

# ICT BACKUP AND RECOVERY POLICY



APPROVED BY:

MR M NAKO  
MUNICIPAL MANAGER

DATE: 23/06/2021

APPROVED BY:

CLLR JANDA  
EXECUTIVE MAYOR

DATE: 23/06/2021

## TABLE OF CONTENTS

1. Purpose of Policy.....	2
2. Objective of Policy.....	2
3. Scope.....	2
4. Policy Definition.....	2-3
5. Legislative Framework.....	3
6. General policy provisions.....	3
7. Procedure for Implementing policy.....	3-4
8. Roles and responsibilities.....	4-5
9. Data back-up selection.....	6
10. Back-up schedule .....	6-7
11. Back-up systems requirements.....	7-8
12. Recovery of backup data.....	8
13. Approval of the policy.....	8
14. Reviewal of the policy.....	8
15. Policy governance .....	9

## **1. PURPOSE OF POLICY**

To ensure that the Municipality obeys to a standard backup and recovery control process in such a way that it ensures legislative compliance, best practice controls, service efficiency.

To define controls to enforce regular backups and support activities, so that any risks associated to the management of data backups and recovery are mitigated.

To ensure all relevant systems are backed up.

Provide guideline to system administration on backup types and frequency.

## **2. OBJECTIVE OF POLICY**

The primary objective of the policy is to protect the Municipality's data. This policy seeks to outline the data backup and recovery controls for Municipal employees so as to ensure that the data is correctly and efficiently backed up and recovered in line with best practice.

## **3. SCOPE**

Data Backup and Recovery Policy has been created to guide and assist the Municipality to align with internationally recognised best practices, regarding data backup, recovery controls and procedures. This policy recognizes that municipalities are diverse in nature, and therefore adopts the approach of establishing and clarifying principles and practices to support and sustain the effective control of data backup and recovery. This policy covers the data backup schedules, backup protocols, backup retention, and data recovery. The ICT team will be responsible to manage the infrastructure, backup, and recovery of application data.

The policy applies to everyone in the Municipal domain, including its service providers and consultants. This policy is regarded as critical to the effective protection of data, of ICT systems of the Municipality.

## **4. POLICY DEFINITION**

ICT- Information Communication Technology

DR- Disaster Recovery

DLP- Data Loss prevention

SQL- Structure query language

## **5. LEGISLATIVE FRAMEWORK**

- 5.1 Constitution Act 108 of 1996
- 5.2 Municipal Finance Management Act 56 of 2003
- 5.3 Municipal Structures Act, Act No. 117 of 1998.
- 5.4 Municipal Systems Act 32 of 2000, Chapter 4
- 5.5 Promotion of Access to Information Act 2 of 2000
- 5.6 Minimum Information Security Standards, as approved by Cabinet in 1996.
- 5.7 National Archives and Record Service of South Africa Act, Act No. 43 of 1996.
- 5.8 Protection of Personal Information Act, Act No. 4 of 2013.

## **6. GENERAL POLICY PROVISIONS**

Information security is very important to Mbhashe Local Municipality, driven in part by changes in the governing environment and advances in technology. Data backup ensures that the Municipality's ICT systems, data and infrastructure are protected from risks such as unauthorised access, manipulation, destruction and loss of data.

The data backup policy is responsible for ensuring that all municipality data is backed-up and stored on approved systems within the Mbhashe Local Municipality environment is recoverable in the event of accidental loss or damage on municipal data.

## **7. PROCEDURES FOR IMPLEMENTING POLICY**

### **7.1 DATA BACKUP STANDARDS**

- 7.1.1 Critical data must be defined by the Municipality in consultation with ICT, and application owner and must be backed up.
- 7.1.2 Backup data must be stored at a backup location that is physically different from its original creation and usage location (i.e. The Disaster Recovery Site).
- 7.1.3 Servers Data backup must be stored on servers' different drive from C-drive, and on External Hard Drive and be stored off-site.
- 7.1.4 Data restores must at least be tested monthly.
- 7.1.5 Procedures for backing up critical data and the testing of the procedures must be documented by the System Administrator. These procedures must include, as a minimum, for each type of data and system:

- (a) A definition of the specific data to be backed up;
- (b) The type(s) of backup to be used (e.g. full backup, incremental backup, etc.);
- (c) The frequency and time of data backup;
- (d) The number of generations of backed up data that are to be maintained (both on site and off site);
- (e) Responsibility for data backup;
- (f) The storage site(s) for the backups;
- (g) The storage media to be used;
- (h) Any requirements concerning the data backup archives;
- (i) Recovery procedure of backed up data.

## **8. Roles and Responsibilities**

### **8.1 The Municipal Manager**

The policy is reviewed on an annual basis and where applicable, changes approved by the Council.

### **8.2 Senior Manager Corporate Services and ICT Manager**

The Senior Manager and ICT Manager is responsible for maintaining and ensuring compliance to this policy.

### **8.3 System owner (Service Providers / Consultants)**

The designated owner of the system/ application must ensure that their system is able to run backups and provide reports as evidence.

### **8.4 Internal Audit**

The Internal Auditors may assist with audits of outsourcing contracts including security compliance audits, general controls, and advise management on the risks and controls relating to system infrastructure of the Municipality.

### **8.5 Employees**

Responsible for making sure that their workstations are connected on the municipality ICT network infrastructure every day for more than an hour to make sure automated back-up's of data runs successfully.

#### **8.6 ICT Division**

- a) The ICT division is responsible for the backing up user data stored on the network servers, operating system images, systems application and critical content.
- b) The ICT Unit will have the primary responsibility of performing these functions on a daily basis.
- c) Monitoring of implementation and liaison with 3rd party providers will also be its responsibility, under the supervision of the Manager.
- d) Review of daily backups and sign-off of successful backups.
- e) Failed automated backups to be troubleshoot and manual backup to be ran and recorded.
- f) Complete backup register of server / systems.
- g) Run backups, Tests and restores of backups monthly

## **9. DATA BACKUP SELECTION**

9.1 All data and software essential to the continued operation of the Municipality, as well as all data that must be maintained for legislative purposes, must be backed up.

9.2 All supporting material required to process the information must be backed up as well.

This includes programs; control files, install files, and operating system software.

## **10. BACKUP SCHEDULE**

10.1 Choosing the correct Backup Schedule:

(a) Backup schedules must not interfere with day to day operations. This includes any end of day operations on the systems.

(b) A longer backup window might be required, depending on the type of backups.

10.2 Frequency and time of data backup:

(a) When the data in a system changes frequently, backups needs to be taken more frequently to ensure that data can be recovered in the event of a system failure.

(b) Immediate full data backups are recommended when data is changed to a large extent or the entire database needs to be made available at certain points in time. Regular, as well as event-dependent intervals, need to be defined.

(c) Backup store on server for municipal systems must run starting at 22:00pm

(d) Backup stored on cloud (Off-site backups) of the systems must run at 22:30.

(e) Backups should run daily in the evening and verified every day in the morning.

### 10.3 Previous versions:

- (a) The ICT Manager, should determine the quantity of previous versions of operating systems and applications that must be retained at the Backup and Disaster Recovery location.

## 11. BACKUP SYSTEM MINIMUM REQUIREMENTS

### 11.1 ON-SITE WORKSTATION BACKUP SYSTEM

Automatic Endpoint Data Protection and Backup with the following functionalities:

- Software Suit
- Software Updates
- New Version Upgrade
- Online Knowledge Base
- Online Training Centre
- Server & Storage Migration
- Upgrades (Server & User auto update config)
- DR Testing
- DLP Readiness Checks
- Monthly System Review and Health Check Services
- Dedicated Account Manager
- New User Deployments (Post implementation)
- Unlimited Remote Support
- Backup and Recovery – Automate the secure backup and recovery for endpoint devices and never loose data again.
- Corporate Governance Compliance – Protect corporate data as well as the access to confidential data through integrated Encryption, Data Theft Prevention and Remote Wipe. Also Audit Compliance, Business Continuity and Risk.
- Multiple Device
- Local Data Encryption – Encryption safeguards data from unauthorised access
- Remote Wipe and Data Theft Prevention – Data theft prevention automatically revokes data access after a pre-set period of time ensuring that if a device is stolen or lost the data will not be accessible even if the user logon is compromised and remote wipe capability instantaneously deletes data and then performs a secure wipe of the device, to further ensure no unauthorised access can be gained to data.
- Automated Revoking of Access – Data loss prevention feather that allows IT managers to revoke access to encryption keys if users do not access their profiles in a set period or on an ad-hoc basis.
- Enhanced Infrastructure Optimisation – Centrally Manage data protection policy, reduce storage cost and requirements and decrease bandwidth requirements
- Device Trace- Geo-locate – When a device is lost or stolen, IT is able to locate it quickly or easily and track the location of any protected device for quick recovery or remote wipe and increasing the chances of recovering your device and the confidential data on it.
- Security & Compliance
- Business Ransomware Protection



- Device Refresh and Migration – Enable fast, cheaper replacement of computer and Operating System upgrade. Eliminating the requirement for the manual copy and setup of data as well as the risk of losing user data.
- Supported Platforms
- Reporting
- Auto discovery of Endpoint Devices
- Hardware and Software Inventory Capabilities
- Data Risk Assessment
- Multiple devices per user using a Single License
- Global source based Deduplication
- Snapshot Retention
- Unified Management Console
- A fully managed service, with daily email notifications (Backup reports)

## **11.2 ON-SITE SERVER BACKUP**

Automatic and manual Server Backup with the following functionalities:

- Must be able to run automated backup with the scheduled time
- Generate reports on daily backup ran
- Full daily backups
- Store backups on the server but different drive location from C: drive
- Backups to be copied to external storage devices namely: External Hard Drives
- SQL configuration for automated backups.
- Test and restores

## **11.3 OFF-SITE BACKUP SYSTEM (CLOUD BACKUPS)**

Cloud automated backup with following functionalities:

- Frequent automatically at a daily scheduled time data backup, with no human intervention
- Secure encryption and encoding only accessible to authorised persons
- Data backup set be transmitted to data centre and added to the catalogue of backups for the municipality.
- Storage of 60 generational backup sets, so that you're always able to restore usable data, even if your data has been corrupted, held hostage, or deleted
- Storage of multiple backup copies at a world-class, secure data centre in South Africa
- Backup history, including detailed log files
- Data selections
- Modify data selections
- Launch manual backups if necessary
- Complete restore functionality of the complete data set or selected individual files.
- A fully managed service, with assistance in installation, configuration, daily email notifications and restoration

## **12. RECOVERY OF BACKUP DATA**

12.1 Backup documentation must be maintained, reviewed and updated by the ICT Manager, ICT Administrator periodically to account for new technology, business changes, and migration of applications to alternative platforms. This includes, but is not limited to:

- (a) Identification of critical data and programs; and
- (b) Documentation and support items necessary to perform essential tasks during a recovery process.

12.2 Documentation of the restoration process must include:

- a) Procedures for the recovery
- b) Provision for key management should the data be encrypted.

12.3 Recovery procedures must be tested at least monthly and Disaster Recovery procedures must be tested at least quarterly.

12.4 Recovery tests must be documented and submitted to the ICT Manager.

## **13. APPROVAL OF THE POLICY**

The Municipal Council must approve this policy and any amendment thereof.


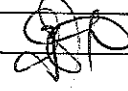
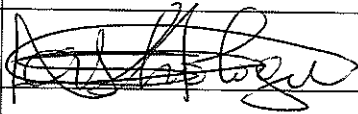
## **14. REVIEWAL OF THE POLICY**

This policy shall be reviewed annually.

## 15. POLICY GOVERNANCE

### ICT BACKUP AND RECOVERY POLICY

#### Policy Governance

<b>Policy Title</b>	ICT Backup and Recovery Policy	
<b>Policy Version</b>	2	
<b>Role &amp; Process</b>	<b>Responsible Individual Name and/or Date</b>	<b>Responsibility Accepted Signature</b>
<b>Senior Manager Corporate Services</b>	N. MAHLATI - Nkomo	
Policy Custodian		
Policy Author		
LLF Consultation Date		
LLF Consultation Reference		
Council Approval Date	26/05/2021	
Council Approval Reference		
<b>(UNIT) Manager Information Communication Technology</b>	S.A. MASHOOGU	
Policy Approved		
Policy Inception Date		
Review Start Date		
Review Completion Date		
Legislative References		
Policy Review "Triggers"		
<b>Comments</b>		