Global financial services firm supports compliance with archiving

HP solutions for archiving, legal hold, and eDiscovery

Industry
Financial Services

Objective
Meet the regulatory obligations associated with the vast quantities of structured and unstructured data located in systems from the acquired financial institution

Approach
Deploy an integrated solution to secure, index, analyze, collect, archive, and hold data across all media types that would be potentially relevant to regulators and litigants

Business matters
• Located and collected data from over 70,000 systems distributed geographically

• Pre-culled and deduplicated the over 500 TB of data

• Provided a secure long-term archive environment that supports legal hold and sophisticated eDiscovery

• Maintained defensible chain of custody

IT matters
• HP Digital Safe

• Digital Safe Restoration Service

• Digital Safe Audit Center Service

• HP Legal Hold

• Desktop Legal Hold

• HP IDOL Echo

Background

This leading financial services firm became an HP customer for archiving and compliance in 2004, and has since archived over 350TB of data and utilized a number of HP solutions to automate and streamline its compliance operations.

In 2008, the firm purchased large portions of assets from a failing financial institution, taking on a significant amount of institutional risk that fell under regulatory scrutiny. Control and analysis of the electronic data had to be established within a short period of time to meet internal governance and governmental requirements, including TARP requirements and a FDIC requirement to collect and store the electronic content for seven years.

The challenge

Under tremendous internal and governmental pressure, this customer moved quickly to evaluate options for establishing control over vast quantities of hardware and both structured and unstructured data located in the systems from the acquired financial institutions. The sheer volume presented an enormous challenge because the data was subject to litigation and needed to be collected in a defensible, FRCP-compliant manner. As a result, the governance, legal, and IT teams collaborated to establish the baseline requirements needed to secure, index, analyze, collect, archive, and place legal holds on data, including all media types, that would be potentially relevant to regulators and litigants. The firm recognized that traditional utilities and methods for collection were not going to be viable and turned to HP for a new generation of solutions.

About the financial services firm
This case study describes a leading financial services firm with assets over $2 trillion, more than 200,000 employees, and worldwide operations.

The customer's requirements were to:

- Locate and collect data from over 70,000 work stations and file servers, and 2,500 backup tapes scattered over numerous locations

- Collect content from key enterprise applications, including corporate email, ECM, and ERP systems

- Effectively pre-cull and deduplicate the expected volume of 500TB of data

- Complete the initial processing of 10,000 priority workstations within a defined timeframe

- Process over 2.8TB every 24 hours for 180 days, to complete the entire project by the government mandated deadline

- Prioritize the collection of data from leased hardware to avoid the necessity of purchasing tens of thousands of obsolete systems and licenses

- Provide a secure long-term archive environment that supports legal hold and sophisticated eDiscovery operations

- Maintain defensible chain of custody throughout the process

- Future collection of SharePoint system data and 20TB of content located on NAS storage systems

The solution

The challenge of collecting an estimated 500TB of email and other electronic files from geographically separated systems within 180 days was a once-in-a-lifetime occurrence. Yet, the underlying requirements aligned with this organization's best practices requirements for efficient pre-culling and collection of large quantities of remotely located content.

The HP solution provided the scalability and end-to-end capabilities that their existing manual system and traditional vendors lacked: to remotely process over 10,000 systems during the initial government-monitored test phase. By comparison, traditional solutions required the physical hardware connections to centrally located collection servers that were only capable of processing an average of 27 workstations in a 24-hour period. After shipping 10,000 workstations to a central location, a legacy solution would require over 370 days for the first 10,000 systems and over seven years to collect 500TB of content.

HP's advanced collection software provided the ability to intelligently pre-cull and deduplicate all forms of data, allowing the team to focus collections on priority content. This also eliminated the cost and time of a forensic bit-by-bit, manually-driven copy utility that collects vast quantities of irrelevant content, and provides no additional value to the investigators or legal teams. In parallel, the HP Professional Services team began one of the largest tape restoration projects ever undertaken by any vendor.

Leveraging the patented split-cell architecture of Digital Safe, the HP Professional Services team was able to deploy regional collection centers into existing facilities to reduce network latency and bandwidth requirements, further reducing cost and time requirements. The grid-based model eliminated the collection silos typical in legacy solutions, ensuring that investigators and legal teams had access to the full corpus and an FRCP-compliant system for searching and analyzing content.

Products

- **HP Digital Safe**: This organization expects to double previous data volumes. Collected data is automatically classified and flagged with project-specific retention requirements. Accessibly to content is role-based, with the ability to limit investigator access to specific segments of the data.

- **Digital Safe Restoration Service**: This project was the largest single restoration project on record for any vendor. HP Services operated 24/7 to restore data from multiple tape systems, hard drives, and third-party systems. All content is filtered, deduplicated, and placed in the same Digital Safe repository as data captured via live-stream collections and standard archive.

- **Digital Safe Audit Center Service**: This organization works with HP eDiscovery professionals to locate key custodians data and other relevant data.

- **HP Legal Hold**: Manages the administration tasks, policy management, and collections into Digital Safe.

- **Desktop Legal Hold**: A silent installer performs local internal index, and applies policies and rules as dictated by Legal Hold, which provides a pre-culled collection set or a forensic image of the system and manages bandwidth throttling.

- **HP IDOL Echo**: Monitors collection processes, validates all transactions, and assures the correctness of the transmission process.

Functional highlights

- **Device identification** is facilitated by means of out of the box integration with enterprise directories.

- **Intelligent distribution and collection** caters to network limits, geographic distribution, and any scalability requirement.

- **Legal hold** protects information by means of forensic hold and in-place management of assets.

- **User notification** is embedded into workflow systems for user management and verification.

- **An Intuitive central dashboard** simplifies and reduces the management of the entire process while providing a global view.

- **Intelligent storage** reduces footprint using de-duplication and Single Instance Storage (SIS) algorithms.

- **Post-collection features** such as asset media wiping/shredding via industry standard systematic overwrites.

This unique technology represents a fundamental quantitative and qualitative shift in enterprise collection. It makes possible what would have been, until now, an unachievable target using existing manual legacy technology, for all except the simplest collection scenarios.

About HP Autonomy

HP Autonomy is a global leader in software that processes unstructured human information, including social media, email, video, audio, text, web pages, and more. Using HP Autonomy's information management and analytics technologies, organizations can extract meaning in real time from data in virtually any format or language, including structured data. A range of purpose-built market offerings help organizations drive greater value through information analytics, unified information access, archiving, eDiscovery, enterprise content management, data protection, and marketing optimization.

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