



Backup and Restore Guide

ComplianceOne® Solution

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Table of Contents

ComplianceOne Advanced Installation Procedure	Error! Bookmark not defined.
Overview.....	Error! Bookmark not defined.
Before You Begin	Error! Bookmark not defined.
Prerequisites	Error! Bookmark not defined.
Data Server Installation	Error! Bookmark not defined.
Application Server Installation	Error! Bookmark not defined.
Integrating the Data Server and Application Server	Error! Bookmark not defined.
Client Installation.....	Error! Bookmark not defined.
Post Installation.....	Error! Bookmark not defined.
Uninstallation	Error! Bookmark not defined.
Support Services	1

Introduction

This guide describes basic techniques for backing up and restoring the SQL databases used in ComplianceOne. It also identifies the location of critical ComplianceOne application and related files requiring backup. Note that this guide is not a comprehensive discussion of the policies and procedures that should be evaluated and implemented when considering data integrity for every server in your financial institution. Wherever possible, the standard operating procedures in-place at your organization regarding data integrity, backup, and restoration should supersede any recommendations made in this document.

SQL database versions supported for the backup and restoration of SQL databases using these instructions includes SQL Server 2005 and SQL Server 2005 Express. ComplianceOne supports SQL Server 2008 Standard Edition but does not yet support SQL Server 2008 Express. SQL Server 2000 is no longer supported in ComplianceOne. The instructions in this guide have not yet been tested with the SQL Server 2008 editions.

Additional information on how to back up other files that are not installed and backed up with the base installation of ComplianceOne is also included. An example of files not installed by the base install of ComplianceOne includes core interface files.

These instructions include the following topics:

- Backing Up SQL Databases
- Restoring SQL Databases
- Locations of ComplianceOne Files

Note

The online books for SQL Server 2005 and SQL Server 2005 Express are available at <http://www.microsoft.com/downloads/details.aspx?FamilyID=be6a2c5d-00df-4220-b133-29c1e0b6585f&displaylang=en>. Links to books for other SQL Server releases are also available at this location.

Database Backup Overview

Here is a list of the files and databases that should be backed up to have a complete recovery of the system. Note that these are only the base files and that there may be additional files added by other vendors or by our interface team that may also require backup. (Those files may not be stored in the directories listed below.)

How frequently you perform backups will determine your recovery point. It is your organization's responsibility to determine the level of comfort you have with how much data you are willing to lose. For example, your organization may choose to back up once a week or once a day. In either case, restoring a database and/or files will result in the loss of any data entered since the last backup available for restoration. Also the method used to back up the data is also warrants

consideration. It is up to your organization to determine that you are able to successfully access the backups and be able to restore them if the need arises. We suggest physically backing up the databases using SQL tools and utilities. Please note that the processes and tools used to accomplish the backup and restore will vary.

Note

Please be sure that you have available the original media that accompanied the version of the databases as well as any additional custom form CDs that have been shipped to you. These may be downloaded, but you will save time should you need to implement a disaster recovery if you have the original media. For instances, when you back up version 2013.3.0, you should ensure that you have the 2013.3.0 CD as well as the backup for that software available.

Files to Backup

SQL Database Files

- C1_FillersDeposits_XXXX_X_X_XXXX
- C1_FillersLoans_XXXX_X_X_XXXX
- C1_FillersMortgage_XXX_X_X_XXXX
- C1_Insurance_XXXX_X_X_XXXX
- C1_Organization_XXXX_X_X_XXXX
- C1_Transaction_XXXX_X_X_XXXX
- C1_User_XXXX_X_X_XXXX
- WKFS_Interface_Manager
- WKFS_RiskIDOFACCheck

B2B Interface Files

Mortgagebot (if installed)

- C:\Program Files (x86)\WKFS_Mortgagebot_Installation
- For all other B2B interfaces, any files stored outside the folders listed previously

Hard Drive Files

These are located either in Program Files or Program Files (x86) depending on your operating system.

- Drive:\Program Files (x86)\Common Files\WKFS Shared\Expere DDS\Contexts
- Drive:\Program Files (x86)\Common Files\WKFS Shared\Expere DDS Deposit\Contexts
- Drive:\Program Files (x86)\ComplianceOne

Optional

The following is the area that has the source for your web services. These will be recreated upon reinstalling ComplianceOne.

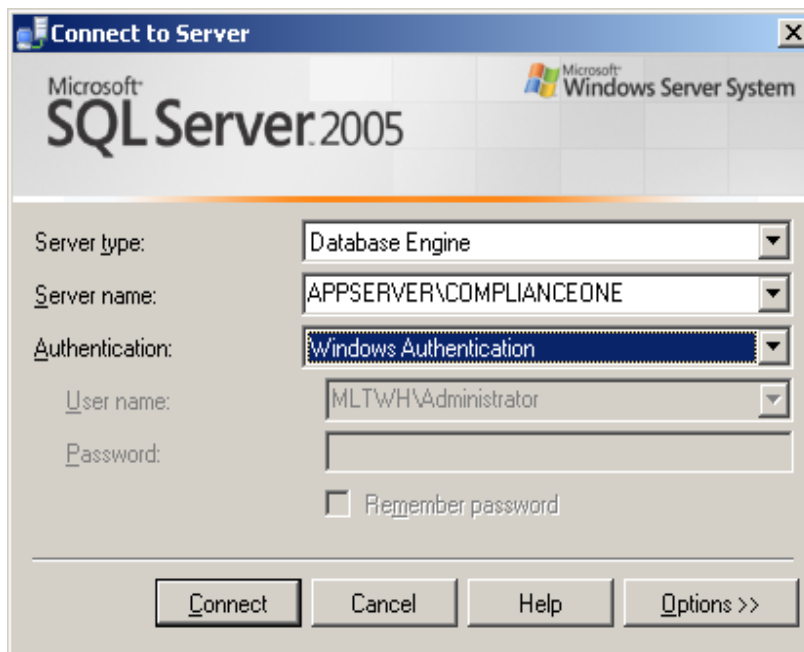
- Drive:\inetpub\wwwroot

Backing Up Your SQL Databases

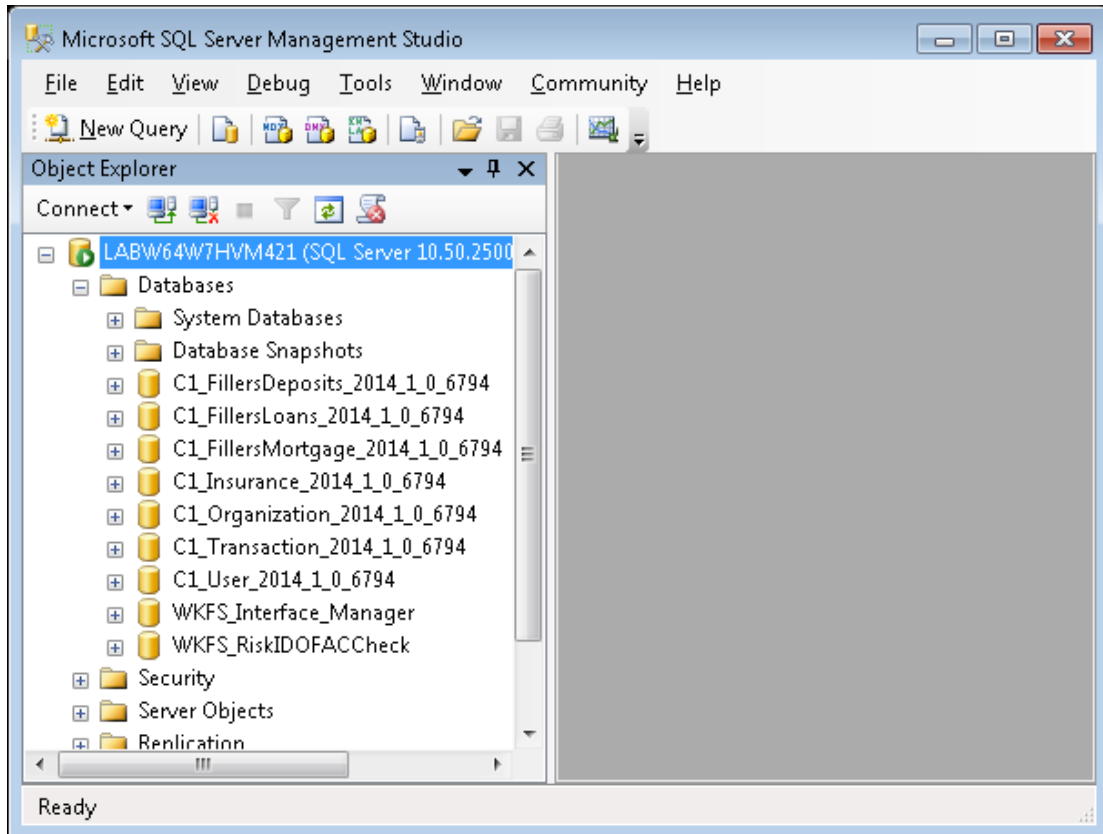
This section contains the detailed information about how and where to back up your databases. If you do not have established procedures for backing up SQL databases, consult the documentation you received with your release of SQL Server or SQL Server Express for background on the backup process and recommendations for backup locations and security. Also consult your existing financial institution standard operating procedures for the backup of SQL databases.

SQL Server and SQL Server Express both have built-in, easy-to-use procedures for the backup of SQL databases such as those used in ComplianceOne. To access the SQL backup portion of SQL Server or SQL Server Express:

1. Select Start, Programs, Microsoft SQL Server [Version], SQL Server Management Studio Express.
2. On the Connect to Server Window, select **Windows Authentication** from the drop down list and click **Connect**.



3. Expand Databases.



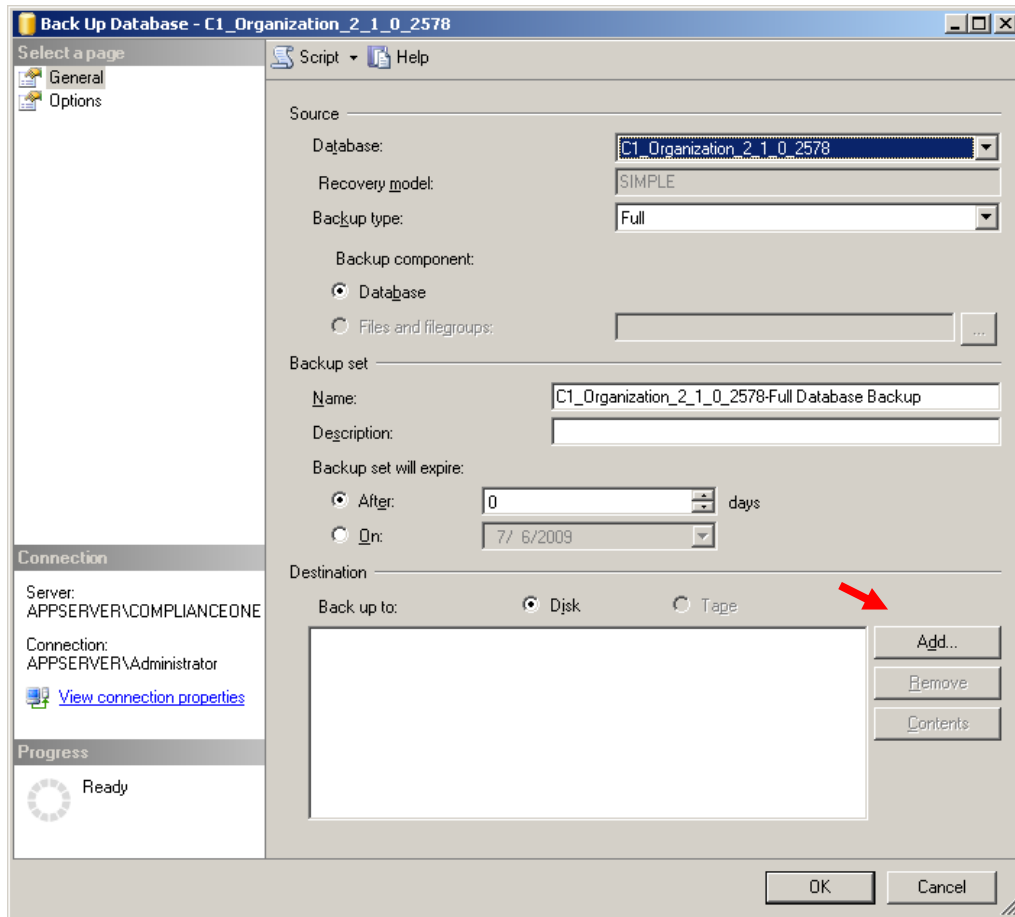
4. Right-click a ComplianceOne database, C1_Organizations_X_X_X_XXXX for instance, and select **Tasks, Back Up** from the context menu.

List of SQL Database Files

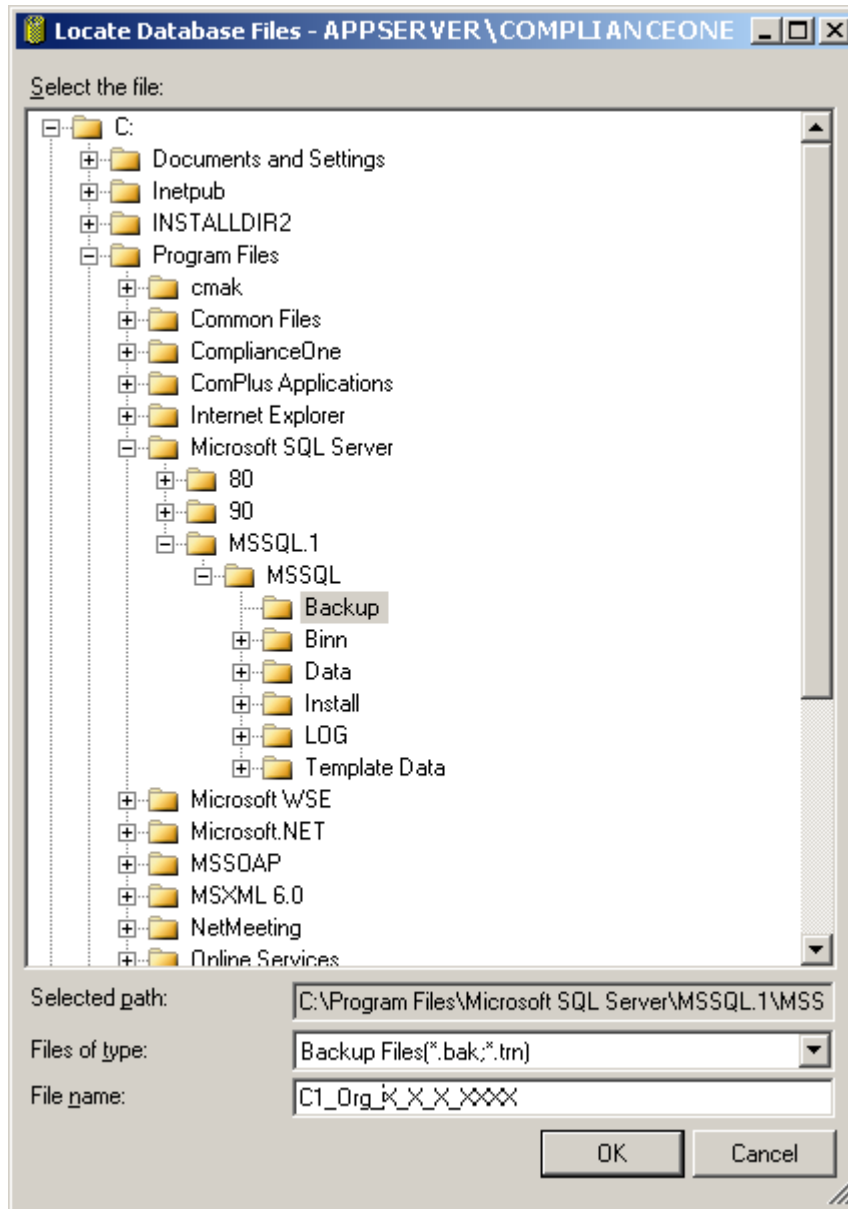
- C1_FillersDeposits_XXXX_X_X_XXXX
- C1_FillersLoans_XXXX_X_X_XXXX
- C1_FillersMortgage_XXX_X_X_XXXX
- C1_Insurance_XXXX_X_X_XXXX
- C1_Organization_XXXX_X_X_XXXX
- C1_Transaction_XXXX_X_X_XXXX
- C1_User_XXXX_X_X_XXXX
- WKFS_Interface_Manager
- WKFS_RiskIDOFACCheck

Note that each version of ComplianceOne updates the name of the database to include the version number. XXXXX_X_X_XXXX is a place holder for the current version. For example, 2013_3_0_616.

5. From the lower Destination portion of the Back Up Database window, click the **Add** button.

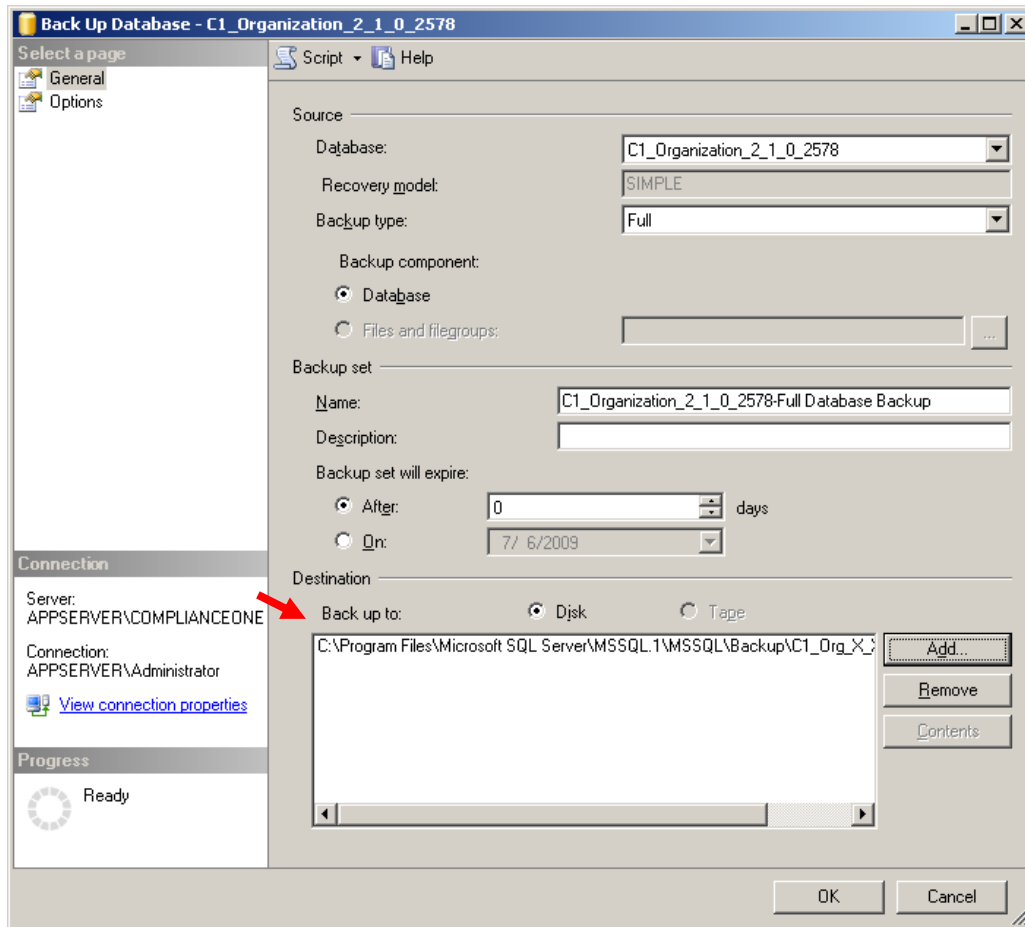


6. From the Select Backup Destination window, choose the backup device or browse to a folder location using the ellipsis, ..., button. Note that you must backup to a local disk. You cannot backup directly to a network or shared drive.



The choice of backup destination should be based on the SQL backup policy at your institution. In the absence of a policy, you can backup to the default SQL folder location, C:\Program Files\Microsoft SQL Server\MSSQL.1\MSSQL\Backup.

7. After choosing a location and typing in a backup filename, click **OK** twice to return to the Back Up Database window. Your backup location should now be seen in the Destination window.



8. Click **OK** to begin the backup and wait for the backup complete message. You can monitor progress in the lower left corner. Click **OK**.
9. Repeat these instructions as needed for the other ComplianceOne databases.

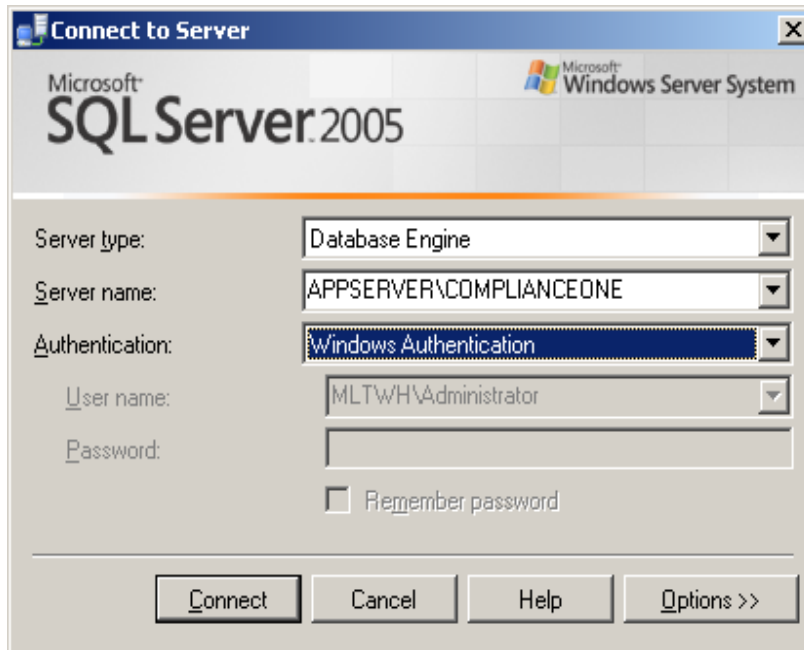
Restoring your SQL Databases

These steps briefly describe for your information how to restore a database that has been backed up. The procedures in place at your institution should be consulted if a database restoration is ever required.

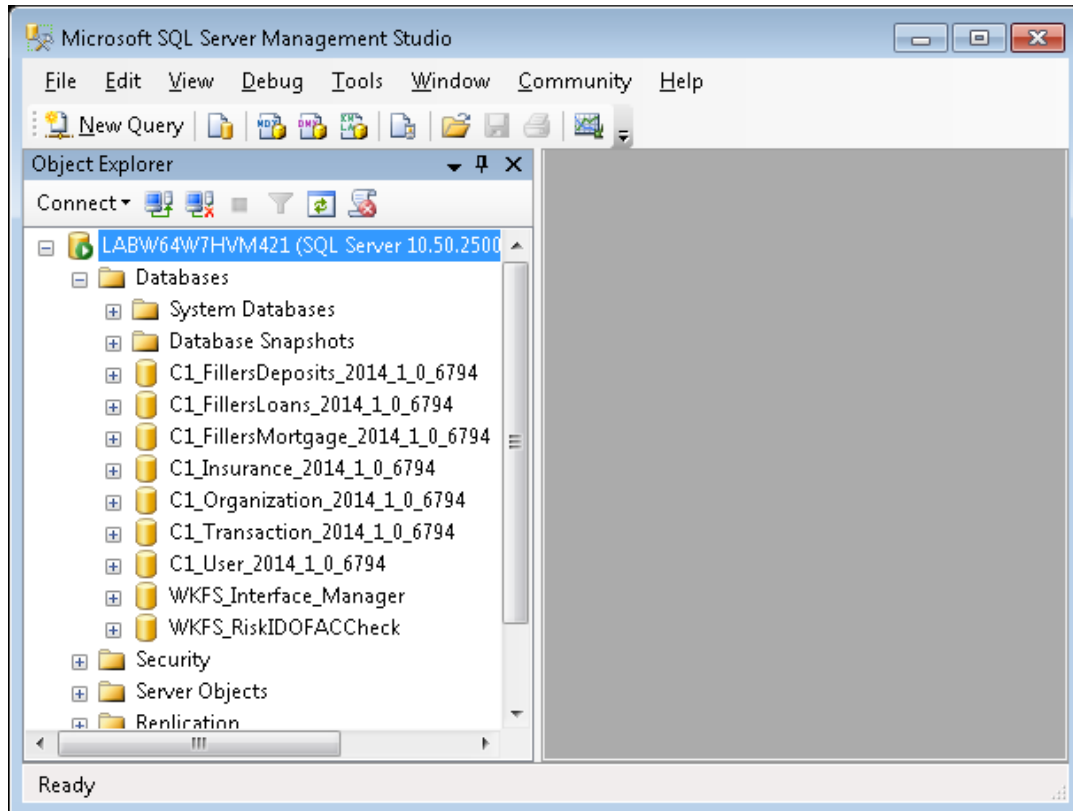
Note: When you restore, if there is an existing database of the same name, it will be overwritten by the restored version of the database.

1. Open Microsoft SQL Server Management Express Studio by selecting Start, Programs, Microsoft SQL Server [Version], SQL Server Management Studio or SQL Server Management Studio Express.

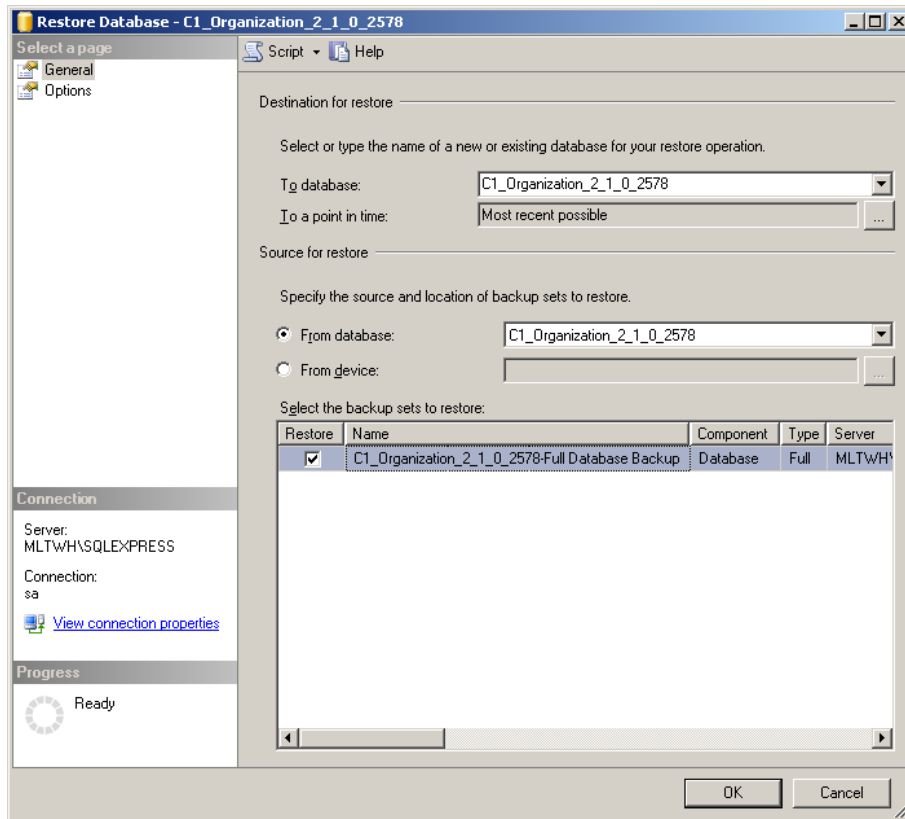
2. On the Connect to Server screen, select Windows Authentication from the drop down list.



3. Expand Databases.



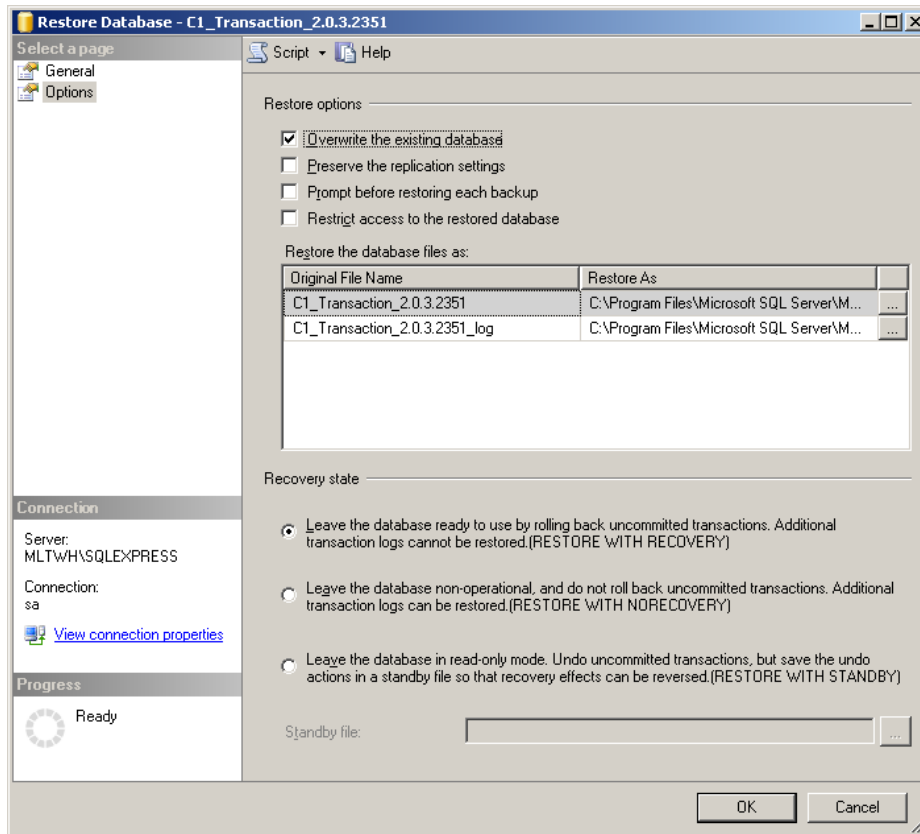
4. Right-click on the database you wish to restore and select **Tasks, Restore, Database** from the context menu.



In the lower window, select a backup file from the list. Make sure the **Restore** checkbox is selected.

Select the **From device** option above it and click the ellipsis button to the right. Browse to the database .bak file that matches the database you want to restore, click to highlight the file, and click **OK** twice to return to the General page of the Restore Database screen. Select the **Restore** checkbox.

5. Choose **Options** from the left hand pane and select the **Overwrite the existing database** checkbox at the top.



6. Click **OK** and the restoration will begin. Monitor your progress from the lower left window.
7. Click **OK** to return to the main page of the Microsoft SQL Server Management Studio Express.
8. Repeat to restore any other databases as needed.

Locations of ComplianceOne Files

In addition to the SQL databases used by ComplianceOne, the application server and related files should be backed up on a routine basis. If you used the default installation path, the bulk of the files are at or under:

C:\Program Files\ComplianceOne

Files found at this location include:

- Application executables and associated libraries
- Databases
- Interfaces. Note that some files for some interfaces may be located elsewhere, depending upon the interface. Also, the third party interface vendor application files will be installed

in their appropriate locations. You will need to consult your vendor interface documentation for specific file locations.

- Custom Documents. Note that custom documents should be reinstalled if necessary rather than restore individual files.

Other application server locations include:

- Organization folders at C:\Program Files\Common Files\WKFS Shared\Expere DDS\Contexts\{0769EBE5-7BE1-497F-B8A4-2C11AF48D73D}\Organizations and C:\Program Files\Common Files\WKFS Shared\Expere DDS Deposit\Contexts\{0769EBE5-7BE1-497F-B8A4-2C11AF48D73D}\Organizations
- Web services folders under C:\Inetpub\wwwroot
- Log files at C:\Documents and Settings\All Users\

Note that if your ComplianceOne databases reside on a database server separate from the application server, you will need to back up the database server in addition to backing up the application server.

Locations of Interface Files

Mortgagebot

Additional Interfaces

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Support Web Site

Visit our Software Support Web site for documentation, downloads, frequently asked questions, training, or support information at the following location: Support.WoltersKluwerFS.com

Internet

Also you can visit us on the Internet at www.wolterskluwerfs.com.

E-Mail

E-mail questions or issues to: ComplianceOneSupport@WoltersKluwer.com

Questions related to the installation process may be sent to ComplianceOneTechSupport@wolterskluwer.com

Phone

You can telephone our SupportLine technicians at 1-800-274-2711, ext. 1123660. Our support staff is available Monday through Friday, 7 A.M. to 7 P.M. CST. Voice mail operates continually, allowing you to leave us a message after hours and on weekends. To help us handle your question as quickly as possible, have these items available before you call:

- product name and version number
- customer number
- operating system and version number; service pack numbers, if installed

Fax

You may fax us at (320) 323-4848.

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