

Sesa Goa Iron Ore Information Security Management System (ISMS)

Procedure Documented information – Backup and Restoration Procedure

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Documented information Management Information

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(All revisions made to this documented information must be listed in chronological order, with the most recent revision at the top)

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| | | | | |
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1. Introduction

1.1 Scope of the Documented information

This procedure document is applicable for Vedanta Limited –Sesa Goa Iron Ore Division including SRL and SMCL in Goa, Karnataka, Odisha and Liberia, Pig Iron Division, Met Coke Division , Power Division in Goa Sesa Coke- Gujarat & Vazare , FACOR – Odisha , Nickel Business and VGCB , Visakhapatnam; referred as Sesa Group in this document.

These procedures apply to backup team and system administrators responsible for planning and performing backup as well as restoration activities.

The following section provides detailed procedures and templates for implementation of Backup Policy of Sesa Group. It contains the following:

- Creation of Backup Schedule for all critical systems
- Ensuring Backups are regularly taken and define a review cycle
- Guidelines for backup of various systems
- Tape Labeling Schema
- Restoration Procedure

1.2 Intended Use

The primary use of this documented information is to provide guidance for implementation of the policy clauses as mentioned in 'Backup and Restoration Policy'. The documented information serves:

- As a guideline documented information for the Process Owners/Information Owners
- To define various templates in this area for use by implementation team

2. Data Backup Procedures

2.1 Creation of Backup Schedule

- Backup team should identify all critical data for backup and take concurrence from CISO / CDIO IOB / Head-IT.
- It should be ensured that all critical servers/data under the purview of Sesa Group are captured along with the type of backup that needs to be performed.
- The backup team at Sesa Group should be responsible for creating this Backup schedule.
- The Backup schedule should mention the date / time and details of backup data. Once validated, the team should follow the schedule and take backups accordingly.
- Logs of backup should be maintained as per the scheduled defined. In event of failed backup, reasons for failure should be documented along with corrective & preventive actions to avoid reoccurrence of such events.
- Rootvg (operating system) backup of critical system should be taken on half yearly basis.
- Any non-compliance should be reported to the CISO / CDIO IOB / Head-IT.

2.2 Backup Procedure

- During the regular backup routine, backup team should take the backup as per the backup schedule and as per the Backup Policy.
- The backup details should be recorded in the Backup Tracking Sheet. This sheet should be reviewed by the System Administrator on a daily basis.
- Proper logging of the backup should be recorded which will include the following:
 - Person taking the backup

- Type of backup
- Errors or problems if any encountered during backup
- The backup tapes should be rotated on a weekly and monthly basis. Year-end tapes with full backup must be retained. System Administrator should decide their frequency and get it validated from CISO/CDIO- IOB / Head-IT.
- Tape Labeling Format will be followed for tape management.
- Following are the guidelines for tape labeling:

| Particular | Format | Value |
|-------------|------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Location | (Location) | IT |
| Tape Number | -TN | Where TN= 1 – For Tape 1 2 – For Tape 2 (if any) being used in same day. |
| Frequency | -A/D/M/Q/O | Where A= Annual D for Daily M for monthly Q for quarterly O for one time activity as per user request |
| Period | -BBB | Where BBB= MON/TUE/WED/THU/FRI/SAT in case of daily JAN/FEB/APR/MAY etc. in case of Monthly QR1, QR2, QR3 QR4 in case of quarterly YYYY in case of yearly dd/mm/yyyy in case of one time backup |
| Type | -ON/OF | ON for ONLINE OF for OFFLINE |
| Content | -OS/DT/CFG | OS for OS (WOS for windows, LOS for linux) DT for Data CFG for server or switch configurations |

The Tape Label looks like: **IT-1-D-WED-ON-WOS**

(For department IT, on tape number 1, for daily backup (D), of Windows OS (WOS), in ONLINE mode (ON), taken every Wednesday (WED))

All backup media must be appropriately labeled with the relevant classification mentioned. A weekly backup tape would always be kept offsite for any disaster management.
The backup media shall be stored in fire proof vault in the officer.

2.3 Offsite Storage including transfer of media

- Offsite storage is required for continuity of business operations.

- A proper site (such as Bank) should be identified for storing of backup tapes. The site should be selected depending upon the feasibility of movement to and fro to the location.
- IT personnel should take proper care in ensuring that tapes are sent to the offsite location for storage.
- The IT department must log this action and maintain records of the tapes being sent and received to offsite location.
- For tracking of the tapes from Sesa Group, Group, to the offsite location, tracking sheet should be used. (Tape Tracking template)

2.4 Backup Restoration

- Backup restoration activities should be executed periodically in a test area, depending on the backup strategy to test restoration procedures and the storage on devices.
- Frequency for restoration is done on monthly basis . The details for each restoration test shall be recorded in Restoration Testing Form (Backup Restoration Template).
- In event of unsuccessful restorations testing, backup team should do the root-cause-analysis documented information. The results of same should be documented and approved.
- Backup team should identify corrective & preventive actions to avoid reoccurrence of similar




3. Responsibility Matrix

| Role | Responsibility | References |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|
| FMS Team | <ul style="list-style-type: none"> • Identify critical data required to be backed up • Prepare the backup schedule • Take backups as per the defined backup schedule • Ensuring all backup media are appropriately labeled • Recording details in the backup tracking sheet and periodic reviewing of the same • Seeking approval on defined backup frequency from designated authority • Restoring backups as per the backup strategy • | Annexure 1 Annexure 2 Annexure 3 |
| IT Officer | <ul style="list-style-type: none"> • Ensuring tapes are sent to offsite location • Filling up tape tracking sheets to track tapes sent offsite | Annexure 1 |
| CDIO / Head-IT | <ul style="list-style-type: none"> • Approve the backup schedule • Approve the restoration test frequency • Periodic review of backup restoration sheet and tape tracking sheet | Annexure 1 Annexure 2 Annexure 3 |

| | | |
|------|------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| CISO | <ul style="list-style-type: none"> • Review of restoration test results • Taking appropriate action to any non-compliance reported | |
|------|------------------------------------------------------------------------------------------------------------------------------------------------------------|--|

4. Annexure

- Recovery Testing Form
- Tape Tracking Record
- Backup Schedule Record
- Backup Tracking Record
- Restoration Tracking Record

| Sr. No. | Documented information Name | Documented information Version | Documented information Attachment |
|---------|-----------------------------|--------------------------------|---------------------------------------------------------------------------------------------------------------------|
| 1 | Tape Tracking Record | V 1.6 |  Sesa Group_Record_Tape |
| 2 | Recovery Testing Form | V 1.5 |  Sesa Group_Form_Recover |
| 3 | Backup Schedule | V 1.4 |  Sesa Group_Record_Backu |