



Proofpoint Regulatory Compliance

Protect Privacy and Comply with Data Protection Regulations

Proofpoint Regulatory Compliance™ makes it easy to ensure that electronic communications, including email and web traffic, webmail, social network comments and blog posts do not improperly disclose sensitive data about employees, customers or patients. As a part of the Proofpoint Enterprise Privacy™ Suite, Proofpoint Regulatory Compliance ensures that outbound messages comply with many different types of regulations, including HIPAA, GLBA, the UK Data Protection Act, PIPEDA (Canada), Data Protection Directive (for the EU), PCI compliance guidelines and SEC regulations.

Proofpoint Enterprise Privacy Suite Components

The following comprehensive data loss prevention components are offered through the Proofpoint Enterprise Privacy Suite:

- **Proofpoint Email Firewall™**
Detects sensitive information in message content and subject line
- **Proofpoint Regulatory Compliance**
Detects protected information, including financial, healthcare, and other “smart identifiers”
- **Proofpoint Digital Asset Security™**
Detects presence of confidential information through advanced document fingerprinting
- **Proofpoint Encryption™**
Automatically applies encryption based on an organization’s policies

Meet privacy-related regulations

Proofpoint Regulatory Compliance makes it easy to ensure that outbound messages comply with many different types of email-related regulations. Enterprise organizations of all sizes and industries are now subject to a growing number of privacy-related regulations that govern the handling of certain types of private data. These regulations extend to the content of email messages and attachments leaving an organization.

Proofpoint Regulatory Compliance has predefined dictionaries and “smart identifiers” that automatically scan for a wide variety of non-public information, including PHI (protected health information as defined by HIPAA) and PFI (personal financial information as defined by GLBA) to allow for appropriate actions on noncompliant communications.

Rules can be easily created or modified via a point-and-click interface to support compliance with many other types of information privacy and data security regulations, such as state regulations (for example, California SB 1386 and Massachusetts 201 CMR 17), Canada’s PIPEDA, as well as various European privacy directives.

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| Feature | Benefit |
|----------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Smart identifiers | Detects social security numbers, credit card numbers, and more; conducts detailed algorithmic checks to ensure the highest degree of detection accuracy |
| Advanced proximity and correlation analysis | Delivers a high degree of confidence in personally identifiable information |
| Extensible policies | Allow custom dictionaries to be uploaded and smart identifiers to be created to address any unique requirements |
| DLP dashboard | Provides a centralized and consolidated view of all compliance activity across an organization with real-time statistics and the ability to drill into any specific incident for review |
| Managed dictionaries | Provide pre-defined libraries for quick analysis of sensitive content (examples include healthcare code sets, ABA routing numbers, National Insurance Number (UK), Japanese Credit Card Numbers and Canadian Social Security Numbers) |

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Detect all types of private data inside email and attachments

Proofpoint Regulatory Compliance includes a wide variety of features to help organizations comply with today's information privacy rules. Proofpoint Regulatory Compliance monitors all outgoing email, including over 300 attachment types to detect private information based on predefined dictionaries and other types of smart identifiers.

- **Predefined dictionaries:** A variety of predefined dictionaries and sample policies are included within Proofpoint Regulatory Compliance. These dictionaries define common protected health information code sets, such as standard disease, drug, treatment, and diagnosis codes used by the healthcare industry to simplify HIPAA compliance. Proofpoint also includes a variety of financial privacy dictionaries, such as SEC, insider trading and trade confirmation terms used in the financial services industry to aid with GLBA, PCI and SEC compliance.
- **Unlimited, custom dictionaries:** New dictionaries can also be defined, which can support both exact matches, as well as regular expressions. The included HIPAA dictionaries can be expanded to include terms and codes specific to a medical environment, and new dictionaries can be added to support additional regulations such as NASD, PIPEDA, and others. Dictionary terms can be weighted to increase or decrease the matching strength of any term or to allow exceptions.
- **Automatically updated dictionaries:** Through the Dynamic Update Service in Proofpoint Enterprise Privacy, the pre-installed managed dictionaries are always up to date with the latest codes.

Smart identifier technology for maximum accuracy

Proofpoint Regulatory Compliance can also scan for common non-public information (NPI) including Social Security numbers, ABA routing numbers and credit card numbers.

These "smart identifiers" are more sophisticated than simple regular expressions. They look for the correct number of digits, but also compute checksums to confirm that numerical strings that appear as NPI are actually protected information. This technique greatly reduces false positives. Custom smart identifiers can easily be added to support customer-specific data types, such as account numbers, patient numbers, medical record numbers, billing codes and local forms of ID. Built-in smart identifiers and custom-created identifiers can perform complex, algorithmic processing to ensure high detection accuracy while minimizing false positives.

Flexible privacy rules and policy definitions

A point-and-click interface makes defining and modifying even complex privacy rules quick and easy. Rules can be configured to apply to individual occurrences of NPI or when a certain count of dictionary and smart identifiers are reached. Proximity detection allows for advanced analysis of multiple elements. Any number of privacy rules can be defined to support specific compliance requirements. Multiple rules can be mapped into policies (for example, HIPAA, GLBA, and AB 1950 policies). Policies can be set at the global level, or unique policies can be set for individual groups/departments.

Encryption support

Many regulations specify that non-public data must be secured when transmitted over public networks. Proofpoint Regulatory Compliance supports several types of encryption, including TLS (Transport Layer Security) and Proofpoint Encryption.

Robust reporting

Graphical reports show the number of regulatory breaches over a given timeframe, as well as the top offenders of these policies. Reports can be emailed on a scheduled basis or published to an intranet site.

In most enterprises, content security policies are managed by a variety of business users who own responsibility for compliance or data protection. The DLP Dashboard provides a centralized and consolidated view of compliance activity across an organization. An incident management console allows administrators or compliance managers to view real-time statistics and trends, as well as manage any current incidents and take appropriate actions on non-compliant messages. Managers may be immediately notified of policy violations and associated severity levels so business users can easily and effectively review non-compliant messages and release, re-route, approve or otherwise dispose of such messages.

Dictionaries and Smart Identifiers

Included are the essential building blocks to meet a wide variety of privacy regulations (examples):

Healthcare Code Sets

- ICD-9-CM diagnosis and procedure codes
- HCPCS common procedure codes
- NDC drug codes
- Numerous other medical code sets

Financial and Privacy Smart Identifiers

- US Social Security, Canadian Social Insurance, UK National Insurance, Japanese residence registration and driver's license IDs and other unique identifiers
- ABA routing numbers
- Credit card numbers (US and international)
- CUSIP securities identifiers, SEC filings, trade confirmations

Custom Smart Identifiers

- Medical record numbers
- Financial services account numbers
- Local forms of ID

About Proofpoint

Proofpoint focuses exclusively on the art and science of cloud-based email security, eDiscovery and compliance solutions. Organizations around the world depend on Proofpoint's expertise, patented technologies and on-demand delivery system to protect against spam and viruses, safeguard privacy, encrypt sensitive information, and archive messages for easier management and discovery. Proofpoint's enterprise email solutions mitigate the challenges and amplify the benefits of enterprise messaging.

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