



IT: BACKUP, RETENTION AND DISPOSAL PROCEDURE

Procedure Type:	Institution	Initially Approved:	May 19, 2009
Procedure Sponsor:	VP Administration	Last Revised:	August 11, 2020
Administrative Responsibility:	Computing & Technical Services (CTS)	Review Scheduled:	August 2025
Approver:	President and CEO		

A. INTENT

This procedure directs and empowers the Computing + Technical Services (C+TS) department to devise and institute backup and recovery methods and processes to secure the information assets operated by the C+TS department and to protect them from foreseeable risks. This procedure achieves several objectives:

- Reduces the risk of data loss
- Ensures essential data is available in the case of a disaster
- Gives asset owners the ability to request a restore of an earlier copy of corrupted or deleted files
- Supports data deletion and disposal requests according to the asset owner’s retention schedule
- Securely disposes of equipment that could contain sensitive AUArts information

Data retention and disposal is a shared responsibility between C+TS and Information Asset Owners.

B. SCOPE

This procedure applies to all information assets operated by C+TS.

C. PROCEDURES

1. Data Backup

- 1.1 Information Assets are backed up, where applicable, or configured in accordance with the Information Asset Owner’s retention schedule.
- 1.2 Changes to the backup requirements of a system are subject to the Information Technology: Change Management Procedure.

2. Data Retention

- 2.1 AUArts records and related system files shall be securely stored and disposed of by request of the asset owner and in accordance with the Records Retention Schedule.
- 2.2 The Information Asset Owner may maintain data archives within their application, understanding regular backups may improve data retention.

3. Data Disposal

- 3.1 All data classified as “internal use – protected” shall be deleted when no longer required in accordance with the Records Management Retention Schedule.
- 3.2 Before all AUArts owned IT devices, network components application software and storage media are disposed of or recycled, data stored on the devices is deleted in a manner that renders it unrecoverable.
- 3.3 C+TS cannot retrieve records after their disposal date.

4. Backup Monitoring

- 4.1 Backup software shall be configured to alert on failed backup jobs.

5. Backup Recovery Documentation and Testing

- 5.1 Procedures to conduct backup and recovery will be documented.
- 5.2 A test recovery from backup media will be performed annually when an operational restoration has not requested within the year.

Roles and Responsibilities

6. Director, Computing and Technical Services:

- 6.1 Responsible for overseeing the backup and recovery functions at AUArts.
- 6.2 Delegated roles and responsibilities for backup and recovery functions shall include the following:
 - a. Reviewing backup job status
 - b. Ensuring backup/restoration failures are resolved
 - c. Performing data restoration activities upon request
 - d. Performing, verifying and certifying data destruction and asset disposals

7. Information Asset Owner

- 7.1 In consultation with C+TS, the Information Asset Owner establishes and creates a Records Retention Schedule detailing the retention period for their records, considering regulatory or legislative requirements where appropriate.
- 7.2 Information Asset Owners are responsible for their own data management in accordance with the Records Management Retention Schedule.

D. DEFINITIONS

Authorized Users:	Students, staff, faculty, employees and third-party users such as contractors, consultants, temporary users, suppliers and service providers.
Information	AUArts data in any form or media, including databases and computer files, which is collected, transmitted, stored or maintained on AUArts' information systems or elsewhere.
Information Systems	AUArts' Information Technology (IT) networks, systems and applications.
Information Assets:	Information and Information Systems.
Information Asset Owner:	The AUArts employee responsible for the management of an information asset.
Information Asset Inventory:	A list of all AUArts information assets compiled and maintained by C+TS, based on input from Asset Owners.

E. RELATED POLICIES

- Information Security Policy
- Information Technology: Change Management Procedure
- Records Management Procedure
- Information Classification Procedure

F. RELATED LEGISLATION

G. RELATED DOCUMENTS

- Records Management Retention Schedule

H. REVISION HISTORY

Date (mm/dd/yyyy)	Description of Change	Sections	Person who Entered Revision (Position Title)	Person who Authorized Revision (Position Title)
07/31/2020	Template Update and Content Revisions		Director, CTS	