



**Symantec Document Retention and Discovery**  
**Symantec Enterprise Vault™**  
**Symantec Enterprise Vault Discovery Accelerator**

Enforceable Email Retention • Accelerated Electronic Discovery • Aligns Legal, IT, and Business Requirements

Information Risk Management • IT Policy Compliance

Growth in the volume and variety of electronic communication is matched only by growing demands for Discovery to support litigation. New requirements codified under the US Federal Rules of Civil Procedure raise risks for organizations that lack disciplined, efficient E-Discovery processes. Symantec solutions support collection and retention of unstructured content, effective Electronic Discovery for real-world litigation, and documentation of compliance with policy and law.

## Meeting the E-Discovery challenge



Today's corporate governance, regulatory and litigation environment demands IT policies and processes that support:

**Retention** processes that cover the full range of unstructured content—non-hierarchical electronic records like email and text files—and can provably meet corporate governance standards, industry regulations and legal obligations.

**Discovery** processes that are fast, accurate, and meet both the E-Discovery requirements of the US Federal Rules of Civil Procedure and the requirements of today's complex litigation, with multiple teams of paralegals, inside counsel, outside counsel and service providers using a wide variety of review, case management and production tools.

Symantec helps IT organizations meet these legal requirements as they address the explosive growth in both the volume and variety of records under management:

- *Email volume continues to grow as standard platforms expand to incorporate unified messaging spanning voicemail, pictures, and video*
- *Instant-messaging (IM) technologies that are already in use by most employees of medium-to-large businesses,<sup>1</sup> and growing fast<sup>2</sup>*
- *New messaging and collaboration tools are growing in importance and volume,<sup>3</sup> with Microsoft® claiming 85 million seat licenses at 17,000 organizations for its SharePoint® solution alone*

Symantec understands that the choice of an archiving solution is a long-term decision, complicated by operational requirements such as:

- *“Churn” in document formats as new ones are introduced and old ones grow obsolete*
- *End-user workarounds when retention management policies seem too restrictive*
- *Reactive “drop everything” Electronic Discovery requirements based on manual processes that tie up valuable staff, and introduce IT risk, cost, and delay*

1. Vangie Beal. "The Year in Instant Messaging." *Instant Messaging Planet*, <http://www.instantmessagingplanet.com/enterprise/article.php/3650381> (Darien, CT: Jupitermedia Corporation. December 21, 2006).

2. Paul Korzeniowski. "Time to Guard Your Instant Messaging Traffic." *bMighty.com*, [http://www.bmighty.com/blog/main/archives/2007/09/time\\_to\\_guard\\_y.html](http://www.bmighty.com/blog/main/archives/2007/09/time_to_guard_y.html) (Manhasset, NY: CMP Media LLC. September 6, 2007).

3. Alan Pelz-Sharpe. "Measuring Microsoft SharePoint Growth." *Business Intelligence Weblog*. [http://www.intelligententerprise.com/blog/archives/2007/08/measuring\\_micro.html](http://www.intelligententerprise.com/blog/archives/2007/08/measuring_micro.html); jsessionid=BDSPTPZL2N5R0QSNLRSKHOCJUNN2JVN (Manhasset, NY: CMP Media LLC. August 3, 2007).

## Balancing Legal and IT requirements

As the IT industry's leading archiving solution provider, Symantec has been an active contributor to E-Discovery standards groups that guide development of solutions and services to close the gap between Legal and IT perspectives on document retention and Discovery.

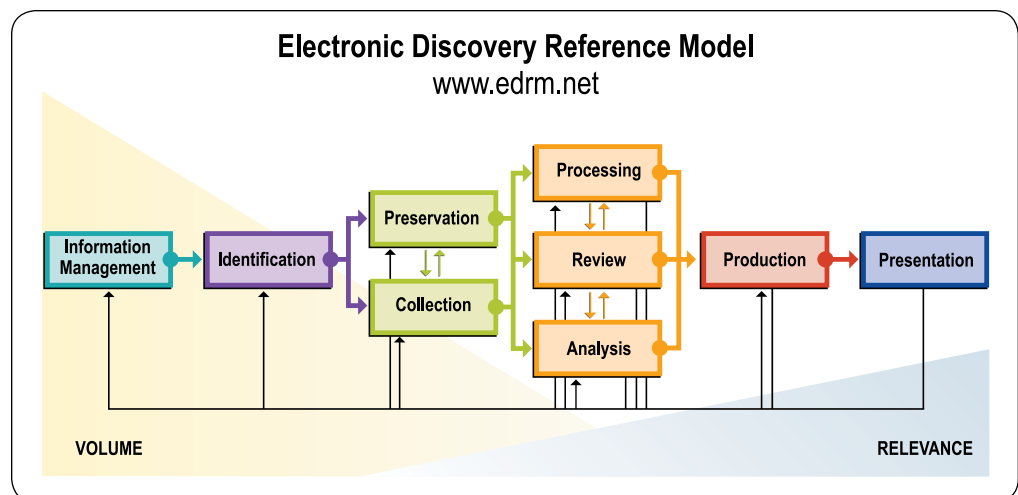
Legal requires:

- *Unambiguous retention policies that will stand up in court, with consistent automated policy enforcement on archived data*
- *Quick, effective legal holds to prevent data destruction and spoliation sanctions*
- *Quick and efficient discovery of unstructured data, to support both early case assessment for the “meet and confer” as well as further legal review and analysis*
- *An open approach to E-Discovery that helps even multiple internal and external teams make the best use of archived content*

IT requires:

- *Practical, efficient archiving processes that optimize storage and minimize burdens on end-users*
- *Self-service E-Discovery tools for legal users to cut IT workload and disruption*
- *Standards-based integration with third-party E-Discovery tools, minimizing the burden of handling data and tracking chain of custody*

The Electronic Discovery Reference Model (EDRM) Project provides a common, flexible, and extensible framework for the development, selection, evaluation and use of Electronic Discovery products and services. Active participation in EDRM and other standards projects helps Symantec align its solutions to complementary technologies for legal Discovery and the needs of the Legal community.



Symantec's solution set, encompassing Symantec Enterprise Vault and Symantec Enterprise Vault Discovery Accelerator, balances Legal and IT requirements for effective preparation and swift, confident execution of the Discovery process.

Symantec Enterprise Vault provides automated, documented enforcement of email, file, and document retention policies. Symantec Enterprise Vault archives support fully automated, comprehensive data collection; Symantec Enterprise Vault Discovery Accelerator supports efficient and effective legal holds on data destruction without creating enormous insecure copies that add risk. The tools support both self-service and sophisticated third-party analytics, for smooth integration with today's multi-party litigation teams.

Most important, the Symantec solution set—and retention policy consulting available through Symantec Global Services—can help organizations establish a framework for document retention and Discovery where none existed before, helping to avoid unnecessary costs, disruption and legal exposure in litigation.

### Solution Overview

Symantec's solution for content archiving and Electronic Legal Discovery has two parts:

- *Symantec Enterprise Vault is the industry's most widely-deployed solution for applying content retention policies to email, IM, SharePoint and file system archives. The solution includes the capability for routine, limited, or preliminary searches by IT, end users or other in-house staff.*
- *Symantec Enterprise Vault Discovery Accelerator supports litigation response, accelerating search, management, and production of electronically stored information by in-house legal counsel through broad, flexible search and export capabilities. Evidence is documented through creation and maintenance of audit trails, and careful adherence to legal workflow.*



IT brings new capabilities to legal Discovery, and introduces new risks. A comprehensive, policy-driven E-Discovery solution—one that addresses the requirements of both Legal and IT teams—can minimize cost and legal exposure, and even serve as a competitive advantage during Discovery.



## Symantec Enterprise Vault

Symantec Enterprise Vault is the industry's most established archiving solution, with more than 6,000 customers and more than eight million managed seats. Leading industry analysts consistently place the solution at the head of its category for both innovation and technical excellence. Advances in this proven solution add powerful capabilities that address the stringent requirements of Legal Discovery.

### *Broad, future-protected coverage*

Symantec Enterprise Vault provides policy-driven retention and full indexing of more than 370 different file types, including:

- Microsoft® Exchange email
- Microsoft Outlook® .pst files
- Zipped files
- SMTP email
- Microsoft SharePoint® records
- File shares
- Instant-Messaging (IM) formats
- IBM®Lotus® Domino® .nsf files
- Encrypted email
- Microsoft® Office files
- Lotus Domino email
- Obsolete and niche file formats

Symantec Enterprise Vault archives, indexes, and retains original content with HTML copies to avoid file-compatibility issues. Even obscure file types can be identified, located, and viewed years after the original application has disappeared. Archives now work as indexed, centralized repositories, supporting fast, cost-effective early case assessment in the first stages of E-Discovery.

Aggressive email sunset policies and quotas may encourage end users to create individual private archives, a practice that creates large, unmanaged, undocumented, and easily-corrupted files on end-user PCs. These .pst files waste storage space, escape legal or company retention policies, and are easily corrupted. They create a potential “smoking gun” when they appear late in the Discovery process, containing potentially relevant email records.

Symantec Enterprise Vault avoids the problem of unauthorized archives in two ways. First, it manages email storage for end users—eliminating mailbox quotas—and offers better indexing and search capability than either .pst files or the original email application itself. End users experience more storage capacity and faster, more reliable availability of information at far less effort than with their own solutions, which builds compliance with email retention policies. And second, Enterprise Vault enforces retention policies directly, searching out, archiving, and removing .pst files from end user storage.

### *Intelligent archiving and review*

Symantec Enterprise Vault applies policies intelligently throughout archiving and Discovery processes, reducing storage costs, controlling preservation and disposition of documents, and improving the efficiency of search and review. The solution supports sophisticated retention policies by classifying data according to multiple properties—for example, retaining patent correspondence indefinitely and discarding spam at once. This approach not only saves storage capacity but speeds E-Discovery when the time comes.

## Symantec Enterprise Vault Discovery Accelerator

With workflow designed for legal users, Symantec Enterprise Vault Discovery Accelerator supports search and discovery by category, user, time frame, keywords and other context in preparation for “meet and confer” contact with opposing counsel, or to develop litigation strategies.

Once Discovery is underway, Symantec Enterprise Vault Discovery Accelerator extends basic search with advanced capabilities for identification, preservation, collection, review, and production—following legal workflow for effective coordination of multiple teams and tools. Discovery Accelerator also supports legal holds that are effective and manageable from both Legal and IT perspectives.

### *Symantec Enterprise Vault Discovery Accelerator*

Symantec Enterprise Vault Discovery Accelerator supports worldwide federated search across the full range of supported file types by content of message, author, recipient, subject, message body, attachment and much more. De-duplication of redundant items saves many hours of review even in the simplest cases, and the solution is fully audited to establish document integrity and chain of custody.

Symantec Enterprise Vault Discovery Accelerator can export data in native file system and message formats, reducing conversion requirements and IT costs. It supports review with features such as hit highlighting, marking and annotation. Its interface is appropriate even for non-technical users, and easy to learn.

Symantec Enterprise Vault Discovery Accelerator reduces both direct and indirect costs of mounting an effective defense, and allows fast and effective early case assessments. At the very earliest stages of Discovery, it provides an advantage against opponents whose own E-Discovery processes are slow and costly. And throughout the process, legal workflow support such as delegated review and integrated Bates numbering help maintain speed, control, and cost-effectiveness.

Symantec E-Discovery products and services prepare an organization for effective Electronic Discovery in legal proceedings. But Symantec Enterprise Vault offers compelling benefits even beyond E-Discovery. Symantec Enterprise Vault has helped organizations throughout the world secure benefits like these:

- Elimination of .pst File Headaches
- Archiving for Legal & Compliance
- Faster Backup & Improved Disaster Recovery
- Automatic Mailbox Management
- Storage Optimization
- Intelligent Archiving



### *Effective legal holds*

The typical methodology for imposing legal hold on document destruction is to make a point-in-time copy of all potentially relevant documents. But this approach wastes storage resources, and fails to cover documents produced or archived after the snapshot. It also adds risk, by introducing separate security and management requirements for two versions of the documents, and by injecting a completely unnecessary reconciliation process between the versions.

The legal hold process in Symantec Enterprise Vault Discovery Accelerator avoids these problems. It creates no copies; instead, it imposes a hold based on criteria defined by corporate counsel such as date range, sender, recipient, keywords, retention category, and so on. Because legal hold can be required of ongoing matters, Symantec Enterprise Vault Discovery Accelerator can apply relevant criteria to new documents as well as those already in the archive. And because it is imposed on documents themselves, not copies, there is no duplication, added risk, or need for a reconciliation process.

### *New Connectors for analysis, review, and production*

Symantec Enterprise Vault™ E-Discovery Connectors extend Symantec Enterprise Vault across the Electronic Discovery Reference Model, including automated data transfer between Symantec Enterprise Vault Discovery Accelerator and third-party tools during review and collection phases of E-Discovery.

**Symantec E-Discovery Review Connector** automates data transfer to third-party analytics and review products, reducing the data volume, labor and risk of responding to E-Discovery requests. Symantec E-Discovery Partners Attenex Corporation, Clearwell, Kazeon and MetaLINCS use this connector to integrate their analytical review software with Symantec Enterprise Vault and Enterprise Vault Discovery Accelerator.

The Symantec E-Discovery Review Connector also automates data export into legal load file format, for easy transfer into document review, production and presentation software from Symantec Partners including FTI Ringtail and LexisNexis Summation. When organizations use multiple outside counsel, or service providers that use different litigation support and review software, the E-Discovery Review Connector helps move Enterprise Vault data to all relevant applications without compromising the chain of custody.

**Symantec E-Discovery Collection Connector** helps pull active content from the desktop into Symantec Enterprise Vault. Software from Symantec Partners such as Guidance EnCase and Kazeon uses it to sweep end-user computers for active (nonarchived) files and move them into the archive. This allows customers to use Symantec Enterprise Vault with Discovery Accelerator as a single centralized location and search interface for the preservation, analysis, and review of all electronic records.



## Archiving for compliance, litigation preparedness, and operational efficiency

The US Federal Rules for Civil Procedure govern the use of electronic data as evidence, and imply “safe harbor” protection for organizations that manage electronically stored information (ESI) in good faith. The rules also establish legal requirements for litigation holds.

To be litigation-ready without burdening legal counsel or IT requires a two-stage Discovery process. Initial search by internal staff identifies relevant content and custodians. Later, multiple internal and external teams coordinate their efforts using analytic, review, and case management tools.

Litigation is seldom a solo effort, so coordination is essential. E-Discovery standards help align processes among IT, multiple legal counsel, and service providers. The Electronic Discovery Reference Model (EDRM) Project combines the efforts of Legal and IT experts into a framework for E-Discovery. An established member of the EDRM Project, Symantec takes care to assure that its products reflect the latest thinking for efficient, legally effective E-Discovery.

## Symantec archiving and search technologies

Research commissioned by Symantec from the Enterprise Strategy Group found in September of 2007 that more than 60 percent of organizations surveyed had been involved in a legal proceeding or regulatory inquiry requiring search of or retrieval from their electronic records. A full 22 percent of organizations reported 20 or more separate inquiries over a 12 month period. The survey determined that:

- E-Discovery requests have risen overall, especially at large organizations
- Courts and regulators request many different record types
- Email leads requested data types at 80 percent, followed by office documents at 60 percent

Symantec has architected its archiving and search technologies to support and optimize IT resources in support of increasing E-Discovery requirements. The Symantec Enterprise Vault family of solutions has long been both the market leader and analysts' choice for IT archiving and retention.

Applied to Legal Discovery, Symantec Enterprise Vault with Discovery Accelerator enforces retention policies, supports internal investigations and litigation preparedness, and enable legal holds. The solutions reduce costs of data collection, document search, and recovery, improving litigation readiness through:

- Implementation, enforcement, and documentation of policies
- Early case assessment through a Web-based Discovery interface for inside counsel
- Centralized, automated collection with granular legal hold

## Symantec Global Services

Symantec provides a broad range of consulting, education and support services to help organizations deploy, integrate and operate information risk-management and archiving solutions—complementing Symantec Enterprise Vault technology benefits and maximizing the value of customer investments.

- **Symantec Consulting Services** provides Electronic Audit and Discovery Solutions that reduce the cost, risk and complexity associated with data retention, litigation readiness and E-Discovery:
  - **Historical Vault Services** automate and simplify the real-time location and retrieval of electronic information from online systems, backup tapes or legacy systems
  - **Retention Policy Definition Services** address requirements for regulatory compliance, information management and corporate data storage strategies
  - **Symantec Email Archiving Residency Services** augment existing staff with highly trained Symantec Enterprise Vault experts, enabling customers to focus internal resources on projects that drive strategic advantage
- **Symantec Education Services** provides hands-on technical training for administration and configuration of Symantec Enterprise Vault Discovery Accelerator as well as advanced instruction on data migration, management and reporting, and audits. Course instruction is available in classroom, on line, or on site formats.
- **Symantec Enterprise Support Services** offers a portfolio of options designed to keep Symantec Enterprise Vault Discovery Accelerator fully functional and up to date. Symantec Business Critical Services delivers the highest level of protection for enterprise customers. Our Symantec Enterprise Vault experts provide personalized, proactive support coordinated by a single point of contact who becomes familiar with your environment.

Legal Discovery can be slow, expensive, and risky—particularly for companies that are unprepared. Symantec offers proven archiving technology, collaboration-oriented E-Discovery tools, and advanced services to build effective, policy-driven, cost-effective and litigation-ready E-Discovery processes.

- Minimize costs
- Streamline E-Discovery
- Simplify file archiving
- Speed compliance

## **About Symantec**

Symantec is a global leader in infrastructure software, enabling businesses and consumers to have confidence in a connected world.

The company helps customers protect their infrastructure, information, and interactions by delivering software and services that address risks to security, availability, compliance, and performance. Headquartered in Cupertino, California, Symantec has operations in 40 countries.

More information is available at [www.symantec.com](http://www.symantec.com).

For specific country offices and contact numbers please visit our Web site. For information in the U.S., call toll-free 1 800 745 6054

### **Symantec Corporation**

#### **World Headquarters**

20330 Stevens Creek Boulevard  
Cupertino, CA 95014 USA

1 408 517 8000

1 800 721 3934

[www.symantec.com](http://www.symantec.com)

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