

## CSB Policy And Procedures

### MIS Backup Policy

#### Policy Statement

To articulate the Department policy on data backup and storage procedures

#### HIPAA Security Regulations Addressed In This Policy

164.308(a)(7) Data Backup Plan  
164.310(d)(1) Data Backup and Storage

#### Implementation And Responsibility

It is the responsibility of the Director, Management Information Systems (MIS) or his/her designated representative to assure that this policy is implemented and that all required backups are performed.

#### GUIDELINES

##### SOFTWARE:

[CSB] approved standard for backup software is [Software Name]. This software is installed and configured on one dedicated departmental server by the LAN Manager or designee. The LAN Manager will test the backup system by restoring the Anasazi "training" system from the most current Anasazi "live" system tape back-up on a quarterly basis.

##### SCHEDULE:

The [CSB] file server, [Server Name], is backed up to magnetic tape daily, Monday through Friday, between 3:03 AM and 6:30 AM, unless the building is closed that day during normal working hours. Backups are done without interrupting user access to network resources. Each tape is clearly marked with the date the backup was made by the MIS Customer Service Engineer. The latest backup tape is removed from the primary server location and stored, in a fireproof lockbox, in [Primary Location], by the MIS Customer Service Engineer. The Friday backup tape is sent by the MIS Customer Service Engineer via interoffice mail on Friday, sealed and marked "CONFIDENTIAL," to the [Remote Location]. The tape is transported in a locked pouch provided by the LAN Manager. It is then stored in a similar fireproof lockbox located at the [Remote Location].

**Note:** The previous backup tapes shall be returned to [Primary Location] via interoffice mail sealed and marked "CONFIDENTIAL," in the same pouch that the backup tape arrived in, from the [Remote Location] after receipt of the most recent backup tape.

The LAN Manager is responsible for insuring 100% compliance with this procedure. The LAN Manager, or his designee, is responsible for tracking the tapes and resolving any divergence from this procedure or any security anomalies.

1. The Customer Service Engineer, or designee, is responsible for changing the tapes and reporting to the LAN Manager any problems with the backups. The LAN Manager or designee will ensure an alternate individual is available in the Customer Service Engineer's absence.
2. [CSB] has on hand at least 11 backup tapes (10 for use and one on-hand spare) and two cleaning tapes. The LAN Manager is responsible if replacement tapes are needed. For the primary server, the tape rotation method uses 10 tapes. This provides a current 2week backup history in case of catastrophic damage to the server. Files deleted more than 14 days back cannot be restored. The off-site storage of the Friday backup insures that no records older that one-week will be lost due to a catastrophe at the main location.
3. All tapes are stored in lockable fire resistant storage vaults. It is the responsibility of the designated staff member at each location, to ensure that the vaults are locked and that the key(s) are kept in a secure location. The LAN Manager keeps a list of all staff members authorized to have access to the vaults. Currently there are 2 secure locations local and remote.
4. The LAN Manager is responsible for "key control." The LAN Manager keeps one complete set of keys, for both the fire resistant storage vaults, and for the transport pouches, in locked and secure storage at the [CSB]. Only the LAN Manager, Customer Support Engineer, MIS Director, and the Supervisor, Administrative Assistant have keys to this storage area. The keys to the transport pouches are kept in the locked fire resistant storage vaults. In the event of a lost key, the LAN Manager arranges to have a replacement made from the master set. No duplicate will be made without the approval of the LAN Manager.
5. End-Of-Life and damaged tapes returned to MIS, sealed and marked "CONFIDENTIAL," transported in a locked pouch and the data erased by the LAN Manager or designee.
6. The MIS Customer Service Engineer reviews the status of all the backups on a daily basis. If any backup failed, the LAN Manager or designee identifies the source of the problem, develop and initiate remedial action. In order to avoid down time and inconvenience to [CSB] users, only those procedures needed to insure proper system operation will be performed. Until the problem is resolved, the LAN Manager or designee shall do an after-hours copy of the critical data to a different server or to a suitable workstation. The LAN Manager assigns backup faults a priority second only to a server failure and endeavors to reconcile any problems as expeditiously as possible. It is the LAN Managers responsibility to obtain reliable backups while minimizing system down time and user inconvenience.

**IX. INSTRUCTIONS: For [Primary Server] – [Main location]**

1. Every Monday through Friday a Backup is done daily to tape. The tapes are clearly labeled as to the day of the week by the MIS Customer Service Engineer. Any problems, i.e. skipped files, files that couldn't be backed up, the size of the backup, or unsuccessful backups, are discussed with the LAN Manager. The LAN Manager notifies the Anasazi Administrator and the MIS Director of an unsuccessful backup.
2. If a holiday or other closing had been observed the previous day, the backup for that day is skipped, it's tape unused but in proper sequence, to maintain the integrity of the taping rotation.
3. The LAN Manager configures the Backup software so that backups start at 3:03 A.M. The frequency for each backup is set to daily.
4. If there were no problems the tape is placed in the lock box or mailed off site, the next tape is put into the drive, the log sheet is filled out and the lock box is locked.
5. If a problem has been encountered, the MIS Customer Service Engineer will notify the LAN Manager. The problem will be resolved before another backup is attempted.
6. The MIS Customer Service Engineer is responsible for changing the backup tapes each day and ensuring the proper days tape has been inserted and readied. The tape system software will prompt when it is time to clean the tape drive based upon the number of hours it has run.
7. For [CSB], on the first day of the week (normally Monday) the Friday backup tape is sent to the remote location to the attention of the designated recipient for secure storage. The previous weeks Friday tape is returned after receipt.
8. The proper tape is to be removed from the Tape Storage box and the box is to be locked, and remain so at all times, except when changing tapes. Tapes & Logs are to be kept in a fire resistant storage vault.
9. The LAN Manager, or a designated alternate, does random tests to ensure the integrity of the data backups.