



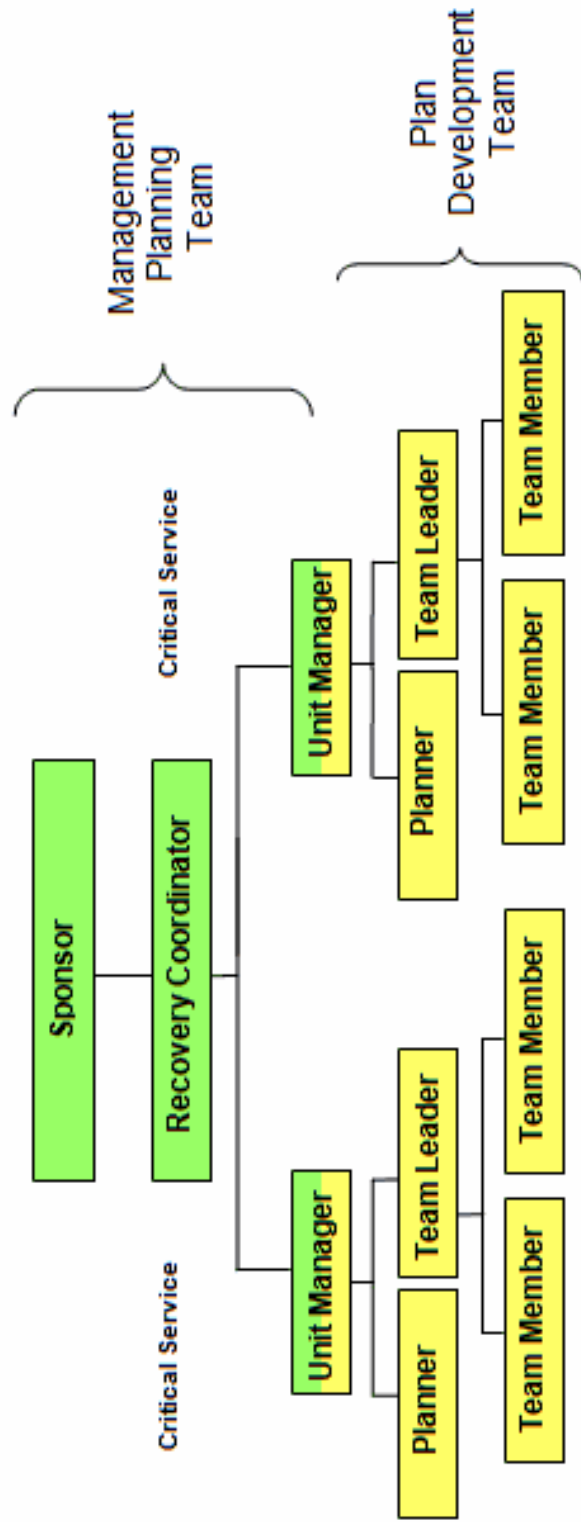
Recovery Planning Process

A recommended recovery planning guide for
Penn State organizations

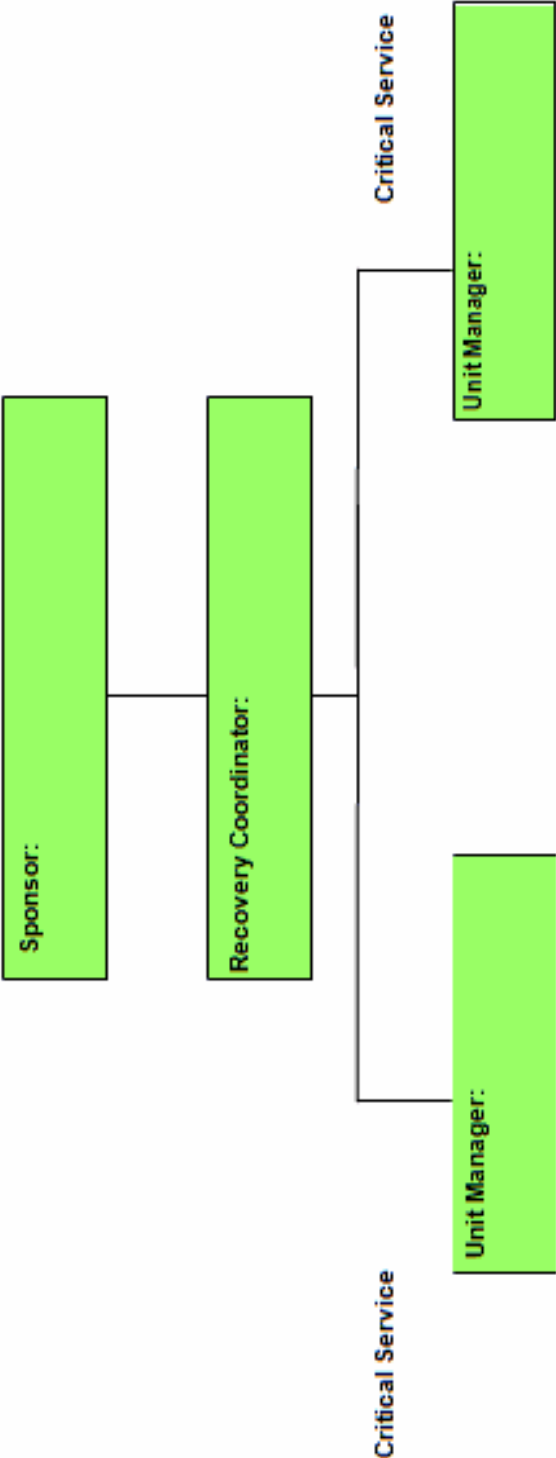
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Recovery Planning Team Structure



Recovery Management Planning Team



Recovery Planning Team Member Characteristics

Sponsor

- Authority to make decisions that can effect organization
- Authority to determine constraints and limitations for organizational recovery planning
- Ensures the project stays on focus
- Needs an overall understanding of the organization and the recovery planning process

Recovery Coordinator

- Organized
- Detail-oriented
- Able to work through complex problems and issues
- Fluent in project management principles and techniques
- Knowledgeable of the organization and the recovery planning process

Unit Manager

- Knowledgeable of recovery planning process
- Manages the critical service on a daily basis

Planner

- Organized
- Detail-oriented
- Does not need to be the “content expert”
- Good communication skills
- Can facilitate meetings
- Knowledge of the recovery planning process

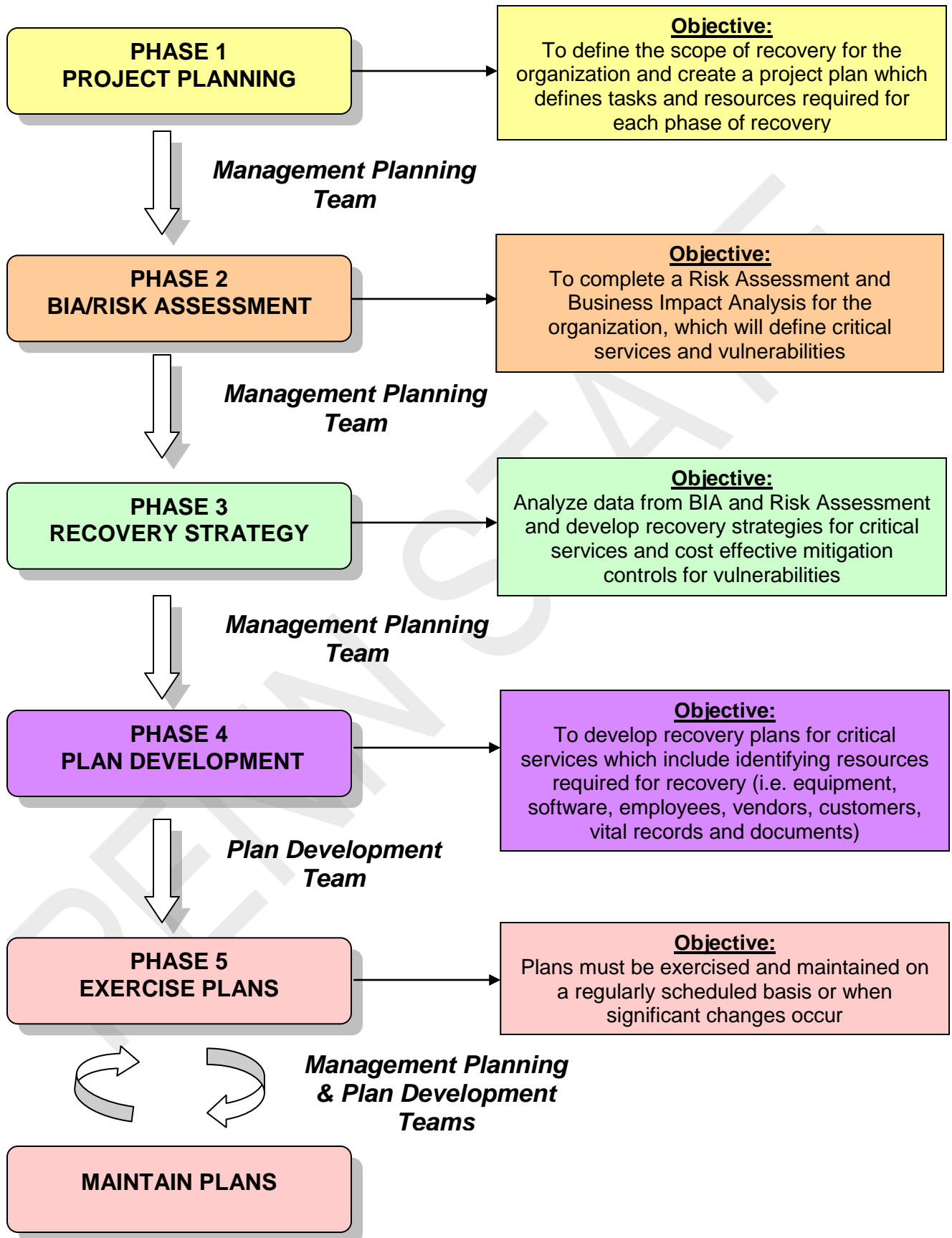
Team Leader

- Content expert for critical service
- Good communication skills
- Can make decisions

Team Member

- Work with critical service on a daily basis

Recovery Planning Process



PHASE 1 PROJECT PLANNING

Objective: To define the scope of recovery for the organization and create a project plan which defines tasks and resources required for each phase of recovery.

Estimated Time to Complete: 2 - 4 months

Deliverables:

- Project Report
- Mission Statement and or letter from sponsor endorsing business continuity planning program

Responsibilities:

Sponsor:

- Identify and define role of Recovery Coordinator
- Ensure the entire Management Planning Team attends *BCP for Management Teams* training – Parts 1 & 2 including the Sponsor
- Define constraints and limitations the Management Planning and Plan Development Teams must consider
- Communicate the recovery initiative to the entire organization

Recovery Coordinator:

- Create a recovery planning project
 - Identify resources required
 - Establish milestones and timelines
- Coordinate recovery planning efforts for the organization
- Schedule and facilitate regular meetings with the Management Planning Team

- Report results to Sponsor

Management Planning Team:

- Define the scope of recovery for the organization
- Create mission statement to describe recovery purpose and goals
- Assist Recovery Coordinator with recovery planning project

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PHASE 1 - PROJECT PLANNING

Sponsor Sign-off

- Management Planning Team Members are:
 - Sponsor:
 - Recovery Coordinator:
 - Unit Manager(s):
 - Other(s):
- Entire Management Planning Team attended *BCP for Management Teams* training – Parts 1 & 2
- Scope of recovery is:
- Recovery mission statement is:
- Constraints/Limitations the Management Planning and Planning Teams must consider are:
- The Recovery Coordinator role is:
- Recovery planning project is completed
- The recovery initiative has been communicated to the entire organization

I have reviewed and approved the completion of Phase 1: Project Planning.

Sponsor Signature

Date

PHASE 2 BIA/RISK ASSESSMENT

Objective: To complete a Risk Assessment and Business Impact Analysis for the organization, which will define critical services and vulnerabilities of the organization.

Estimated Time to Complete: 1 - 3 months

Deliverables:

- BIA Report
- Risk Assessment Report

Responsibilities:

Sponsor:

- Assist in resolving issues that arise on the Management Planning Team
- Support team activities
- Ensure milestones are being met and recognize Management Planning Team accomplishments
- Update entire organization on progress of recovery initiative

Recovery Coordinator:

- Attend *BIA* and *RA* training
- Complete Risk Assessment for the organization to determine vulnerabilities
- Distribute BIAs to appropriate areas in the organization
- Ensure BIAs are completed for appropriate areas in the organization
- Review BIA results for completeness
- Report Risk Assessment and general BIA results to Management Planning Team including the Sponsor

Unit Manager:

- Attend *BIA* training
- Complete BIA survey for appropriate areas and submit findings to Recovery Coordinator

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PHASE 2 - BIA/RISK ASSESSMENT

Sponsor Sign-off

- Recovery Coordinator attended *BIA* and *RA* training
- Unit Managers attended *BIA* training
- Recovery Coordinator completed an organizational Risk Assessment
- BIAs were completed by all appropriate areas of the organization
- Recovery Coordinator confirmed that the BIA results were complete
- Risk Assessment and general BIA results were reported to Management Planning Team and Sponsor
- The entire organization has been updated on the progress of the Recovery initiative

I have reviewed and approved the completion of Phase 2: BIA/Risk Assessment.

Sponsor Signature

Date

PHASE 3

RECOVERY STRATEGY

Objective: Analyze data from BIA and Risk Assessment and develop recovery strategies for critical services and cost effective mitigation controls for vulnerabilities.

Estimated Time to Complete: 3 - 5 months

Deliverables: - Recovery Strategy Document

Responsibilities:

Sponsor:

- Assist in resolving issues that arise on the Management Planning Team
- Support team activities
- Ensure milestones are being met and recognize Management Planning Team accomplishments
- Update entire organization on progress of recovery initiative
- Ensure the entire Management Planning Team attends *Developing Recovery Strategies* training including the Sponsor

Recovery Coordinator:

- Attend *Developing Recovery Strategies* training with BCP Consultant
- Analyze Risk Assessment results to identify vulnerabilities
- Analyze BIA results to identify priorities of services
- Identify accountability measures for the Recovery Planning Team
- Report results to Sponsor

Management Planning Team:

- Attend *Developing Recovery Strategies* training with BCP Consultant
- Review and approve Risk Assessment analysis and determine mitigation controls and potential costs
- Review and approve BIA analysis to determine recovery strategies and prioritize critical services
- Define recovery assumptions
- Develop a definition of a disaster for the organization (this should be based on recovery time objectives)
- Create a outage notification call tree for management
- Identify the individuals who can invoke the recovery plans
- Create policies for plan maintenance, exercise, training and plan distribution

PHASE 3 - RECOVERY STRATEGY

Sponsor Sign-off

- Entire Management Planning Team attended *Developing Recovery Strategies* training including Sponsor
- Vulnerabilities identified from the Risk Assessment that will be mitigated are:
- Mitigation controls and costs for vulnerabilities determined by the Management Planning Team are:
- Prioritized critical services are:
- Recovery assumptions are:
- Accountability measures for the Recovery Planning Team are:
- Organizational definition of a disaster is:
- Outage notification call tree for management is:
- The individual(s) who can invoke the recovery plan(s) are:
- Organizational policy for plan maintenance is:
- Organizational policy for plan exercising is:

- Organizational policy for recovery training is:

- Organizational policy for plan distribution is:

- Recovery strategy outcomes are communicated to Management Planning Team and Sponsor

- The entire organization has been updated on the progress of the recovery initiative

I have reviewed and approved the completion of Phase 3: Recovery Strategy.

Sponsor Signature

Date

PHASE 4

PLAN DEVELOPMENT

Objective: To develop recovery plans for critical services which include identifying resources required for recovery (i.e. equipment, software, employees, vendors, customers, vital records and documents).

Estimated Time to Complete: 3 - 5 months

Deliverables: - Recovery Plans

Responsibilities:

Sponsor:

- Assist in resolving issues that arise on the Management Planning Team
- Support team activities
- Ensure milestones are being met and recognize Recovery Planning Team accomplishments
- Update entire organization on progress of recovery initiative

Recovery Coordinator:

- Ensure recovery standards and guidelines are being met in the recovery planning process
- Ascertain milestones are being met and recognize Recovery Planning Team accomplishments
- Encourage and support the planning efforts for the Recovery Planning Team
- Report results to Sponsor

Unit Manager:

- Identify members of the Planning Team for mission critical services in the unit
- Coordinate planning efforts for the Planning Team(s) for the unit
- Ensure all members of the Planning Team attend *BCP for Plan Development Teams* training – Parts 1 & 2
- Review unit plans for completeness in accordance with established organizational recovery standards and policies
- Report results to Recovery Coordinator

Planner:

- Attend *BCP for Plan Development Teams* training – Parts 1 & 2
- Attend *Recovery Facilitation Skills for Planners* training
- Attend *LDRPS* training
- Schedule and facilitate regular meetings with Plan Development Team(s)
- Develop recovery plans according to scope and standards set within the organization

Team Leader:

- Follow up on action items, issues and questions outlined by Plan Development Team
- Report issues, questions or concerns to Unit Manager
- Ensure key individuals are participating in the recovery team meetings
 - Confirm ground rules are complied with
 - “Content expert”
 - Need unit manager sign off
 - Report progress to Unit Manager

Planning Team:

- Attend *BCP for Plan Development Teams* training – Parts 1 & 2
- Diagram visual of service for assigned critical service plan
- Determine scope of recovery plan
- Identify resources required to recover critical service

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Phase 4 - Plan Development *Sponsor Sign-off*

- Critical Recovery Planning Teams are (add more teams if needed):
 - Team #1
 - Unit Manager:
 - Planner:
 - Team Leader:
 - Team Member(s):
 - Team #2
 - Unit Manager:
 - Planner:
 - Team Leader:
 - Team Member(s):
 - Team #3
 - Unit Manager:
 - Planner:
 - Team Leader:
 - Team Member(s):
- Plan Development Teams for critical services attended *BCP for Plan Development Teams* training – Parts 1 & 2
- Planners for critical services attended *Recovery Facilitation Skills for Planners* training
- Planners for critical services attended *LDRPS: Living Disaster Recovery Planning System* training
- Recovery Coordinator has reviewed all critical service recovery plans for:
 - Completeness
 - Alignment with organizational recovery standards and policies

- Recovery Coordinator has shared critical service recovery plans to Management Planning Team and Sponsor

- The entire organization has been updated on the progress of the recovery initiative

I have reviewed and approved the completion of Phase 4: Plan Development.

Sponsor Signature

Date

PHASE 5

EXERCISE & MAINTAIN PLANS

Objective: Plans must be exercised and maintained on a regularly scheduled basis or when significant changes occur. This phase is an on-going process.

Estimated Time to Complete: 2 - 5 months

Deliverables:

- Exercise Reports
- Documented changes and improvements to recovery strategies
- Maintenance Change Log

Responsibilities:

Sponsor:

- Assist in resolving issues that arise on the Management Planning Team
- Support team activities
- Ensure milestones are being met and recognize Recovery Planning Team accomplishments
- Update entire organization on progress of recovery Initiative
- Ensure that both the Management Planning and Plan Development Teams attend *Conducting Recovery Exercises* training

Recovery Coordinator:

- Attend *Conducting Recovery Exercises* training
- Ensure recovery standards and guidelines are met in planning, maintenance and exercising of the recovery plans
- Ascertain milestones are being met and recognize Recovery Planning Team accomplishments
- Encourage and support the planning efforts for the Recovery

Planning Team

- Report results to Sponsor

Unit Manager:

- Attend *Conducting Recovery Exercises* training
- Schedule exercises unit's mission critical services
- Coordinate and participate in exercises and document results
- Report results to Recovery Coordinator

Planner:

- Attend *Conducting Recovery Exercises* training
- Maintain plan on a scheduled basis in accordance with recovery policy or when significant changes occur
- Distribute plan in accordance with recovery policy
- Participate in scheduled exercises

Planning Team:

- Attend *Conducting Recovery Exercises* training
- Participate in scheduled exercises
- Provide updates to planner when changes occur to service

PHASE 5 - EXERCISE & MAINTAIN PLANS

Sponsor Sign-off

- All members of the Management Planning and Planning Teams have attended *Conducting Recovery Exercises* training
- Exercises have been regularly scheduled for each critical recovery plan
- Each critical service recovery plan has been exercised and evaluated
- Results from the recovery exercises have been documented and shared with the Management Planning Team and Sponsor
- Modifications have been made to recovery plans to address:
 - Alignment issues with established recovery standards and policies
 - Missing information or steps in the recovery process
 - Updates to reflect changes in the critical service
 - Single-points of failure
- The entire organization has been updated on the progress of the recovery initiative

I have reviewed and approved the completion of Phase 5: Exercise and Maintain Plans.

Sponsor Signature

Date

Note: This phase will require sponsor sign-off on a regularly scheduled basis in accordance with the exercise and maintenance policy developed in Phase 3.

Additional Resources

AIS Services

- Business Continuity Planning Consultant
- Offsite Data Storage
- Local Server Recovery Center
- Living Disaster Recovery Planning System Software Tool (LDRPS)
- Business Impact Analysis Software Tool (BIA)

Training

- BCP for Management Teams – Part 1 & 2
- Business Impact Analysis
- Risk Assessment
- BCP for Plan Development Teams – Part 1& 2
- Recovery Facilitation Skills for Planners
- LDRPS: Living Disaster Recovery Planning System
- Conducting Recovery Exercises

Web Sites

Internal

- AIS Disaster Recovery Web Site
http://ais.its.psu.edu/disaster_recovery/index.html
- Emergency Management Office
<http://emergency.psu.edu>

External

- Strohl Systems
<http://strohlsystems.com/>
- Disaster Recovery Institute International
<http://www.drii.org>

Publications

- Continuity Insights (<http://www.continuityinsights.com/>)
- Continuity Planning and Management (<http://www.contingencyplanning.com/>)
- Disaster Recovery Journal (<http://www.drj.com/>)
- Disaster Resource Guide (<http://www.disaster-resource.com>)

- A Primer for Disaster Recovery in an IT Environment by Charlotte Hiatt
- Disaster Recovery Testing: Exercising Your Contingency Plan by Philip Jan Rothstein
- The Backup Book: Disaster Recovery from Desktop to Data Center by Dorian Cougias
- Business Continuity: Best Practices-World Class BC Management, 2nd ed. by Andrew Hiles
- BCP: Protecting Your Organization's Life by Ken Doughty
- Guide to Disaster Recovery by Michael Erbschloe

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