



Facility & Capability Report

Table of Contents

- Table of Contents 2
- Company Overview 3
- Physical Security Standards..... 4
 - Facility (General & Vault Construction)..... 4
 - Security (Intrusion Detection System) 4
 - Procedural Controls..... 5
 - Requestor Controls..... 5
 - Transportation Controls 5
 - Privacy Controls..... 6
- More Reasons to Choose The Data Vault..... 7
 - TDV Employee Profiles 7
 - Data on Command..... 7
 - Coverage..... 8
- References* 8
- In Closing 8

Company Overview

The Data Vault is a service-driven information management provider that partners with clients to offer secure, accessible, and reliable solutions. Serving the Kentuckiana region since 1984, our primary focus has always been on providing our partners with superior service and customized solutions to meet their needs; including comprehensive storage, scanning, shredding, data protection or cloud based disaster recovery services.

Through managing paper-based records, we can provide efficient solutions to help clients store vital and archived files while reclaiming valuable facility space. Additionally, our climate controlled vault enables us to become an integral part of off-site computer backup and disaster recovery provisions for many organizations.

Our document scanning department allows for the efficient transition from physical paperwork to digital information, with scan-on-demand services available for expedited information delivery. Specialty microfilm conversion and optical character recognition technologies ensure robust offerings equal to tasks of any size; while our large-scale scanner can handle even the largest blueprints or architectural drawings.

Cloud based disaster recovery is one of the fastest growing segments in the field, and we are proud to offer an industry leading enterprise option with The Data Vault Cloud. You can have peace of mind knowing that the best in the business is backing up your mission critical data with the flexibility and scalability to meet the modern work environment.

Paper and media shredding services round out the records management lifecycle, augmenting our full solution from information creation to destruction. Scheduled pickup, one-time purges, and on site hard drive shredding options enable our services to play a role in protecting your data.

With **one call** we handle all of your records management needs, including:

- Records Storage
- Climate Controlled Vault
- Document Imaging
- Detailed Indexing
- Scan on Demand
- Cloud Backup & Recovery
- Document Shredding
- Media & Hard Drive Shredding
- Disaster Recover
- Business Continuity Planning

Physical Security Standards

Facility (General & Vault Construction)

The Data Vault was constructed on a 12" thick concrete foundation slab with a mixed concrete and steel internal infrastructure. The steel roof has sloped design to assist in water run-off, and additional studies have determined that our facility is not located in a flooding plain. Internally, the dual sprinkler systems feature an 8 ft² range during deployment with our valves and fire extinguishers regularly monitored by a professional fire protection company. The fire suppression system is also linked into our outside security company which monitors the facility 24/7. Our entire facility is backed up by a commercial grade generator that is tested weekly to ensure auxiliary power supply.

For the storage of vital computer and micrographic records, The Data Vault maintains an internal vault constructed as a free-standing building. Featuring concrete-filled, steel reinforced four-hour rated masonry units with a double steel and concrete roof system; the entire vault is insulated and covered with 5/8" gypsum board for climatic stability. The vault's entry is secured by a Schwab Fireguard Vault Door (Model 7840-4) and the interior of the vault is monitored through an alarm company for any water detection and temperature fluctuations. Equipped with a FM200 fire suppression system, we maintain the vault temperature between 65 - 75° Fahrenheit and keep the humidity level between 50 and 60 percent.

Security (Intrusion Detection System)

Since our inception in 1984, The Data Vault's business plan has revolved around recognizing the sensitive nature and confidentiality of every customer record. With the HIPAA, PCI, Sarbanes-Oxley, and Graham-Leach-Bliley acts serving to reinforce that philosophy, our building was designed from the ground up to be a highly secured area. Access is limited to the front door, which is secured by electronic locks and visually monitored from a reception station. Once visitors are screened and granted admittance to the building, our policy provides that only employees and visitors with photographed identification badges are allowed in the office area; no unaccompanied visitors (tagged or not) are allowed in any records storage area. Additionally, the separate vault zone is not accessible for non-employees at any time. Entry and internal zones are covered by digital cameras, which are archived and viewable from remote locations. An internal CCTV system is monitored from the reception desk, providing up to the minute security.

After-hours security is contracted through a UL-listed alarm company, as the building is protected by motion detectors and door entry contacts. Only authorized employees have unique access codes to disarm the system, and all Data Vault employees are bonded after rigorous background checks.

Procedural Controls

It is widely recommended that customer records be identified only with an account number and box identification number. Each item is barcoded and placed randomly throughout the records center, making individual customer records nearly impossible to identify without access to the unique database maintained by The Data Vault.

Since our system relies heavily on the computer network, we have put into place a regular and redundant backup system. Files are saved nightly to a local disk, as well as incrementally backed up through our cloud based disaster recovery service for information integrity. In addition to our digital system, paper logs are kept as a tertiary backup plan.

Requestor Controls

Keeping in line with our practice of client confidentiality, each account is assigned an access authorization list. Each of our clients designates and approves their own representative employees who are authorized to access company records, with special security restrictions created on an as needed basis. The policies of The Data Vault dictate that removal from the list can be made instantly by telephone or electronic transmission, but additions must be in writing and approved by an authorized representative. Each authorized account representative will be issued a security authorization card with a unique number that must be used to access records.

The Data Vault employees are trained to follow documented procedures when handling customer requests. These procedures include the challenging of any request made by an unauthorized user, the request to deliver to an unauthorized delivery location, or a delivery to a third party.

Transportation Controls

Delivery vehicles are equipped with alarms and GPS units for internet based tracking. Our uniformed staff members additionally maintain a manual log to report their own stops and delivery times, with these two methods reconciled daily to ensure efficiency in transport. Employees go through an internal training certification before they are permitted to perform customer delivery routes, including proper handling procedures for records while maintaining security of the vehicles and their contents at all times. Drivers are trained to lock and activate the alarm while the vehicle is unattended to ensure the safety and confidentiality of information.

On the technology side, The Data Vault has an inventory control system that incorporates redundant scan verification. Drivers scan customer materials onto their truck at our facility prior to dispatch and the items are verified against the work order upon delivery at the client's offices. All labeled items picked up from the customer are also scanned to the vehicle, and then scanned back into our database during offloading when they are handed off to proper departmental personnel. This process helps safeguard customer inventory during transit and protects against confidentiality breaches by utilizing a complete chain of custody.

Privacy Controls

All practices and procedures are revisited frequently throughout the year to ensure that they are held to updated standards. Companywide HIPAA training ensures that all staff are qualified on how to specifically handle healthcare information, while continuing education maintains other legal standards.

While The Data Vault has always had a strong emphasis on security and confidentiality, we are constantly looking for improvement in an effort to stay on the cutting edge. It is our policy to promptly notify customers in the event of lost or damaged inventory, including confidentiality breaches of any kind. Our company has a designated *Privacy Officer* that is responsible for overseeing the implementation and administration of all privacy and safeguard training. These duties include being the point of contact for any event involving confidentiality breaches, including immediate reporting to customers as part of business associate agreements.

In April of 2017, The Data Vault successfully renewed our PRISM Privacy+ and SSAE 16 certifications. Administered by PRISM International of Chicago, Privacy+ is an international program open to companies providing storage and protection of hard-copy records and various offline removable computer media types. This certification is a voluntary process that allows companies to publicly demonstrate their commitment to protecting the privacy of information entrusted to them by their clients. SSAE 16 is an internationally recognized standard developed by the Auditing Standards Board (ASB) and the American Institute of Certified Public Accountants, designed to certify firms complying with the Sarbanes-Oxley Act. Developed specifically with publicly traded companies and financial services firms in mind, this certification is conducted by an independent third-party auditing company and is a benchmark for any entities wishing to conduct business in those sectors. Our objectives in acquiring these awards are to ensure the privacy of information in a manner consistent with industry standards as well as protect against unauthorized access or use that may result in harm to any consumer. As part of this, all employees are trained on the proper procedures for handling sensitive and confidential information.

More Reasons to Choose The Data Vault

Employee Profiles

Our organization is very active in the Records Information Management (RIM) community, with the majority of employees participating in respected organizations such as: PRISM, AIIM, ARMA and the National Records Centers. Because of their expertise our employees are often sought for leadership roles within these organizations; by partnering with The Data Vault our clients have access to upper management and their vast industry knowledge.

Name	Company Title	Organization	Position
Dick Gladden	President	National Records Center	Board of Directors
Michael Payton	Operations Manager	National Association for Information Destruction (NAID) Data Protection Association (DPA)	Conference Committee Member / Certified Secure Destruction Specialist Vice President / Membership Committee Chair
Andy Dobelstein	Account Executive	ARMA	President
Kevin Wilder	Account Executive	ARMA	Member
Lindsey Bischoff	Privacy Officer / Director of Special Projects	PRISM	Member

Data on Command

Data on Command (DOC) is our free online dashboard tool that allows you to view your records via secure web access from the comfort of your desk. With just a few mouse clicks you can view your inventory, conduct keyword searches, and make online requests for items stored in our climate controlled vault or within our records storage center. Many of our clients have found this function helpful in expediting their service requests and overall remote management of their account.

In addition to inventory management, the DOC system is integrated with our document imaging department for clients engaging in our scanning services. Instead of having to wait for digitized files to be delivered by CD or hard drive, organizations can access their files almost instantaneously as the projects are completed; saving both time and money. By far one of our most popular features, over the years this streamlined process has helped many groups handle last minute requests and requirements without having to request emergency delivery service.

Coverage

Although the majority of our client base resides within the Louisville metro area, over the years we have been providing quality services across Kentucky and Indiana. Our operations department has the flexibility to meet the needs of any size organization and is happy to craft custom routes to meet your needs.

Even if you have offices across the United States, The Data Vault can still provide you with complete coverage through our affiliation with the NRC (National Records Centers). Featuring facilities in over 40 states and 3 countries internationally, there's no need to shop for separate vendors or a national contract for all of your locations. You can trust that each facility comes certified with the same quality service and local focus that you've come to expect.

References

Note: Clients of The Data Vault store with the guarantee of complete confidentiality. Therefore, references are never related without permission. However, we can provide a list of references should you request them.

In Conclusion

The Data Vault greatly appreciates the opportunity to present this report, hoping that you find it helpful in the consideration for your current and future needs. With over 30 years of experience, our staff has been helping guide organizations through the changing information management environment since 1984; successfully crafting custom solutions that fit within budgetary boundaries.