

CHEMICAL SPILL > MIND STORM > FIRE > HURRICANE > BLACK OUT > FLOOD > EARTHQUAKE > ICE STORM
FACILITY OUTAGE > GAS LEAK > DATABASE CORRUPTION > LIGHTNING > TERROR ALERT > TORNADO > SMOKE

Disaster Recovery & Business Continuity Template

ISO 27000, Sarbanes-Oxley, HIPAA, PCI DSS, COBIT,
and ITIL Compliant

Prepared by

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Version 5.6

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1.0 Plan Introduction

ENTERPRISE recognizing their operational dependency on computer systems, including the Local Area Network (LAN), Database Servers, Internet, Intranet and e-Mail, and the potential loss of revenue and operational control that may occur in the event of a disaster; authorized the preparation, implementation and maintenance of a comprehensive disaster recovery plan.

The intent of a Disaster Recovery Plan is to provide a written and tested plan directing the computer system recovery process in the event of an interruption in continuous service resulting from an unplanned and unexpected disaster.

The Disaster Recovery Plan preparation process includes several major steps as follows:

- Identify Systems and Applications currently in use
- Analyze Business Impact of computer impact and determination of critical recovery time frames
- Determine Recovery Strategy
- Document Recovery Team Organization
- Document Recovery Team Responsibilities
- Develop and Document Emergency Procedures
- Document Training & Maintenance Procedures

These steps were conducted and this document represents the completed effort in the preparation of the ENTERPRISE Disaster Recovery Plan.

1.1 Mission and Objectives

The mission of the Disaster Recovery Plan is to establish defined responsibilities, actions, and procedures to recover the ENTERPRISE computer, communication, and network environment in the event of an unexpected and unscheduled interruption. The plan is structured to attain the following objectives:

- Recover the physical network within the Critical Time Frames² established and accepted by the user community
- Recover the applications within the Critical Time Frames established and accepted by the user community
- Minimize the impact on the business with respect to dollar losses and operational interference

Compliance

Various compliance frameworks can be used to assess BCP measures—ISO, COBIT, COSO, etc.—but key aspects are similar:

- COSO requires data center operation controls and transaction management controls in order to ensure data integrity and availability.
- ISO 1799 has a section entitled Business Continuity Management that requires testing, maintaining, and reassessing a business continuity plan.
- ISACA's COBIT requires uninterruptible power supplies under its Manage Facilities section.
- NIST requires contingency and continuity plans and management.

As a general rule, in order to test BCP/DR compliance within an organization, a team of qualified, knowledgeable internal auditors should be created, reporting to a different member of the board than the BCP team reports to. This team of internal auditors should test to ensure that the BCP plan and process meet the compliance requirements discussed in the following sections.

Implication of Legislated and Industry Standards Requirements

There³ are a number of legally mandated and standards mandated issues that need to be covered in the Disaster Recovery / Business Continuity Planning Process.

² Critical time frames include both the point in time that the recovery will be set to and the point in time that the recovery will be completed and the enterprise can be back in operation.

³ This section is for informational purposes and can be excluded from the plan.

Site Strategy	Recovery Time	Comments
Commercial Hot Site	24 to 48 hours	Often the most cost effective strategy for data center recovery strategies. This is a market dominated by SunGard and IBM Global Services. Clear contract terms need to be defined which meets the enterprise service objectives. Consideration should be made for disasters which impact entire regions such as hurricanes and earthquakes.
Mobile Data Center / Office Space	24 to 48 hours	Pre-configured mobile resources for data center or client workspace recovery. This approach avoids employee travel issues but has limitations on equipment availability and outbound bandwidth if very small aperture satellite terminal (VSAT) links must be used for communications. Businesses also typically assume that they can be placed in the parking lot of the affected site, so if the disaster profile includes events such as hurricanes, floods or toxic spills, these solutions may not be appropriate.
Internal Hot Site	1 to 12 hours	This is typically the most expensive option since there is an added cost for internal provisioning of the necessary excess capacity. If costs can be shared through internal provisioning can be a significant benefit. Legislation such as the Sarbanes-Oxley Act has made this type of information this is a critical asset. Progressive recovery-time strategies may be the only viable option. If no appropriate secondary space is available within existing property, suppliers and "co-location" facilities providers offer managed raised-floor space at very attractive rates as an alternative to building out secondary sites.
Cold Site	72 plus hours	"Environmentally appropriate" space can be either provisioned internally or contracted from a commercial facilities service provider. Cold-site strategies are usually based on "quick-ship" delivery agreements to allow server, storage, and communications hardware and network service providers to quickly build out the data center and/or client workspace infrastructure. In the case of an extensive disaster such as a hurricane or earthquake this option is less favorable
Reciprocal Site	12 to 48 hours	This is typically a formal agreement between two trusted, non-competing partners in different industries in which each provides secure sites for the other. This option is the least favorable and has the greatest risk associated with it.

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Backup Strategy

Backups can be accomplished locally, centrally or both. There are advantages and disadvantages to each. The table below lists some of the advantages and disadvantages of each.

Disaster Recovery Backup Alternatives	Advantage	Disadvantage
Local Backup	<ul style="list-style-type: none"> • Backup quicker • Minimal bandwidth usage • Quicker restore in minor recovery situation 	<ul style="list-style-type: none"> • More hardware required • More staff required • Security risks increased • Riskier restore in a major recovery situation
Central Backup	<ul style="list-style-type: none"> • • • • • 	<ul style="list-style-type: none"> • • • • •
Coordinated Local and Central Backup	<ul style="list-style-type: none"> • Enterprise risks reduced • Easier to coordinate DRP and Business Continuity Plans 	<ul style="list-style-type: none"> • More staff required • More training required • More bandwidth required

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3.03 Backup and Backup Retention Policy

Policy

The purpose of this policy is to define the need for performing periodic computer system backups to ensure that mission critical administrative applications, data and archives and applications, users' data and archives are adequately preserved and protected against data loss and destruction. Each ENTERPRISE unit responsible for providing and operating a mission critical application must document and perform System Specific Data Backup or at least Minimal Data Backup on a periodic basis.

Computer systems that create or update mission critical ENTERPRISE data on a daily basis need to be backed up on a daily basis to minimize the exposure to loss of mission critical data. The unit responsible for providing and operating such systems must conduct a systematic and detailed investigation of all the influencing factors leading to the compilation of a comprehensive System Specific Data Backup Policy. System specific backup policies must at least fulfill the requirements of the Minimal Data Backup Policy.

Applicability

This policy applies to all units operating of ENTERPRISE. This backup policy is defined to protect against the following situations:

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environmental conditions (temperature, air moisture)

- Interference of magnetic data media by extraneous magnetic fields
- Uncontrolled changes in stored data (loss of integrity)

Backup Versus Archive

A backup process takes periodic or real-time images of active data in order to provide a method of recovering records that have been deleted or destroyed. Most backups are retained only for a few days or weeks as later backup images supersede previous versions.

A backup is designed as a short-term insurance policy to facilitate disaster recovery, while an archive is designed to provide ongoing access to decades of business information. Archived (historical) records are placed outside the traditional backup cycle for a long period of time, while backup operations protect active data that's changing on a frequent basis.

Archiving Implications Sarbanes-Oxley

A record is essentially any material that contains information about ENTERPRISE's plans, results, policies or performance. In other words, anything about ENTERPRISE that can be represented

5.0 Disaster Recovery Organization

The effectiveness and operability of the Disaster Recovery Plan is dependent on the knowledge and expertise of the personnel who develop and execute the plan. It is essential to determine which talents are required and to assign personnel who meet those requirements.

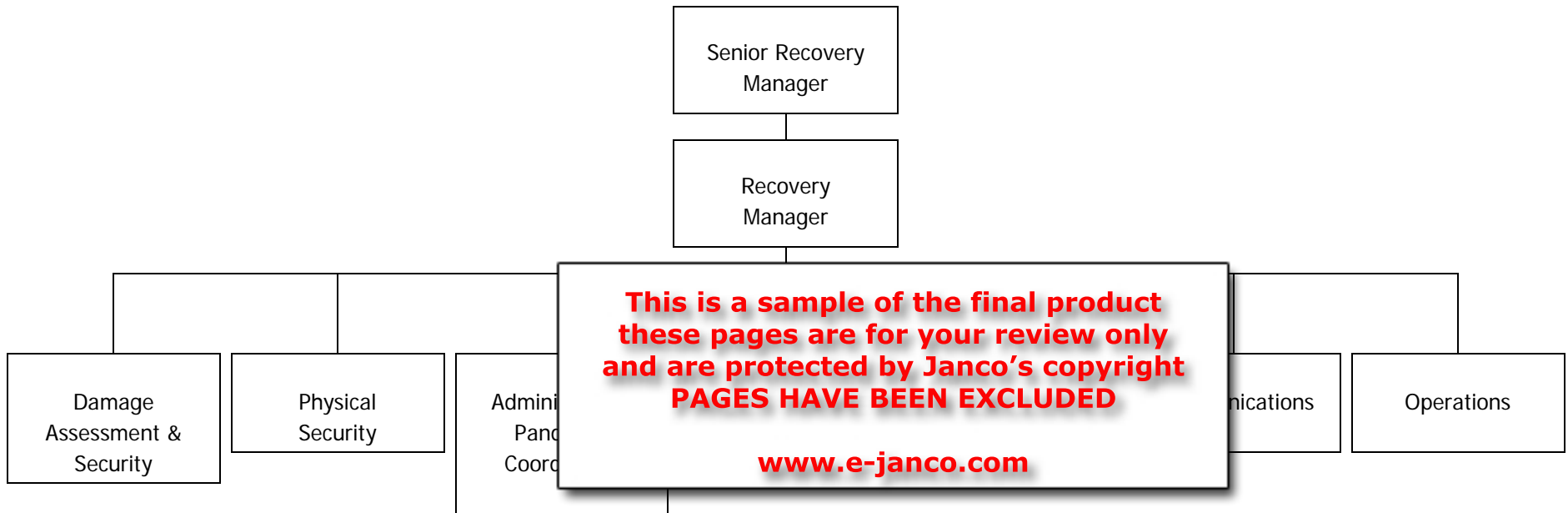
A recovery from a disaster is best conducted by teams of personnel that are formed to perform specific functions (e.g., hardware acquisition, hardware installation, operations). The number and types of teams are dictated by the size and type of computer processing capabilities and facility the plan is being developed to recover.

The organization of the staff to recover the system is designed for the worst case situation. The worst case, requiring a move to the alternative site, must be executed by a coordinated team to minimize the operational impacts to end-users, senior management and ENTERPRISE as a whole.

The Disaster Recovery Team Organization, therefore, is set up to accomplish:

- Expeditious and efficient recovery of computer processing;
- Intermediate and minor impact/expenditure decisions within the Information Technology personnel during the recovery process;
- Major impact/expenditure decisions at the management level; and
- Streamline reporting of recovery progress from recovery teams upward to senior management and end-users.

5.1 Recovery Team Organization Chart



Enterprise logo here

The purpose of this questionnaire is to determine the criticality of the applications used at ENTERPRISE. The information provided will be used to develop a Application Inventory that can be used in the Disaster Recovery Plan that minimizes the impact of the loss of this application in the event of a disaster. **(PLEASE USE ADDITIONAL BLANK PAPER OR ATTACHMENTS WHEREVER NECESSARY)**

Facility / Business Function / Application

Name: _____

Provide a brief description/purpose – mission: _____

What are the main functions? _____

Was this developed in-house or purchased (include source code etc): _____

If the application is a purchased package (include modifications): _____

What programming language was used to create the application? _____

How old is this application (maturity)? _____

Who is the owner of this application (i.e. Joe Smith of Accounting)? _____

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Application / File Servers

Provide the following information for each application and file server:

- Host name
- IP address and mask for the server
- Administrative contact for the server and security contact (i.e. primary user or department head name and phone number)
- User Types
- Operating system including version number
- Application Software including version number
- Review status (Yes/No, Date, Reviewer)
- Connectivity (Internet, Intranet, modem In, modem out, other)
- Physical location (Address / phone number for contact)

Host Name: _____		Reviewer Name: _____		Date: _____
IP Address / Mask	User Types	Administrative Contact	Connectivity	Physical Location
_____ _____ (mask)	<input type="checkbox"/> Public <input type="checkbox"/> Customers <input type="checkbox"/> Employees <input type="checkbox"/> Groups Employees <input type="checkbox"/> Specific Employees <input type="checkbox"/> _____	Name: _____ Email: _____ Phone: _____	<input type="checkbox"/> Internet <input type="checkbox"/> Intranet <input type="checkbox"/> Modem In Bound <input type="checkbox"/> Modem Out Bound <input type="checkbox"/> Other: _____	Address: _____ Contact: _____ Phone: _____
IP Address Range	Operating System	OS Version / Reviewed	Application	App Version / Reviewed
_____ to _____	<input type="checkbox"/> Windows WS <input type="checkbox"/> Windows Server <input type="checkbox"/> Unix <input type="checkbox"/> Lynx. <input type="checkbox"/> Other	Ver: _____ <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> _____	Ver: _____ <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
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Comments: _____ _____ _____ _____ _____ _____ _____ _____ _____				

ENTERPRISE Vendor Disaster Recovery Planning Questionnaire

DRP and Business Continuity Strategy

1 In the event of a disaster or significant disruption, does your organization have documented plans for business continuity and IT disaster recovery? (NOTICE: *if your firm has no plan in place and has not intention of implementing a plan then your firm should be aware that our vendor / partnership relationship is subject to cancellation*) Yes _____ or No _____

2 What type of failure scenarios or outages do you plan for? _____

3 What duration of time is assumed for each type of failure scenario or outage you plan for? _____ (please specify # and hours, days, weeks, months, etc. for each type)

4 Does the plan establish critical business functions with recovery priorities? Yes _____ or No _____

5 If you answered "Yes" to Question (4), what is the expected recovery time for your critical business functions?

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6 Does the plan account for interdependencies both internal and external to your organization? Yes _____ or No _____

Version History

9.0 Change History

Version 5.6 – Release date February 2010

- Updated Business and IT Impact Questionnaire
 - Updated for COBIT compliance
 - Updated for PCI-DSS compliance
 - Updated for US state level compliance (New York, Massachusetts, and California)
 - Update for ISO security requirements

Version 5.5 – Release date January 2010

- Updated to comply with CobiT requirements
- Sample Disaster Recovery Plan Service Agreement

Version 5.4 – Release date May 18, 2009

- Added Pandemic Coordinator job description
- Added Business Pandemic Planning Checklist
- Updated organization chart to include Pandemic Coordinator
- Corrected minor errata

Version 5.3 – Release date January 2, 2009

- Updated backup and backup retention section
- Updated style sheet to be CSS Style sheet format
- Added Disaster Recovery Business Continuity General Distribution Information
 - What to do after an explosion / terrorist attack
 - How to clean up after a disaster

Version 5.2 – Release date August 1, 2008

- Updated style sheet to WORD 2007 format
- Updated forms and charts

Version 5.1 – Release date July 1, 2008

- Added sample Backup and Backup Retention Policy
- Minor formatting changes

Version History

Version 5.0 – Release date February 21, 2008

- Updated Disaster Recovery / Business Continuity Plan Audit Program to be compliant with ISO 27000 Series (ISO 27001 and ISO 27002)
- Added a section on Communication Strategy and Policy to be implemented when the Disaster Recovery / Business Continuity Plan is activated
- Added a section on Disaster Recovery / Business Continuity and Security basics
- Added Personnel Location Report
- Added Project Status Report Form

Version 4.5 – Release date November 2, 2007

- Added Disaster Recovery / Business Continuity Plan Audit Program
- Updated excel work plan to refer to sections versus pages

Version 4.4 – Release date September 1, 2007

- Section added on implications of Sarbanes-Oxley, Treadway Commission, and PCI DSS requirements
- Disaster Planning Branch Offices added
- Backup strategy table added
- Backup strategy for PDA's updated to reflect Smartphones

Version 4.3 – Release date July 26, 2007

- Defined generic metrics for DR/BC success
- Business & IT Impact Analysis Questionnaire Updated
- Updated references to DRP card
- Updated formatting to meet WORD 2007 requirements

Version 4.2 – Release date February 1, 2007

- Added Section defining the ISO 17799 compliance requirements
- Review and modified entire DRP/BCP template to ensure compliance with ISO 17799
- Business & IT Impact Questionnaire updated to meet ISO 17799 compliance requirements
- Corrected errata
- Added Best Data Retention and Destruction Practices Section

Version 4.1 – Release date August 28, 2006

- Department DRP / BCP Activation Workbook Updated in the appendix
- Correct work plan formatting and numbering for project initiation
- Web Site Disaster Recovery Planning Form added to the appendix

Version History

Version 4.0 - Release date March 5, 2006

- Vendor Disaster Recovery Planning Questionnaire added to the appendix
- Department Disaster Recovery Planning Workbook added to the appendix
- Vendor Phone List form updated
- Key Customer Notification List form added
- Critical Resources to be Retrieved form added
- Business Continuity Off-Site Materials form added

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- Site Strategy section added (Section 3.1) all other section numbers in Chapter 3 were increased to adjust for this modification.
- Audit Disaster Recovery Plan Process added (Section 8.13)
- Manager Disaster Recovery and Business Continuity job description added
- Entire template reviewed to validate compliance with Sarbanes-Oxley