

**EXHIBIT E**  
Part 2 of 2

used for auditing the trail of who last modified the file, when, and to what extent did file size grow or shrink.

In addition to historical shadows, existing versions of a file may be distributed through out the domain. One version of a file with a same file-name might appear in the primary storage of a particular file server while a second version appears in backup storage and a third version appears in archive storage. Some copies of the same file may be distributed among different file servers.

In the example of TABLE-2, a first file named "dave.doc" is stored in the primary storage server of the accounting department (source=Acct111.0 . . .) with the current version being the one most recently revised and historical shadows being indicated by square brackets (e.g., "[1544]") about their file size entries. Another same-named file is stored in the backup storage server (source=AcctBak.0 . . .) and yet another same-named file is stored in the archive storage server (source=AcctArc.1 . . .) and still another version of the same-named file is stored in the primary storage of the marketing department (source=Mktg121.0 . . .). The size-zero file entry for tom.do2 in the Acct12.0 server is merely a place marker indicating the actual file has been moved to archive (to AcctArc.2).

The domain-wide catalogs-snapshot information (150.00, 150.01, 150.02, etc.) that is stored within the domain administering data/rule base 150.1 can be used to quickly generate the above TABLE 2 using a database query and thereby give an administrator or user information about a given file or set of files even if they are distributed amongst different file servers and in different kinds of storage (e.g., primary, secondary, backup and archive). The database structure of the domain-wide catalogs-snapshot information (150.00, 150.01, 150.02, etc.) provides a quickly-accessible, multi-dimensional view of what is happening across the domain both spatially and temporally as well as by file attributes.

The searchable database fields preferably include: ScanTime (which is the time period for which the collected data was current); FileName; PathName (the storage path-name including searchability by ServerName); FileSize; FileChronology (in terms of for example, Creation date and time, latest Modify or revision date and time, latest read-only Access date and time, and latest Archive date and time); FileUser information (in terms of who is the "Owner" or original creator of the file, who was the LastModifier of the file, who has read/write/execute permission for this file, and so forth); and Netware attributes such as the Novell-defined attributes: System, ReadOnly, ExecuteOnly, Subdirectory, Archive, Shareable, Compress, Salvageable, Purgeable, Migrated, Indexed, ReadAudit, WriteAudit, ImmediatePurge, RenameInhibit, DeleteInhibit, CopyInhibit, ImmediateCompress, CompressInhibit and Uncompressable.

FIG. 2 illustrates this concept graphically in terms of a three-dimensional cube. The orthogonal XYZ axes are labeled 201-203. Axis 201 represents time of snapshot. Axis 202 represents location within the domain either in physical, global terms or within a type of storage media such as primary (P), secondary (S), backup (B) and/or archive (A). Axis 203 represents variation in file name and/or other file attributes.

Line 231 runs along the 201/203 plane in the 201 direction and represents a listing of file attribute versus time. By way of simple example, line 231 may represent a listing of all versions over time of a particular file having a specified name (e.g., dave.doc). A database query can be written to search the domain-wide virtual catalog snapshots, 150.00, 150.01, 150.02, etc., and generate a listing of all files located along line 231 as will be understood by those skilled in the

art. Wildcard searches of the form, for example, "LIST dav?.do\*" can broaden the scope of the search and list operation to cover files whose names conform to a particular pattern.

Line 232 runs along the 202/203 plane in the 202 direction and represents a listing of file attribute versus location. By way of simple example, line 232 may represent a listing of all copies of files having a specified name (e.g., dave.doc) that have been stored ever or during a specified time period in any one or more of: primary (P), secondary (S), backup (B) and archive (A) storage. A database query can be written to search the domain-wide virtual catalog snapshots, 150.00, 150.01, 150.02, etc., and generate a listing of all files located along line 232, or only those in a selected subset of the P, S, B and A storage categories as will be understood by those skilled in the art.

Line 223 runs along the 202/203 plane in the 203 direction and represents a listing of location versus file attributes. By way of simple example, line 223 may represent a listing of all files stored at a particular time in a specified domain location (e.g., archive storage) that satisfy the name search criteria, "LIST day?.do\*", where the symbol "?" represents a single-character wild card and "\*" represents an N-character wild card.

The database information contained in the domain-wide virtual catalog snapshots, 150.00, 150.01, 150.02, etc., may be sorted according to any number of other schemes to provide the system administrator with all sorts of information including, but not limited to: (1) locating the latest version of a particular file regardless of where it is stored within the domain; (2) determining which files have been properly backed up in a recent time period and which have not, (3) reviewing the performance of the hierarchical storage management system (HSM) at each site and (4) viewing a historical snapshot of a file as various versions of it are migrated from primary to secondary storage and then perhaps to archive.

In the above listing of Table 2 for example, plural instances of the document named "dave.doc" appear. It can be determined from the listing that the latest version of "dave.doc" was stored in the primary storage server Acct111.0 of the Accounting Department on Oct. 4, 1993, while a backup copy was stored on the AcctBak.0 server the day before and yet another version was placed in an archive tape or disk volume named AcctArc.1 on Oct. 1, 1991. Yet another copy of the document "dave.doc" is found in the Marketing Department on a primary storage server named Mktg121.0, and it was last modified by a user named "tom" on Jul. 4, 1992.

Since the contents of the domain-wide virtual catalog snapshots, 150.00, 150.01, 150.02, etc., are held in a database 150.1 whose contents can be searched according to all type database queries (e.g., using a Standard Query Language or SQL) the types of information that can be gleaned is up to the system administrator's creativity. A system administrator might wish to simply track the progress of a particular file according version number (e.g., latest modification dates and times) or he or she may wish to study the migration patterns of certain classes of files from primary (P) to secondary (S) to archive (A) storage and from any of those to backup (B) storage. A search primarily on file name and secondarily on volume location and dates will reveal a historical view of where and when various versions of like-named files have been stored to secondary, backup and archive media.

Depending on the fields chosen as primary, secondary or tertiary search fields, if any, a system administrator can easily obtain views of various domain-wide activities, including but not limited to: (1) the amount of total primary storage available at each file server site—this is most quickly determined by looking at the total active bytes in the collective VolumeSize entries of the servers on-site, (2) the amount of used versus free storage space available in the primary storage of each file server, (3) the size, age and types of files that have been most recently moved to secondary storage at each file server by the local hierarchal storage management (HSM) programs **118**, **128**, . . . **148**, (4) the size, type and age of all files that have been most recently moved from primary storage to backup storage across the domain **190** by the respective local backup execution programs **117**, **127**, . . . , **147** of the system, (5) the size, type, and age of files that have been archived to various archive volumes across the domain, (6) the distribution of files having particular file names or file types across primary, secondary, backup and archive storage as seen across the domain **190**, including the date of last revision and storage into each type of storage media or the date of last read-only access, and so forth.

The domain administrating server (DAS) **150** makes it possible to perform these various domain-wide studies at high speed because all the necessary information is stored in a centralized location, having been earlier collected, integrated, placed in a searchable database and organized according to desired search fields. Excessive time may be required if the DAS **150** were not present and an administrative workstation **160** tried to scan the domain **190** on its own to collect the desired information from all the file servers **110–140** on the network, organize it into a searchable database, and so forth. Also a disadvantageous duplication of work will occur if two or more administrative workstations **160**, **161**, etc., are asked to simultaneously but independently scan the domain **190** for the same information and collect it by way of network backbone **105**. Such a process would also lead to excessive traffic congestion on the net-work-linking backbone **105**, particularly where multiple studies of domain-wide activities are desired.

Domain-wide studies can be used for recognizing a variety of current status problems and for performing various trend analysis functions. FIGS. 3A and 3B show one example. In FIG. 3A, a line plot **301** graphs storage capacity utilization versus time, up to a current snapshot time **302**. Line plot **301** shows that a first disk drive (DRIVE-A) belonging to a first server will soon run out of free space if line **301** is extended at its current slope into the future, as indicated by dashed portion **303**. A side-by-side comparison with a historical plot **311** of storage capacity utilization in FIG. 3B —for a second disk drive (DRIVE\_B) that belongs to a second server—shows that the second disk drive (DRIVE-B) is being underutilized even though it perhaps has less total storage space (a lower MAX level) than the first disk drive (DRIVE-A) and that the first disk drive (DRIVE-A) is perhaps being overutilized. (The slope of line **311**, which shows active storage space versus time for DRIVE-B, is substantially less than the slope of the DRIVE-A line **301**.) In view of these plots a human administrator, or an artificially-intelligent automated administrator (see element **150.25** of FIG. 6), might decide to rearrange the work loads of the respective first and second servers so that the loads are more fairly balanced. One way is to reassign some users of over-utilized DRIVE-A to the under-utilized DRIVE-B.

Status and trend-analysis reports can be generated as line plots, pie charts, bar graphs and so forth to give viewers a picture of what is happening on the studied domain **190** currently, what happened in the past, and what trends will probably evolve over time given past and current domain-wide activities.

FIGS. 4A and 4B show side-by-side examples of pie charts **401** and **411** showing used versus free storage space on respective drives DRIVE-A and DRIVE-B within the domain. (Note that pie **411** has a smaller diameter than pie **401** thereby indicating a smaller maximum capacity level (MAX).) A large number of side-by-side pie charts (or bar charts—with used part of capacity rectangle shaded and unused part unshaded) can be displayed on the screen of the system administrator's workstation (**160**) at one time to give the administrator an instantaneous appreciation storage capacity and utilization across a substantial part if not all of the domain. If historical trends are to be viewed on a pie or bar chart, different colors or fill patterns can be assigned to slices of a pie or bar chart to represent incremental changes over time.

Trend-analysis studies can be used to look for, by way of example: load shifts on a by-the user basis, on a by the volume basis, on a by-the server basis, on a by-the network site basis, on a used-versus-free space ratioed basis, and so forth. Each analysis can warn of an upcoming problem and suggest a solution. More drives may have to be purchased for a very active site that needs fast response time. The files of a user who has gone of on vacation or left the company might be moved to archive storage so as to free up space for other users. And so forth. The centralized availability and quick accessibility of the domain-wide virtual catalog snapshots, **150.00**, **150.01**, **150.02**, etc., makes such trend studies easier to implement.

The current snapshot of the domain-wide virtual catalog **150.00** can be used by itself to assist in cross-domain file transfers. These are transfers that require a movement of data from one server (e.g., **110**) to a second server (e.g., **120**). After a particular file is located in for example, the archive storage of a first server through the use of the domain-wide virtual catalog (current snapshot) **150.00**, it may be desirable to request a transfer of a copy of the archived file to the primary storage of a particular, second server. The user screen will show a listing such as above TABLE 2. The information in the listing is extracted from the domain-wide virtual catalog (current snapshot) **150.00**. A drag-and-drop operation may be provided within a user interface (**165** or **175**) of a workstation wherein the user highlights, with a first mouse click, the name of the desired source file and the user then drags-and-drops a copy of the highlighted block into a directory entry of a second server, which directory entry is also shown on the screen. Depending on context, the domain administrating server (DAS) **150** can responsively issue appropriate permissions to allow the corresponding transfer to take place immediately across the network-linking backbone **105** or at a scheduled later time. Because the source file in this particular example is an archived file, a retrieve and mount task will be appended to a schedule list made for a system operator, and the transfer will take place at the time the archived media is mounted.

The domain-wide activities of moving files across the domain **190**, and/or generating domain-wide storage traffic and trend views, are just a few of the many domain-wide activities for which use of the domain administrating server (DAS) **150** can be advantageous.

Before delving into other such activities, it is worthy to note that an administrative or user workstation **160, 161, . . . , 170** can be located anywhere along the enterprise **100** and such a workstation **160, 170** can nonetheless communicate with the DAS **150** to access the information contained in the DAS **150** for purposes of analysis or other use. It will be shown below that any administrative workstation **160, 161, etc.**, can interact with or activate one or more of a set of below-described domain control operations from any place along the network by accessing the DAS **150**. There are several advantages to such a scheme.

The domain administrating server (DAS) **150** serves as a central repository for collecting domain-wide information and as a central command post from which domain-wide control commands can be broadcast. One advantage of this scheme is that the DAS **150** can provide a consistent interface to the remainder of the domain **190** or to the remainder of the networked enterprise **100**.

Domain-wide information is preferably collected by the domain server (DAS) **150** during low-traffic periods so as to minimize the effect of such collection on other network activities. Once collected, the information is available for quick access by an administrative workstation **160, 161** located anywhere along the network. Each administrative workstation **160, 161** is loaded with a same administrative graphical user interface package **165** so that a consistent administrative interface is presented to the data/controls of the domain server (DAS) **150** regardless of where on the network the user is located. A network administrator does not have to be concerned with the particular user interface provided at each file server site (e.g. Microsoft Windows™ versus Microsoft DOS™) because the information from these various sources are passed by the domain/local exchange agents **119, 129, . . . , 149** to the domain server **150** and then passed back to the system administrator in a consistent manner through the administrative graphical user interface **165**.

A permissions-limited version **175** of the administrative graphical user interface **165** may be provided for users of different experience or privilege levels so that such users can also have a homogeneous, though perhaps restricted, interface to domain-wide data irrespective of where in the domain that data is actually stored.

In one embodiment, the administrative graphical user interface **165** conforms to standard Microsoft Windows™ format and provides user features such as ones listed in below Table 3.

TABLE 3

Section 3.1: Basic Interface Operations	
The user interface shall include:	
>>	Drag and drop manipulations of graphical objects to provide an intuitive method for selecting objects, and grabbing and dragging them to desired action icons
>>	Button bar to ease and speed the selection of typical tasks
>>	Context sensitive Help
>>	A Menu Bar including drop-down menus named File, Edit, Tree, View, Tools, Options, Window, and Help with the drop-down menus changing in content based on the current focus
Section 3.2: File Drop-Down Menu Operations	
The File drop-down menu shall consist of the following selections:	
	New

TABLE 3-continued

	Open
	Save (button bar icon)
	Save As
	Delete
	Print Preview
	Page Setup
	Print (button bar icon)
	Exit
Section 3.3: The Edit Drop-Down Menu Operations	
The Edit drop-down menu shall have the following selections:	
	Hold
	Release
	Delete
	Move
	Cut
	Copy
	Paste
Section 3.4: The Tree Drop-Down Menu Operations	
The Tree drop-down menu shall have the following selections:	
	Tree
	Expand 1 level
	Expand Branch (button bar icon)
	Expand All (button bar icon)
	Collapse Branch
	Sort
	Name
	Type
	Size
	Date
	Split
Section 3.5: The View Drop-Down Menu Operations	
The View drop-down menu shall have the following selections:	
	Graphical Form (button bar icon(s))
	Pie
	Bar
	Line
	Summary
	Forecast
	Variance
	XYZ Axis Definitions (with selections being FileName, FileAge, and Users)
	Options
	Title
	Description
	Legend
	Headers
	Footers
	File Definition (button bar icon)
	DOS Wildcard
	Directory
	Programs
	Documents
	Hidden/System
	Date Range
	Archived
	Migrated
	Compressed
	Non-Compressable
	Other Netware attributes as appropriate
	User Groups (button bar icon)
	Wildcard
	Selected
	Virtual Storage View Filter (button bar icon)
	Backup
	Storage Server (HSM)
	Date Range
	Media Element
	Backed up only



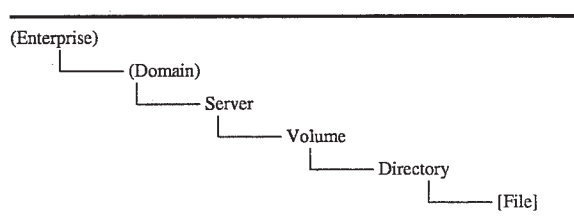
TABLE 3-continued

Archived only	
Migrated	
Storage Server (HSM)	
Date Range	
Storage Layer	
Media Element	
Section 3.6: The Tools Menu Operations	
The Tools drop-down menu shall have the following selections:	
Storage System Monitor (button bar icon)	
Scheduler (button bar icon)	
User Groups Editor (button bar icon)	
Snapshot	
Backup	
Migration	
RAID	
Section 3.7: The Options Menu Operations	
The Options drop-down menu shall have the following selections:	
Client Server Polling Settings	
Log File Retention	
Log File Paths	
Section 3.8: The Windows Menu Operations	
The Windows drop-down menu shall have the following selections:	
New	
Cascade	
Tile	
Refresh	
Section 3.9: The Help Menu Operations	
The Help drop-down menu shall have the following selections:	
Contents	
Search	
Tutorial	
Support	
About Help	
About System Administrator	

A tree-style view of how data and resources are distributed across the domain 190 will produce an introductory screen on the administrative or user workstations 160, 161, . . . 170 having the hierarchical form shown in below Table 4.

TABLE 4

Network ACCESS TREE



A mouse-based or other “expand” selection of the displayed “Enterprise” field will provide an on-screen listing of N domains (by DomainName), any one of which can be designated as a currently-selected domain. Additional information regarding the status of each domain (e.g., up and running, shutdown, length of up/down time, total storage capacity, etc.) may be displayed at the same time. The listing can be sorted by name, date, size and so forth.

Similarly, a mouse-based or other “expand” selection of the displayed “Domain” field will provide an on-screen listing of a plurality of N servers (by ServerName) within the current domain, any one of which servers can be designated as a currently-selected server. Additional information regarding the status of each server may be displayed at the same time (e.g., up and running, shutdown, length of up/down time, number of users, workload level, etc.) The names of up and running servers can be obtained from the domain-wide virtual catalog (current snapshot) 150.00 since down servers will not respond to a current snapshot scan. The database 150.1 of the DAS 150 preferably includes a section storing location information about each server in terms of: Country, Region, State, City, Campus, Building, Department and Office. This location information may be displayed together with the name of each server and its status. The listing can be sorted by name, date, size and so forth.

A mouse-based or other “expand” selection of the “Server” field of Table 4 will provide an on-screen listing of a plurality of M volumes (by VolumeName) that are currently mounted within the currently-selected server, any one of which volumes can be designated as a currently-selected volume. Additional information regarding the number of files and amount of total versus free space in each volume may be displayed at the same time. The former and latter information is obtained from the domain-wide virtual catalog (current snapshot) 150.00. The database 150.1 of the DAS 150 preferably includes a section storing scan information for each volume in terms of: ScanDate, ScanStartTime, ScanStopTime, ScanName and ScanRequesterId (the ID number of the administrative workstation that requested the scan or of the DAS module that requested the scan). This scan information may be displayed together with the name of each volume and its corresponding volume attributes. The listing can be sorted by name, date, size, type of storage (e.g., primary (P), secondary (S), backup (B) or archive (A)) and so forth.

A mouse-based or other selection of the “Volume” field of Table 4 will provide an on-screen listing of a plurality of K directories (by DirectoryName) defined within the currently-selected volume, any one of which directories can be designated as a currently-selected directory. Additional information regarding the number of files and amount of total versus free space in each directory may be displayed at the same time. The former and latter information is obtained from the domain-wide virtual catalog (current snapshot) 150.00. The listing can be sorted by name, date, size and so forth.

Similarly, a mouse-based or other selection of the “Directory” field of Table 4 will provide an on-screen listing of a plurality of J files (by FileName) within the currently selected directory, any one of which files can be designated as a currently-selected file for viewing, copying, renaming, moving, printing, or other manipulation (See Section 3.2 of above Table 3). The listing can be sorted by name, date, size and so forth.

No operation is provided for clicking on the “File” field of Table 4. It is there just to show the next level below that of Directory.

File manipulation operations such as opening, renaming, and so forth will, of course require access to the corresponding local catalog and/or the corresponding actual data within the respective file server rather than mere access to the domain-wide virtual catalog (current snapshot) 150.00. If a file is to be copied or moved from one file server to another, such a transfer will probably require data transfer across the

network-linking backbone **105**. This brings us to another area where the DAS **150** becomes quite useful, traffic control.

Traffic scheduling is a problem on networked systems. Users have come to expect instantaneous response to their file access and other requests. But the network-linking backbone **105** and/or other components of the system can at times become overwhelmed with a deluge of job requests if care is not taken to schedule data transfer tasks across the backbone **105** and/or through other components of the system (e.g., disk drives) so that the workload of each such component is distributed in a fairly balanced manner over time.

Traffic scheduling and control is one of the important domain-wide activities supported by the domain administering server (DAS) **150**. Because it is relatively common to have a primary storage means (**111**) located at a first site, a secondary storage means (**122**) located at a second site, a backup storage means (**133**) located at a third site and an archive storage means (**144**) located at yet a fourth site; the network-linking backbone **105** is routinely used for massive data transfers such as those that take place when a large set of aged files are migrated from primary to secondary storage or when a bulk portion of the files in the domain are being backed-up or archived. The data-transfer bandwidth of the network-linking backbone **105** and/or various file servers can become saturated during such bulk data transfers, thereby blocking individual users from obtaining immediate access to desired files.

It is accordingly preferable to schedule operations which tend to saturate the backbone **105** (e.g., backup and migration) to time periods which otherwise exhibit relatively low traffic volumes and to distribute these jobs over time so as to avoid traffic congestion on the network-linking backbone **105** or elsewhere.

FIG. 5 shows a Gant-style traffic chart **500** that illustrates an example of how bulk data transfers can be distributed across time to balance work loads and ease congestion on the network-linking backbone **105**. A first HSM migration transfer **501** is scheduled to take place between first and second time points,  $t_1$  and  $t_2$ , and to move a set of files from a first file server-A to a secondary storage server-H. The transfer completion time  $t_2$  is projected to occur a certain length of time after the transfer begin time  $t_1$ , based on the size of the files to be transferred. (The latter information is obtained from the domain-wide virtual catalog (current snapshot) **150.00**.) But because unexpected events can occur during the transfer (e.g., transient error and recovery operations), a certain amount of slack (delta) time is added before the next data transfer job **502** begins at time  $t_3$ .

A similar approach is followed for following job **503**. In the example, job **502** is a backup transfer from server-A to server-K and job **503** is a backup transfer from server-B to server-K, where servers A, B, H and K are understood to all reside in the same domain **190** but at different network sites. Note that the jobs **501-503** are arranged to be nonoverlapping in the time domain so as to avoid traffic congestion on the network-linking backbone **105**.

In order to provide a smoothly distributed job schedule such as that shown in FIG. 5, one has to know: first, what periods of time are most likely to exhibit low traffic congestion on the network-linking backbone **105**; second, what amount of time is expected to be consumed by each bulk data transfer job; and then one has to order the transfer jobs for best fit relative to the available low-congestion time slots.

Referring to FIG. 6, a map **600** is shown of logical flows between various data and control mechanisms distributed amongst the domain administering server (DAS) **150**, the GUI **165** of an administrative workstation, and the DAS/local field agents **119a-d** of a given server computer **110'**.

Map **600** is subdivided into three sections by a set of dash-doubledot partition lines **603**. Logic flow crossings through the dash-doubledot partition lines **603** are understood to represent signal flow through the network-linking backbone **105** (FIG. 1).

A backbone monitor **150.23** is provided within the domain-wide status monitor/control program **150.2** of the DAS **150** for monitoring message packets **610** traveling along the network-linking backbone **105** to determine what time periods or other conditions correlate with respectively low traffic flow on the backbone **105**. Data **611** representing time spaced snapshots of backbone traffic patterns **150.13** is loaded into the domain administering data/rule base **150.1** that is maintained by the DAS **150**.

Based on historical traffic information **612** or other information collected into the data/rule base **150.1**, a task scheduler **150.22** within the domain-wide status monitor/control program **150.2** of the domain server **150** sends instructions **614** through the partition **603** by way of the local backup field agent **119b** of the respective server computer **110'** to the corresponding local backup execution program **117** (see FIG. 1).

Backup instructions **614** indicate when the backup activities of that DAS-managed file server **110** should begin and which files should be backed up (e.g. all or only those that have been altered in the last day). An API-like interface connects the local backup field agent **119b** to the corresponding local backup execution program **117**. The API-like interface, as will be understood by those skilled in the art, translates between a domain-wide standard data format and a local format used by the local backup execution program **117** much as a general purpose API (application program interface) provides interfacing between an operating system kernel and a specialized application program.

A backup policy-enforcer **150.27** is interposed between the task scheduler **150.22** and the local backup field agent **119b** for assuring that backup operations specified by instructions **614** comply with certain domain-wide backup policies. These domain-wide backup policies are established either by a human administrator or by a rule-base driven artificial administrator **150.25** that is included in the domain-wide status monitor/control program **150.2** of the DAS **150**. The backup policy-enforcer **150.27** is part of a general, domain-wide policy enforcer **150.26** and the latter program module is part of the domain-wide status monitor/control program **150.2**.

In similar manner, further scheduling information **615** is transferred from the task scheduler **150.22** through a migration policy-enforcer **150.28** of the DAS **150** to the local hierarchical storage management program **118** by way of a local HSM field agent **119a**. The hierarchical storage management instructions **615** indicate when the migration activities of the instructed file server **110** should begin and which files should be migrated to secondary storage.

Although not shown, it is to be understood that similar scheduling of archive operations moves from the task scheduler **150.22** through an archive policy-enforcer **150.29** to a local archive control agent in the case where the server computer **110'** includes an archiving mechanism.

In order to properly schedule domain-wide file transfers such as those involved in backup and migration operations, the task scheduler **150.22** consults the domain-wide virtual catalog (current snapshot) **150.00**, as indicated by logic flow **616**, to determine the size of each file that is to be transferred. The file size information is used for calculating the



time to be consumed by a transfer, given rate information indicating the speed at which each transfer from a first storage means to a second storage means is expected to take place. (The domain administrating data/rule base **150.1** develops such rate information through experience.)

Given the transfer size (flow **616**) of each backup or migration job, and the historical traffic patterns (flow **612**) of the network-linking backbone **105**, the task scheduler **150.22** can determine the time needed for each transfer, what low-traffic slots are available, and how to order jobs to fit into the available slot. If a given transfer job is too big to fit into a single low-traffic slot, the transfer job can be subdivided into plural subtasks and fitted accordingly.

Like backup and migration transfers, the activity of collecting information from the local catalogs of all storage means **111-144** of the domain **190** can at time create traffic congestion on the network-linking backbone **105**. Accordingly, the task scheduler **150.22** schedules the operations of a snapshot collecting portion **150.21** of the domain-wide status monitor/control program **150.2** so that snapshot collections are timed to occur during low traffic periods.

To speed collection, a local scan agent program **119c** is installed in each server computer **110'** and asked to scan the local catalogs of that server computer at a designated scan time and to store the results for later pick up by the DAS snapshot collector **150.21**. Instruction flows **619** and **620** respectively move from the task scheduler **150.22** to the local scan agent program **119c** and the DAS snapshot collector **150.21** for coordinating the activities of the two.

Yet another primary domain-wide activity of the domain administrating server **150** is oversee and manage the local infrastructures of its domain. Each local infrastructure support program **116, 126, . . . , 146** (FIG. 1) periodically scans its corresponding local infrastructure **180, 180', . . . 180"** to check the status of the power supplies (UPS) and other parts of the local infrastructure, and then stores a local snapshot of infrastructure status. The infrastructure status information can include information indicating local power supply conditions (e.g. each of redundant power supplies is turned on or off), local temperature conditions and local component security conditions (e.g. the open or shut status of various cabinet doors). Some file servers include a local watchdog for keeping track of number of recoverable errors encountered during normal utilization of the local storage means **111-114**. Such an error history log may also be included in the local snapshot generated by the local infrastructure support program **116, 126, . . . , 146**.

A local infrastructure configuration agent program **119d** (FIG. 6) having an appropriate API-like interface is provided in each DAS-managed server (e.g., **110'**) to periodically collect the local infrastructure snapshot generated by the local infrastructure support program **116, 126, . . . , 146** and to convert the status snapshot output by the local infrastructure support program **116, 126, . . . , 146** into a standardized infrastructure status report that has a same consistent format across the domain **190**. In other words, although the local infrastructure support program **116** of first file server **110** might produce a status report having a first format and the infrastructure support program **126** of the second file server **120** might generate a status report having a different second format, the respective domain/local exchange subagents **119d** and **129d** (not shown) of these systems convert the respective infrastructure status reports into domain-wide standardized report formats.

The DAS snapshot collector **150.21** periodically scans the network and retrieves from the respective field exchange agents **119d-149d** a respective set of standardized infrastructure status reports. Instruction flows **621** and **620** respectively move from the task scheduler **150.22** to the local scan agent program **119d** and the DAS snapshot

collector **150.21** for coordinating the activities of the latter two modules.

These collected infrastructure status reports are integrated over a given scan period to define a current snapshot of domain-wide infrastructure status. Repeated scans develop a historical picture **150.11** of infrastructure changes on a domain-wide basis. The domain-wide infrastructure snapshots **150.11** are stored in the domain administrating data/rule base **150.1** in similar fashion to the virtual catalog snapshots **150.00-150.02** and accessed for viewing and analysis in similar fashion to that of the domain wide virtual catalogs **150.00-150.02**.

In many instances it is desirable to maintain within the infrastructure snapshots **150.11**, the brand names, manufacturer serial numbers and purchase prices of each piece of hardware equipment (e.g., each server computer, disk drive, tape drive, printer, etc.) at each local site for purposes of asset management. This asset management information is used, first, simply to determine what is "out there". When networks grow very quickly, it is often hard to keep track of what pieces of equipment are on-line (actively coupled to the network) and what pieces of equipment have been taken out of service for one reason or another. If certain pieces of equipment have been returned to the manufacturer for repair, or replaced and sold-off, it is useful to be able to track down such information.

A second reason for maintaining asset management information within the infrastructure snapshots **150.11** is for purposes of performance evaluation. Large networks typically include a collection of server computers from different vendors, disk drives from different vendors, tapes and tape drives from different vendors, printers from different vendors, and so forth. As time goes on, each such piece of equipment develops an error history and a repair/replacement history. It is useful for network administrators to discover which brands of equipment work best in their particular environment and which exhibit poor performance. Then when the network is expanded or problematic equipment is replaced, the system administrators have an idea of which brands of equipment should be avoided and which should be preferred on a price/performance basis.

Even if all equipment is purchased from a top quality vendor, a problematic unit might still be included in the lot due to variances in mass production. The problematic unit does not always make its presence known when first purchased; rather its performance degrades slowly over time so that even if its operations are within specifications at first, they eventually fall out of specification. A system administrator may wish to know ahead of time that such a condition is developing and may wish to be able to plan future purchases or repairs in view of this information. Hence, the combination of asset management information and error rate history information and repair/replace history information that is contained in the infrastructure snapshots **150.11** may be used for trend analysis purposes; to identify those pieces of equipment whose performance is degrading most rapidly and to plan for repair or replacement of such units even before significant problems develop.

Many of the transient-type errors that develop during data exchange between a server computer **110'-140'** and its respective mass storage devices **111-144** are handled by local error recovery hardware and software. As observed above, it is useful for the system administrator to collect such information on a domain-wide or enterprise-wide basis so that this information can be evaluated to detect unusual performance and/or trends in performance. However this long-term performance information does not have to be

collected immediately as it happens. The DAS 150 can wait for quiet times on the network-linking backbone 105 in which to scan the network and collect this information.

On occasion, problems develop which need to be brought to the immediate attention of a network administrator (artificial one 150.27 or a human one). Examples of such problems include non-recoverable failures of storage devices 111–114, a failure within a power supply 181, failure of a temperature control device 182, security breach such as the opening of an alarmed cabinet door 183, or a connection break as noted by a connection checking module 184. These type of events are referred to herein as immediate-attention events. @ When an immediate-attention event occurs, the corresponding domain/local exchange agent 119–149 issues an SNMP alert report out onto the network backbone 105. The backbone monitor 150.23 includes an SNMP monitor portion which monitors the backbone 105 and distinguishes normal reports from such immediate-notification/action reports. The immediate-attention SNMP reports are tagged as such by the SNMP monitor and forwarded to the artificial administrator 150.25 as indicated by signal flow line 622. The artificial administrator 150.25 uses rule base 150.1 to determine what level of response should accompany each SNMP immediate-attention report. A high-urgency report might require immediate shutdown of part or all of the network. The rules of rule base 150.1 may dictate that an urgent alert message be sent to one or more human administrators by way of the communications gateway 104, 106 (FIG. 1) to their respective wireless pagers (beepers) 107. In some cases, corrective reconfiguration with or without shutdown of various portions of the network may be put off to a later, less congested portion of the day. In such a case, the corrective action would be sent to the task scheduler 150.22. Cooperative signal exchanges between the artificial administrator 150.25 and the task scheduler 150.22 are denoted by signal flow line 625.

There are some domain-wide developments or trends which cannot be seen at the local level of a given file server 110–140, but can be seen or projected by analyzing the domain-wide collective of information that is present in the infrastructure snapshots 150.11 and in the domain-wide virtual catalog snapshots, 150.00, 150.01, 150.02, etc. The artificial administrator 150.25 inspects these domain-wide collectives of information, as indicated by signal flow lines 626 and 627, and takes or schedules responsive actions as deemed necessary. The same information base is available to a remotely located, human administrator as indicated by signal flow lines 636 and 637.

The domain-wide task scheduler 150.22 is responsible for number of tasks other than scheduling event-driven system recovery. As already mentioned, it performs the following additional scheduling tasks of: (1) scheduling backup operations at each network site, (2) scheduling hierarchical storage migration operations at each site; (3) scheduling domain-wide scans by the DAS 150 for virtual catalog information, for infrastructure information or for other domain-wide information; and (4) scheduling archive operations for files stored at each site. The task scheduler 150.22 is additionally responsible for: (5) scheduling diagnostic operations at each network site; (6) scheduling the transfer of a given file over the network-linking backbone 105 from one location on the domain to another; (7) scheduling system shutdowns to allow for routine or event-driven maintenance and repairs; and after a system shutdown, (8) scheduling system restart operations.

Task scheduling can be ordered as a on a one time event, or periodically as determined by the artificial administrator 150.25, or on a daily basis, or on a weekly basis, or monthly basis or yearly basis, as desired.

The policy-enforcer 150.26 which is included within the domain status/control module 150.2 is used for broadcasting domain-wide policy rules to all or selected ones of the domain/local exchange agents 119–149. The local exchange agents 119–149 then enforce the policies locally. Among the types of policies that may be downloaded into the domain/local exchange agents 119–149 is a backup policy dictating whether file backups should be made on an incremental basis every night (e.g. backup only the files that have changed) and on a full basis every weekend (e.g. backup every file over the weekend); or whether some other backup procedure should be followed (e.g. full backup every other day). A similar domain-wide policy may be dictated with regard to hierarchical storage migration. The HSM policy can dictate a length of time from last access at which migration should begin. Similarly, an archive policy may define various conditions under which files should be archived including length of time from last access and status of file owner (e.g. such as when the owner goes on a sabbatical or terminates employment). Additional policies may be broadcast to dictate the availability to different users of various tools on the network.

A virtual file manager 165.1 is included in the administrative graphical user interface (GUI) 165 for retrieving information from the domain-wide virtual catalog snapshots, 150.00, 150.01, 150.02, etc., and displaying desired views or reports to a human administrator. Signal flow line 636 represents the flow of such information across partition 603 to the virtual file manager 165.1. A return signal flow 646 from the virtual file manager 165.1 to the task scheduler 150.22 places desired file manipulation operations on the task execution list of the scheduler.

Database search and report operations are coordinated through a reports and views generating module 165.6. The expandable tree listing of above TABLE 4 is an example of a view provided by the reports and views generating module 165.6. Search results and reports have to pass through a permissions filter 165.7 before being output to a workstation screen 160a. The permissions filter 165.7 is controlled by a security module 165.5 of the administrative GUI 165. Persons who provide the appropriate passwords are given different levels of permission and are thereby allowed to or blocked from accessing various functions of the administrative GUI 165. Keyboard requests 160b or other inputs also pass through the permissions filter 165.7 prior to being granted. A help module 165.4 is provided for giving users context sensitive help information.

A remote infrastructure manager 165.3 is included in the administrative GUI 165 for generating infrastructure reconfiguration commands. Like file manipulation commands, these infrastructure reconfiguration commands are returned by signal flow line 647 to the task scheduler 150.22 for logging onto its task execution list.

The above disclosure is to be taken as illustrative of the invention, not as limiting its scope or spirit. Numerous modifications and variations will become apparent to those skilled in the art after studying the above disclosure.

By way of example, in the same manner that each domain administrating server (DAS) collects and integrates the catalog, infrastructure, and other information from the respective sites of its domain, an enterprise-administrating server (EAS) can be fashioned to collect and analyze the corresponding information from all the DAS's of a given enterprise.

Given the above disclosure of general concepts and specific embodiments, the scope of protection sought is to be defined by the claims appended hereto.



What is claimed is:

1. A network system comprising:

- (a) a network-linking backbone;
- (b) a plurality of file-servers operatively coupled to the backbone for providing file-serving services over the backbone, each file server having a nonvolatile data storage device storing a plurality of data files, the respective data storage device of each file server further having a local catalog stored within said respective data storage device for identifying each file of the respective data storage device by name and storage location; and
- (c) a domain administrating server (DAS) operatively coupled to the backbone,

wherein the DAS has a domain-wide virtual catalog containing copies of the file identifying information currently stored in the local catalogs of said plurality of file-servers,

wherein the DAS has oversight means for overseeing and managing domain-wide activities including a transfer of file data from a first of the file servers to a second of the file servers, and

wherein the oversight means consults the domain-wide virtual catalog to identify the location of a source file in said first file server from which said to-be-transferred file data is to be obtained.

2. The network system of claim 1 wherein the oversight means consults the domain-wide virtual catalog to identify the name and location within the second file server of a destination directory into which said to-be-transferred file data is to be sent.

3. The network system of claim 1 wherein the DAS includes:

- (c.1) historical database means for storing, in addition to the copies of the file identifying information currently stored in the local catalogs which copies define the current domain-wide virtual catalog, copies of previous domain-wide virtual catalogs, said current and previous domain-wide virtual catalogs defining a searchable, historical record of domain-wide virtual catalog snapshots,

wherein the historical database means includes searching means for searching the historical record of domain-wide virtual catalog snapshots for files according to one or more primary and secondary search fields selected from the group consisting of:

- (c.1a) chronological file attributes,
- (c.1b) file storage location,
- (c.1c) file name, and
- (c.1d) file access attributes.

4. The network system of claim 1 further comprising:

- (d) a plurality of workstations operatively coupled to the network-linking backbone, wherein each workstation has a same user interface by which a user can access the domain-wide virtual catalog held in the domain administrating server (DAS).

5. The network system of claim 4 wherein:

the user interface of each workstation includes a tree listing means for displaying at the respective workstation a multi-leveled system tree having at least a Domain item and a Server item as expandable items on respective first and second levels of the multi-leveled system tree;

expansion of the Domain item produces a displayed listing of a plurality of N servers within a pre-designated current domain, each of the N servers being

identified by a predefined ServerName displayed in the listing, any one of which servers can be designated as a currently-selected server; and

expansion of the Server item produces a displayed listing of a plurality of M volumes within a pre-designated current server, each of the M volumes being identified by a predefined VolumeName displayed in the listing, any one of which volumes can be designated as a currently-selected volume.

6. The network system of claim 5 wherein:

expansion of the Domain item further produces in the displayed listing of said plurality of N servers additional information regarding the location and status of each server;

said domain administrating server (DAS) includes a searchable DAS database containing said domain-wide virtual catalog and further containing said information regarding the location of each server; and

the information in said displayed listing is obtained from said DAS database.

7. The network system of claim 6 wherein:

the tree listing means generates said multi-leveled system tree to further have a Volume item and a Directory item as expandable items on respective third and fourth levels of the multi-leveled system tree;

expansion of the Volume item produces a displayed listing of a plurality of K directories within a pre-designated currently-selected volume, each of the K directories being identified by a predefined DirectoryName displayed in the listing, any one of which directories can be designated as a currently-selected directory; and

expansion of the Directory item produces a displayed listing of a plurality of J files within a pre-designated currently-selected directory, each of the J files being identified by a predefined FileName displayed in the listing, any one of which files can be designated as a currently-selected file.

8. The network system of claim 7 wherein:

the user interface of each workstation includes a file manipulating means for moving or otherwise manipulating a file designated as a currently-selected file by said tree listing means;

the domain administrating server (DAS) includes a task scheduler for scheduling domain-wide data transfers; and

the file manipulating means of each workstation submits file transfer requests to the task scheduler in order to carry out a user-defined file transfer.

9. A network system comprising:

- (a) a network-linking backbone;
- (b) a plurality of file-servers operatively coupled to the backbone for providing file-serving services over the backbone,

wherein each file server has a nonvolatile data storage device for storing and retrieving a plurality of data files, wherein each file server further has an operations supporting infrastructure for supporting file storage and retrieval operations of the file server,

wherein each file server additionally has a local infrastructure monitoring and reporting agent for monitoring the operations supporting infrastructure of the file server and for issuing an alert report onto the network-linking backbone in the event that a problem develops in the corresponding operations supporting infrastructure; and

(c) a domain administrating server (DAS) operatively coupled to the backbone,

wherein the DAS has a backbone monitoring means for monitoring communications along the network-linking backbone, detecting alert reports issued by any of the infrastructure monitoring and reporting agents, collecting the alert reports and storing the alert reports for immediate or later analysis.

**10.** The network system of claim **9** wherein:

the backbone monitoring means includes means for detecting alert reports that are predefined as needing immediate response and for flagging such reports as immediate-response reports; and

the DAS has immediate alert forwarding means for forwarding immediate-response reports to either a communications device of human administrator or to a rule-base driven artificial administrator.

**11.** A network system according to claim **9** wherein said operations supporting infrastructure of each file-server includes

power supply means for supplying operational power to the local data storage device of the respective file-server.

**12.** A network system according to claim **9** wherein said operations supporting infrastructure of each file-server includes

local temperature control means for controlling the temperature of the respective file-server.

**13.** A network system according to claim **9** wherein said operations supporting infrastructure of each file-server includes

local component security means for assuring physical security of one or more local components within the respective file-server.

**14.** A network system according to claim **9** wherein said operations supporting infrastructure of each file-server includes

local data path integrity checking means for assuring proper interconnections between two or more local components within the respective file-server.

**15.** A centralized file management system for managing files stored in plural data storage devices of a network domain, wherein the plural data storage devices of the domain are interconnected by a domain-linking backbone and the files of said data storage devices are accessed by way of the domain-linking backbone, wherein each storage device stores a local catalog that identifies a name, location and/or other attributes of each local file and/or directory contained within the respective storage device, said system comprising:

(a) scan means, coupled to domain-linking backbone, for periodically scanning the network domain and interrogating the local catalog of each data storage device in the network domain.

**16.** The file management system of claim **15** further comprising:

task scheduler means, operatively coupled to the network-linking backbone, for detecting traffic patterns on the backbone and scheduling the timing of data transfer operations that use the network-linking backbone so as to minimize traffic congestion;

wherein the scan means is responsive to the task scheduler means and performs said scanning of the network

domain during time periods which would otherwise have substantially minimal traffic congestion.

**17.** The file management system of claim **15** wherein the scan means takes periodic snapshots of the network domain and the catalog integrating means responsively integrates the periodically collected file identifying information so as to form a historical plurality of domain-wide virtual catalog snapshots.

**18.** A centralized file management method for managing files stored in plural data storage devices of a network domain, wherein the plural data storage devices of the domain are interconnected by a domain-linking backbone and each storage device stores a local catalog that identifies a name, location and/or other attributes of each local file and/or directory contained therein, said method comprising the steps of:

(a) interrogating the local catalog of each data storage device in the network domain for file identifying information stored within said local catalog; and

(b) integrating the file identifying information collected by said interrogating step from each local catalog into a domain-wide virtual catalog so that each file of the network domain can be identified by name, location or another attribute by consulting the domain-wide virtual catalog.

**19.** A file access method comprising the steps of:

(a) interrogating a local catalog of each data storage device in a network composed of plural data storage devices linked to one another by a network-linking backbone;

(b) retrieving from each interrogated local catalog, file identifying information identifying a name, a storage location and/or other attributes of each file stored in the interrogated device; and

(c) integrating the retrieved file identifying information collected from each local catalog into a domain-wide virtual catalog so that each file stored on the network can be identified by name, location and/or another attribute by consulting the domain-wide virtual catalog.

**20.** A network system comprising:

(a) a network-linking backbone;

(b) a plurality of file-servers operatively coupled to the backbone for providing file-serving services over the backbone, each file server having a data storage device for storing a plurality of data files, the respective data storage device of each file server further having a local catalog for identifying each file currently-stored in the respective data storage device by name and storage location; and

(c) a domain administrating server (DAS) operatively coupled to the backbone, wherein the DAS has a first virtual catalog containing copies of the file identifying information currently stored in the local catalogs of said plurality of file-servers.

**21.** A network system according to claim **20** wherein the DAS further includes

a second virtual catalog containing copies of file identifying information previously stored in the local catalogs of said plurality of file-servers at a first time substantially earlier than that of the currently-stored files.

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**22.** A network system according to claim **21** wherein the DAS further includes  
a third virtual catalog containing copies of file identifying information previously stored in the local catalogs of said plurality of file-servers at a second time substantially earlier than that of the currently-stored files.

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**23.** A network system according to claim **22** wherein the first through third virtual catalogs define a relational database and wherein the DAS further includes  
historical database means for searching through the first through third virtual catalogs in accordance with a supplied relational query.

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