Functional Practice Statements - Archiving & Retention

Level 1: Initial

1.1 Historical data is available and used to support business decisions.

1.2 Based on policies and continuity of operations requirements, some sets of data backups may be stored in a separate location to mitigate risks associated with the primary data location. This is typically on a different server and may also be included in a continuity of operations environment.

It is also important for data change logs to be retained according to documented guidance. Data change logs should typically capture things such as the ID of the user or process that made the change, as well as the date and time of the change. Data retention guidance should be published and followed.

Example Work Products
• Backup registers for data stores and data archives
•Archiving procedures
• Change log files
• Data retention business rules
• Data archiving or destruction procedures

Level 2: Managed

2.1 Policies mandate management of data history, including retention, destruction, and audit trail requirements.

2.2 A defined method ensures that the historical data necessary to support business needs is accessible.
These decisions are commonly based on both technology policy and business requirements.

Refer to Data Requirements Definition for more information related to determining and managing data requirements.

2.3 Restoration testing is performed on selected archived data.

Not all archived and backed up data are expected to be restored, but it is important to establish a standard set of practices (supported by policy) that perform periodic restoration tests to ensure that the procedures for restoration are accurate and the technology is available to perform the restoration.

These tests should be performed across the various types of technology used by the organization.

2.4 Access, transmittal, and modifications to historical and archived data are controlled by policy and processes.

Example Work Products
• Data retention policies
• Restoration testing records
• Encrypted archives
• Data encryption requirements
• Archived data access tests

Level 3: Defined

3.1 The organization has a prescribed data warehouse repository that provides access to historical data for meeting analytics needs supporting business processes.

Execution of the practices in the architectural approach should define the method by which this practice should be satisfied.

3.2 Data context at any specific point in time can be recreated.

When developing guidance for backups and restoration capabilities, the organization should also ensure that recovery time objectives are clearly stated to provide guidance on how quickly access to restored data must be available.

3.3 Policy is defined and approved by data governance and implemented at the organizational level requiring logging of data changes, and retention of the logs.

Data logging, retention, and archive policies should be aligned with regulatory requirements.

3.4 An audit program ensures compliance with organizational data logging, archive, and retention policies.

The program should include validation of the types of data or logs that are retained for various specified periods, restoration testing of backups and archives, and retention and maintenance of technology to support access to archived data.

See the Governance Management and Data Management Function process areas for more information related to stakeholder role expectations and governance oversight of these activities.

3.5 A feedback mechanism exists with stakeholders and regulators to affirm existing retention and archiving policies.

Example Work Products
• Restoration procedure documentation
• Application with access to historical data
• Data logging policy including log retention
• Data archive requirements
• Archive backup and restoration requirements
• Restoration testing records for archived data
• Audit and test records

Level 4: Measured

4.1 Statistical and other quantitative techniques are used to analyze historical data for input to business process and data quality improvements.

4.2 Models are employed to predict compliance with legal and regulatory requirements.

4.3 Metrics results and stakeholder feedback are used to improve data retention and archiving policies.

Example Work Products

• Improvement process
• Process improvement reports and records
• Change management records
• Regulator or stakeholder feedback
• Statistical and other quantitative analysis reports

Level 5: Optimized

5.1 The organization shares policies and best practices regarding historical data and archiving within its industry.

Example Work Products
• Public presentations, white papers, articles, and other documents communicating processes and experience.