://www.helpnetsecurity.com/2019/02/07/gdpr-numbers-january-2019/