Archiving & Compliance Infrastructure
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Abstract

Archiving and Compliance Infrastructure: The Cornerstone of Enterprise Data Management

Enterprise data management strategies that include information archiving capabilities provide companies with a full-lifecycle approach for managing data.

- The drivers that compel an organization to look for an archive solution
- How to approach a project to deploy a winning solution

The tutorial teaches basic principles for managing data as well as how to plan an archiving strategy that will meet your organization's requirements, drive business value and enable the organization to:

- Manage explosive data growth
- Aligning performance and service levels for timely information access
- Support data retention compliance requirements and effective storage strategies.
- Improving data management to eliminate redundancies and simplify the IT infrastructure.

It will end with a view of the benefits to be derived through Archiving Infrastructure
Agenda

• Enterprise Data Management & Archiving
• Why Compliance Archiving has changed
• Compliance Archiving Infrastructure
• Project Best Practices
Agenda

• Enterprise Data Management & Archiving
Setting an Effective Archive Strategy

• Will be the most far-reaching decision you will make.
  – Affect the outcome and speed of legal cases and regulatory inquiries
  – Save your company fines & legal fees
  – Determine ability to recover from an outage or disaster
  – Improve application performance and costs
  – Improve productivity for all of your company’s employees.
What are the Practices

**Advanced Practice**

**Best Practice**

**Common Practice**

**Base Practice**

**Business Processes**

- Archival
- Add Primary Disk
- Tape-Backup

Archiving & Compliance Infrastructure
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Electronic Information

- Email and office automation large information generators
- Easy way to communicate
- No controls of what is sent and received and stored
- Highly distributed
- Often used as document management systems
- Defensive copying, many copies
## What drives archiving

<table>
<thead>
<tr>
<th>Category</th>
<th>Drivers</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Regulatory</strong></td>
<td>HIPAA, SOX, GLB, NASD etc.</td>
</tr>
<tr>
<td><strong>IT Efficiency</strong></td>
<td>Storage, Backup, Performance, Capacity Planning</td>
</tr>
<tr>
<td><strong>Legal Preservation</strong></td>
<td>Legal process, Discovery Costs, Discovery speeds, Search</td>
</tr>
<tr>
<td><strong>Knowledge Management</strong></td>
<td>Classification, Data mining and sharing, Improved information access</td>
</tr>
<tr>
<td><strong>Digital Information Creation</strong></td>
<td>Email, RDBMS, Office Automation, Policies, IP, Records born Digital, Processes</td>
</tr>
</tbody>
</table>
Data Management

Facilitates Lifecycle Management & enables

- Managing data growth aligned with SLA’s and operation cost and risk
- Optimizing application performance
- Enabling data retention compliance requirements until they expire
- Enabling legal discovery
- Enable records management
- Simplifying storage operations and IT infrastructure
Electronic Record Types

- Ad Hoc/ Casual
  - Email/PST, Office Automation
- Business Process
  - Claims, Mortgages, e-Government
- Transaction Systems
  - Web, CRM etc.

- On the Horizon and in progress as part of a unified archival strategy
  - Voice mail
  - Voice conversations
  - Video
  - Video conferences
  - Audio and Video (WebEx)
Taxonomy Versus File Plan

• Designed to aid in finding and retrieving information

• Designed to aid keeping like records together for retention and legal purposes

- Finance
  - Accounts and Statements
  - Asset Management
  - Audit
  - Authorization
  - Benefits and Subsidies
  - Borrowing
  - Budget
  - Credit Union Management
  - Debt Management
  - Donations
  - Expenditure
  - Fraud
A retention schedule is a list of records for which pre-determined destruction dates have been established.

The Retention Schedule brings all this information together in a single report. It has three objectives:

- disposal of those records which have completed their retention period
- storage of records which have to be kept temporarily after they are no longer needed for current business
- preservation of records which are of long-term or historic value

In practice the schedule will have dates varying from a few months to permanent retention.
Agenda

• Why Compliance Archiving has changed
What’s the requirement?
Why Compliance Archiving has changed?

Stakeholder Concerns

**Business**
- Ensure compliance
- Reduce Risk
- Financial
- Reputation
- Customer impact
- Shareholder impact

**Records Management**
- Manage lifecycle
- Find and produce Records fast
- Manage physical Records

**Legal**
- Quickly find & produce all records
- Costs eDiscovery
- Electronic
- Information risks
- Policy enforcement
- Spoliation

**IT**
- Enterprise architecture
- Standardization
- Storage growth
Agenda

• Archiving Infrastructure
Point Solutions

• Different solution for each requirement
• Complexities
  – No Federated Search
  – No re-use across initiatives
  – Higher TCO
  – Complicated to manage
  – Operationally complex
  – No standardization
Enterprise Archives

- **Framework to Capture the vision of the “Archive System”:**
  - Disk based storage environment reduces complexity
  - Enable Change to Occur Rapidly
  - Prevent Undue Resource Utilization in a controlled manner with minimal adverse impact
  - Helps to align IT with the Business
  - Leverages Enterprise Technology Investments
  - Provides guidelines around New Technology Investments
Enterprise Archiving

Corporate Information

Data Services

Storage Services
Compliance/Archiving Infrastructure

Storage Services

Extended Capabilities

- Data classification
- Data migration
- Data discovery
- Data permanence
- Data security
- Data privacy

Core Capabilities

- Optimized archiving architecture
- Replication
- Integration with archival & compliance applications
- Ability to meet long-term needs for scale, security, access, and cost
- Ability to deploy archive & compliance initiatives together
Archiving Steps

<table>
<thead>
<tr>
<th>Catalog</th>
<th>Determine applications &amp; data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classify</td>
<td>Group data into logical classes</td>
</tr>
<tr>
<td>Search</td>
<td>Locate files based on content</td>
</tr>
<tr>
<td>Report</td>
<td>Segregate historical records</td>
</tr>
<tr>
<td>Action</td>
<td>Policy archiving for cost &amp; risk</td>
</tr>
<tr>
<td>Access</td>
<td>Authorized access to records</td>
</tr>
<tr>
<td>Dispose</td>
<td>Delete records no longer needed</td>
</tr>
</tbody>
</table>
Storing for Archive Projects?

- The risk for electronic records with long term retention periods
  - Not only storage media longevity
  - The application and operating system needed to access and read the records will be long obsolete 20 or 30 years in the future.
- Long term retention for electronic records carries with it the responsibility for a long-term preservation strategy
- Electronic records that must be kept for long periods of time:
  - Can be converted to PDF format.
  - Designate electronic records with long term preservation requirements for continual migration forward as systems are upgraded or replaced
- Set review dates for long term retention so that the records’ continuing value can be assessed as time passes and preservation plans made.
Agenda

• Project Best Practices
Running Archive Projects?

• Archive Project Best practices
  – Involve all stakeholders
    • IT, LOB, Legal, RIM etc
  – Archiving Policies
    • Revised to go electronic
    • Support reducing risk and cost
  – Select data types
    – Unstructured, structured, semi-structured
  – Develop enterprise architectures
  – Classify
    • Select methods and tools
Roles & Responsibilities?

Governance
- Legal
- Compliance
- Security

Senior Management
- Program Sponsorship

Records Management
- Program Implementation
- Set policies & procedures

BU Managers
- Ensure record keeping aligned with program

Information Technology
- Data Management & Storage

Employees
- Adhere to policies
In summary

• Benefits
  – Improved risk mitigation
  – Lowered management costs
  – Improved applications
  – A better store of corporate information
  – Faster time to information and reduced discovery and storage costs.
Q&A / Feedback

Please send any questions or comments on this presentation to SNIA: trackdatamgmt@snia.org

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SNIA Education Committee

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