

# BUDGET LETTER

<b>NUMBER:</b>	07-03
<b>DATE ISSUED:</b>	January 23, 2007
<b>SUPERSEDES:</b>	

<b>SUBJECT:</b>	POLICY CHANGES TO OPERATIONAL RECOVERY PLANNING AND MODIFICATIONS TO THE AGENCY DESIGNATION LETTER AND OPERATIONAL RECOVERY PLAN CERTIFICATION
<b>REFERENCES:</b>	STATE ADMINISTRATIVE MANUAL, SECTIONS 4843 AND 4843.1 AND STATEWIDE INFORMATION MANAGEMENT MANUAL, SECTIONS 05, 65A, 70A, 70B AND 140A

TO: Agency Secretaries  
Agency Information Officers  
Department Directors  
Departmental Budget Officers  
Department Chief Information Officers  
Department Information Security Officers  
Department Operational Recovery Coordinators  
Department Privacy Officers  
Departmental Accounting Officers  
Department of Finance Budget Staff

FROM: DEPARTMENT OF FINANCE

## BACKGROUND

The Department of Finance (Finance) is responsible for establishing the state's information technology (IT) security policies and activities, and for information security oversight. This Budget Letter (BL) revises the policies for operational recovery planning. The word "agency" is used in the policy and within this BL to be consistent with the definition in the State Administrative Manual (SAM), Section 4819.2: "When used in lower case, "agency" refers to any office, department, board, bureau, commission, or other organizational entity within state government."

State policy for operational recovery planning is in SAM Sections 4843-4843.1. As specified in this policy each agency must file its Operational Recovery Plan (ORP) with the State Information Security Office (SISO) in accordance with the ORP Quarterly Reporting Schedule located in the Statewide Information Management Manual (SIMM) Section 05.

The 2005 State Strategic Plan, Goal 3, Objective 1 states "By October 2006, the SISO will lead workgroups as needed to assist in Operational Recovery Planning and IT Security policy needs and recommend changes to improve effectiveness and clarity." To meet this objective, new essential components were identified, and are being included as minimum ORP requirements. These new components will assist agencies in recovery of their critical operations in the event of an unplanned business disruption. The additional components compliment the prior operational recovery requirements by including topic areas that will help build a well rounded operational recovery strategy. Agencies are required to incorporate these fundamental components into their comprehensive ORP using the Documentation for Agencies Preparation Instructions found in the SIMM Section 65A.

## **POLICY CHANGES OR ENHANCEMENTS**

The policy changes or enhancements to SAM and the SIMM are as follows:

### **Attachment 1 – SAM Section 4843 – Operational Recovery Planning**

- Rewritten to clarify and enhance the operational recovery requirements. These changes include requirements for agencies to:
  - Use the results from their risk analysis and business impact analysis to identify their critical business functions.
  - Include their operational recovery considerations and costs in Feasibility Study Reports.
  - Develop their ORP's as part of a complete business continuity program which includes emergency response and business resumption plans.

Additionally, the ten elements for documenting an ORP were removed from the policy, revised, and added to the new ORP Documentation for Agencies Preparation Instructions found in the SIMM Section 65A.

### **Attachment 2 – SAM Section 4843.1 – Agency Operational Recovery Plan**

- Rewritten to clarify and enhance the operational recovery requirements and directs agencies to include additional components in their ORPs. The changes in this section include removal of the paragraph that identifies the minimum four topic areas from policy, expanding the topic areas to ten (10), and placing the ten (10) topic areas in the SIMM Section 65A.

### **Attachment 3 – Operational Recovery Plan Documentation for Agencies Preparation Instructions (SIMM Section 65A)**

- These new Instructions replace the outline previously defined in the SIMM Section 140A and incorporate the procedures previously defined in SAM Section 4843. The updated instructions provide additional detail that will assist agencies in creating and updating their ORPs. The new instructions require a minimum of ten components to be included in ORPs. Agencies that do not have a fully developed business continuity plan or Continuity of Operations/Continuity of Government (COOP/COG) must also include the three supplemental ORP requirements listed in Section 2 of SIMM Section 65A.

The supplemental requirements were included to assist agencies in further development and refinement of their ORPs. Agencies with a more mature and fully developed Operational Recovery Program should include specific topic areas beyond the minimum requirements that can aid in the full recovery and restoration of critical systems/applications in the event of an unplanned business disruption. ORPs that do not follow the SIMM Section 65A format must include a cover sheet to indicate where information on each topic area is located in their plan.

### **Attachment 4 – Agency Designation Letter (SIMM Section 70A)**

- The SIMM Section 70A has been renamed (previously titled Department Designation Letter) and now requires that agencies include their Organizational Code, found in the Uniform Codes Manual. These changes will provide the SISO information to identify agencies and use consistent terms defined in SAM.

### **Attachment 5 – Agency Operational Recovery Plan Certification (SIMM Section 70B)**

- The SIMM Section 70B has been renamed (previously titled Operational Recovery Plan Certification) and now requires that agencies include their Organizational Code, found in the Uniform Codes Manual. These changes will provide the SISO information to identify agencies and use consistent terms defined in SAM.

### **Attachment 6 – Comparison Chart – Existing ORP Requirement and Revised and New Components**

- The Comparison Chart identifies the existing ORP requirements found in SAM Section 4843 and SIMM Section 140A, with the revisions and new components.

## **FILING REQUIREMENTS & WORKSHOP**

The following summarizes the effective time line for the updates in this BL:

- Effective immediately, use SIMM Forms 70A and 70B.
- With the April 2007 quarterly ORP / ORP Certification submission to the SISO, provide a cover sheet indicating where the information for each topic area in the SIMM Section 65A is located in the agency's plan.
- From October 2007 forward, all quarterly ORP / ORP Certification submissions to the SISO must align with the requirements in SIMM Section 65A.

Formal SAM updates will be included in the next SAM revision. Finance recognizes that with the recent release of the COOP/COG requirements, there may be additional policy, instructions, and/or guidelines needed to effectively align the ORP and COOP/COG requirements. Finance is working towards that goal.

The SISO will schedule workshops to provide agencies assistance in complying with these new requirements. Workshop information will be sent as informational e-mails and will be posted on the SISO web site two weeks from the date of this BL.

## **CONTACTS AND QUESTIONS**

Questions relating to this BL can be directed to the SISO at (916) 445-5239.

/s/ Fred Klass

Fred Klass  
Program Budget Manager

Attachments

## **4843 OPERATIONAL RECOVERY PLANNING**

(Revised 12/06)

Operational recovery planning provides for continuity of computing operations in support of critical business functions, minimizes decision-making during an incident, produces the greatest benefit from the remaining limited resources, and achieves a systematic and orderly migration toward the resumption of all computing services within an agency following a business disruption. It is essential that critical IT services and critical applications be restored as soon as possible.

It is significant to recognize that no operational recovery program is ever complete. All operational recovery planning is based upon available knowledge and assumptions, and must be adapted to changing circumstances and business needs, as appropriate. Strategies, procedures, and resources must be adapted as often as necessary in order to recover critical applications. Recovery strategies must be developed and updated routinely to anticipate risks including loss of utility (hardware, software, power, telecommunications, etc.), loss of access to the facility, and loss of facility.

The operational recovery planning process supports necessary preparation to identify and document procedures to recover critical operations in the event of an outage. Agencies should consider the results of their risk analysis process and their business impact analysis when developing their Operational Recovery Plan (ORP). See SAM Section 4842.1 for requirements regarding risk analysis. Each agency's process should culminate in a viable, fully documented, and tested ORP. See SAM Section 4843.1 and SIMM Section 65A for requirements and guidelines regarding operational recovery.

To provide for recoverability of new systems, all agencies must include operational recovery considerations and costs in Feasibility Study Reports (FSR). See SAM Section 4819.35 and SIMM Section 20 for requirements and guidelines regarding FSRs.

To improve the likelihood for the full recovery of key business processes, ORPs should be developed as part of a complete business continuity program which includes emergency response and business resumption plans.

**4843.1 AGENCY OPERATIONAL RECOVERY PLAN**  
(Revised 12/06)

Each state agency (including each state data center) must maintain an Operational Recovery Plan (ORP) identifying the computer applications that are critical to agency operations, the information assets that are necessary for those applications, and the agency's plans for resuming operations following an unplanned disruption of those applications.

Each agency that employs the services of a state data center must develop an understanding of the existing service level agreement for recovery services, and its recovery plan must document the data center services that will be required during recovery.

Each agency must keep its ORP up-to-date and provide annual documentation for those updates to the State Information Security Office. The annual requirements are:

1. Each agency must file a copy of its ORP with the Department of Finance (Finance), State Information Security Office, in accordance with the Operational Recovery Plan Quarterly Reporting Schedule (SIMM Section 05).
2. If the agency employs the services of a state data center, it must also provide the data center with either a full copy or a subset of its plan, containing enough information for the data center to recover the agency's systems and/or data.
3. An Agency Operational Recovery Plan Certification (SIMM Section 70B) may be filed in place of a full ORP if both of the following conditions exist:
  - a. A full plan was submitted the previous year and is on file with Finance; and,
  - b. No changes are needed to the current plan.
4. Each agency ORP must cover, at a minimum, ten topic areas which are listed and described in the Operational Recovery Plan Documentation for Agencies Preparation Instructions (SIMM Section 65A). If the agency has not developed a full business continuity plan, three supplemental ORP requirements must be included as directed in SIMM Section 65A. In addition, if the ORP does not follow the format in SIMM Section 65A, a cover sheet must be included with the update to indicate where information on each topic area can be found in the ORP.

It is important to adapt the detailed content of each plan section to suit the needs of the individual agency, with the understanding that ORPs are based upon available information so they can be adjusted to changing circumstances.

**State of California  
Department of Finance**

**Operational Recovery Plan  
Documentation for Agencies**

**Preparation Instructions**

**January 2007**

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## SCOPE AND PURPOSE

The requirements included in this document are applicable to all agencies that operate, manage, or use information technology to support business functions in the State of California. This document identifies ten (10) sections that describe the minimum requirements that an agency must include as components of its Operational Recovery Plan (ORP). Agencies should consider the ORP one portion of their overall Continuity of Operations and Continuity of Government (COOP/COG) program. A full business continuity plan includes emergency/disaster management, business resumption, and ORPs.

As required in State Administrative Manual (SAM) Section 4843 (Operational Recovery Planning), each agency is required to participate in operational recovery planning processes to reduce the risks associated with unanticipated outages for its critical applications and systems. Additionally, SAM Section 4843.1 (Agency Operational Recovery Plan) requires each agency to maintain an up-to-date and tested ORP. Finally, as required in SAM Section 4845, by January 31<sup>st</sup> of each year, or as designee changes occur, agencies must designate and provide contact information for their Operational Recovery Coordinator by submitting the Agency Designation Letter (SIMM Section 70A) to the Department of Finance (Finance), State Information Security Office.

## INSTRUCTIONS

These sections generally describe the minimum requirements for ORP development. If the agency has not developed a full business continuity plan, three (3) additional components must be included as directed in Section 2 (Supplemental ORP Requirements). If the agency's ORP does not follow this format, then include a cover sheet to indicate where information on each component can be located.

## **SECTION 1: MINIMUM ORP REQUIREMENTS**

### **1.0 AGENCY ADMINISTRATIVE INFORMATION**

- 1.1 An executive summary that serves as a guide to the structure of the plan, the procedures for updating (plan maintenance) and distributing the plan, and a description of the agency's test and awareness programs.
- 1.2 A description of the agency's mission, including the organizational, managerial and technical environments. This section should include organization charts, business functions, and a description of the agency's information technology environment.
- 1.3 A communication strategy noting information flow, decision making, and interrelationship among agency core resources for response, recovery and resumption.

### **2.0 CRITICAL BUSINESS FUNCTIONS/APPLICATIONS**

- 2.1 A description of critical business functions and their supporting applications, a designation of maximum acceptable outage timeframes for each application, and the recovery priorities.
- 2.2 This section should include a chart that lists the critical business functions, the supporting applications, designation of maximum acceptable outages for the applications and the recovery priorities.

- 2.3 The agency may also include information on the approach used to determine the recovery priorities (e.g., a business impact assessment or planning committee meeting).

### **3.0 RECOVERY STRATEGY**

- 3.1 A description of the portions of the plan that will be implemented based on various levels of incident severity, for example, minor interruption of service, total service failure or loss of facility. Recovery strategies should be built to accommodate a worst case scenario, loss of service and facility. Plans for catastrophic or regional disasters should be addressed in the COOP/COG Plan.
- 3.2 A description of the recovery strategy that supports the agency's critical application priorities, including identification and evaluation of alternative recovery strategies. Will the agency sustain critical business functions manually until the applications are recovered? Does the agency contract with an outside source for recovery services? Will the agency's information technology infrastructure be rebuilt at another location? Will a hot or cold site be used?
- 3.3 Alternate recovery sites should be detailed within the plan that includes location, contact numbers and the type of facilities/equipment that will be available.

### **4.0 BACKUP AND OFFSITE STORAGE PROCEDURES**

- 4.1 Backup and retention schedules and procedures are critical to the recovery of an agency's applications and data.
- 4.2 The detailed procedures should include hardware, software (including version), data file back-up and retention schedules, off-site storage details, and appropriate contact and authority designation for personnel to retrieve media.

### **5.0 OPERATIONAL RECOVERY PROCEDURES**

- 5.1 This section systematically details the operational procedures that will allow recovery to be achieved in a timely and orderly way.
- 5.2 Detailed recovery procedures (including manual processes) that support the agency's recovery strategy and provide for the recovery of critical applications within the established maximum acceptable outage time frames. Included would be the process for recovering the critical data-processing activities, applications and/or data, the process for suspending non-critical activities, and any relocation to an interim (back-up) processing site.
- 5.3 The procedures should be detailed enough so that another trained information technology professional would be able to recover the agency's infrastructure should those with primary responsibility be unavailable during the recovery process. Include a high-level network diagram that includes all critical applications.

### **6.0 DATA CENTER SERVICES**

- 6.1 For agencies using the services of a data center, a description of data center services that will be provided during recovery must be documented.
- 6.2 Include information on any interagency agreements, memorandums of understanding or contracts.

- 6.3 If specific coordination of efforts with the data center is critical to the agency's recovery, those procedures should be included within Section 5 above.

## **7.0 RESOURCE REQUIREMENTS**

- 7.1 A comprehensive list of the equipment, space, telecommunication needs, data, software, hard-copy references (forms and procedures) and personnel necessary for recovery is essential.
- 7.2 Identification of resources that will be available at an alternate site.

## **8.0 ASSIGNMENT OF RESPONSIBILITY**

- 8.1 Distinct management and staff assignment of responsibilities must be clearly designated within the ORP. Within procedures, job titles (rather than the names of individuals) should be used to assign responsibility as it lessens maintenance as staffing changes.

## **9.0 CONTACT INFORMATION**

- 9.1 Separate contact lists should include the names of individuals, job title and contact information. If home phone numbers are included, the contact lists should be designated as confidential sections of the ORP.
- 9.2 Contact lists for vendors, other government entities, and outside resources critical to the agency's recovery process.

## **10. TESTING**

- 10.1 A description of the annual operational recovery test(s) performed, including how the test(s) was conducted, high level timeframes for each test, and the level of testing appropriate to the complexity of the system(s), program(s), process(es) or organization(s) being recovered. Examples of testing may include tabletop exercises, data recovery testing, forced testing (actual recovery due to an unplanned outage or failure), and/or full plan testing.

## **SECTION 2: SUPPLEMENTAL ORP REQUIREMENTS**

Agencies that have not developed and implemented a full business continuity plan or COOP/COG must also include the following three supplemental components in their ORP.

### **1.0 DAMAGE RECOGNITION AND ASSESSMENT**

- 1.1 This section details the emergency response actions necessary immediately following the disaster including: protecting the health and safety of all personnel; gaining immediate emergency assistance from agency security, fire, police, hospitals, etc.; notifying agency staff that are members of an Emergency Management Team or Emergency Action Committee that a serious loss or interruption in service has occurred; and establishing a

focal point for coordinating the response/recovery program, disseminating information and assembling personnel.

- 1.2 Damage assessment includes the procedures and personnel necessary to assess the damage and determine the level of severity of the incident, including the decision support mechanism required to declare a disaster versus a less severe interruption in processing capability.

## **2.0 MOBILIZATION OF PERSONNEL**

- 2.1 This section details staff and management responsibilities for putting the remainder of the plan into effect. Included may be team or individual assignments of responsibility by area of expertise such as:
  - 2.1.1 Technical staff in the areas of systems software, telecommunications and computer operations.
  - 2.1.2 User staff and management to assist in resolution of programmatic issues.
  - 2.1.3 Business services to support such tasks as arranging for office space, supplies, equipment and processing of emergency contracts.
  - 2.1.4 Personnel and communications staff to disseminate information regarding special work assignments, conditions or locations.

## **3.0 PRIMARY SITE RESTORATION AND RELOCATION**

- 3.1 This section includes detailed procedures to be followed after the interim processing situation has stabilized. The intent is to provide a framework for restoring full processing capability at a permanent location. Many of the same procedures will be used as were included during the moving of applications and systems to an interim site as described in the Operational Recovery procedures (see item 5.2 of Section 1 above).

## **SECTION 3: APPENDICES**

A variety of appendices may be attached to the ORP. Many of the plan sections described above will contain static procedures, while others may contain operational information that requires continual maintenance.

Some examples of appendix topics may include:

- Emergency action notification information containing the names and phone numbers of the various management, staff, and specialty team members;
- Damage assessment or disaster classification forms intended to function as a guide to supplement/support the management decision process;
- Profiles of critical applications;
- Agency hardware and system software inventory; and
- Any data communications network routing information necessary for providing interim processing capability and restoring full processing capacity.

## AGENCY DESIGNATION LETTER

**DATE:** \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

**TO:** Department of Finance (Finance)  
915 L Street, 6<sup>th</sup> Floor  
Sacramento, CA 95814  
Attention: State Information Security Office

**FROM:** \_\_\_\_\_  
(Org Code - as identified in the Uniform Codes Manual) (Name of Agency)

**SUBJECT: Agency Designation Letter under State Administrative Manual (SAM) Section 4845**

I certify that I am the Director or Director's designee of the \_\_\_\_\_. In compliance with the requirements of SAM Section 4841.1 and SAM Section 4845, I designate the following individual(s) for the roles named in the table below:

	Information Security Officer	Information Security Officer (back-up)	Operational Recovery Coordinator	Operational Recovery Coordinator (back-up)
Name				
Business Address				
Phone Number				
Fax Number				
Cell Phone Number				
Pager Number				
Text Pager				
IMS Code				
E-mail Address				

Please contact \_\_\_\_\_ at \_\_\_\_\_ for additional information.  
(Name) (Telephone Number and/or E-Mail)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Signature of Director or Designee)

## AGENCY OPERATIONAL RECOVERY PLAN CERTIFICATION

**DATE:** \_\_\_\_\_

**TO:** Department of Finance (Finance)  
915 L Street, 6<sup>th</sup> Floor  
Sacramento, CA 95814  
Attention: State Information Security Office

**FROM:** \_\_\_\_\_  
(Org Code - as identified in the Uniform Codes Manual) (Name of Agency)

**SUBJECT:** Agency Operational Recovery Plan Certification under State Administrative Manual Section 4843.1.

I certify that I am the Director or Director's designee of the \_\_\_\_\_ and certify that there have been no changes to my agency's Operational Recovery Plan (ORP) since it was last submitted to the Department of Finance on \_\_\_\_\_.  
(Date of Last Submittal)

Please contact \_\_\_\_\_ at \_\_\_\_\_  
(Name) (Telephone Number and/or E-Mail)  
for additional information.

\_\_\_\_\_  
(Date) (Signature of Director or Designee)

Note: Refer to State Administration Manual Section 4843.1 for conditions when this Certification may be filed in place of a full ORP. This Certification is due to Department of Finance as outlined in the ORP Quarterly Reporting Schedule (Statewide Information Management Manual Section 05).

<p style="text-align: center;"><b>Brief Description of Changes For ORP Development To be listed as Instruction in the SIMM Section 05A</b></p>	<p style="text-align: center;"><b>Existing Requirements As quoted from the SAM Section 4843. 4843.1, and the SIMM Section 140A</b></p>
<p><b>SCOPE AND PURPOSE</b>  As required in State Administrative Manual (SAM) Section 4843 (Operational Recovery Planning), each agency is required to participate in operational recovery planning processes to reduce the risks associated with unanticipated outages for their critical applications and systems. Additionally, SAM Section 4843.1 (Agency Operational Recovery Plan) requires each agency to maintain an up-to-date and tested ORP. Finally, as required in SAM Section 4845, by January 31 of each year, or as designee changes occur, agencies must designate and provide contact information for their Operational Recovery Coordinator by submitting the Agency Designation Letter (SIMM Section 70) to Department of Finance (Finance).</p>	<p><b>SAM Section 4843</b></p> <p>1. Establishment of an Operational Recovery Planning Team which will be responsible for the detailed technical analysis and planning functions that are fundamental to an operational plan.</p> <p>10. Documentation of the results of the planning process in the form of an ORP, as specified in SAM Sections 4843.1 and 4845.</p>
<p><b>1.0 AGENCY ADMINISTRATIVE INFORMATION</b></p> <p>1.1 An executive summary.  1.2 A description of the agency's mission, including the organizational, managerial and technical environments.  1.3 A communication strategy.</p>	<p><b>SIMM Section 140A</b></p> <p>1. Administrative Information – use of plan, procedures for updating and distributing plan, and process for periodic testing of plan.</p>
<p><b>2.0 CRITICAL BUSINESS FUNCTIONS/APPLICATIONS</b></p> <p>2.1 A description of critical business functions and their supporting applications.  2.2 Lists the critical business functions, the supporting applications, designation of maximum acceptable outages for the applications and the recovery priorities.  2.3 Approach used to determine the recovery priorities.</p>	<p><b>SAM Section 4843</b></p> <p>4. Assessment of the resource requirements (equipment, communications, data, software, personnel and time) required for the agency's critical applications identified through the risk management process.</p>
<p><b>3.0 RECOVERY STRATEGY</b></p> <p>3.1 A description of the portions of the plan that will be implemented based on various levels of incident severity.  3.2 A description of the recovery strategy that supports the agency's critical application priorities.  3.3 Alternate recovery sites should be detailed within the plan that includes location, contact numbers and the type of facilities/equipment that will be available.</p>	<p><b>SAM Section 4843</b></p> <p>5. Identification and evaluation of alternative recovery strategies.</p> <p><b>SIMM Section 140A</b></p> <p>2. Recovery Strategy – narrative of agency's strategy for managing disaster, include use of mutual aid agreements, vendor agreements, backup and recovery service agreements, or reallocation of facilities or resources.</p>
<p><b>4.0 BACKUP AND OFFSITE STORAGE PROCEDURES</b></p> <p>4.3 Backup and retention schedules and procedures are critical to the recovery of an agency's</p>	<p>No requirement</p>

<p style="text-align: center;"><b>Brief Description of Changes For ORP Development To be listed as Instruction in the SIMM Section 05A</b></p>	<p style="text-align: center;"><b>Existing Requirements As quoted from the SAM Section 4843. 4843.1, and the SIMM Section 140A</b></p>
<p>4.4 applications and data. The detailed procedures should include hardware, software (including version), data file back-up and retention schedules, off-site storage details, and appropriate contact and authority designation for personnel to retrieve media.</p>	
<p><b>5.0 OPERATIONAL RECOVERY PROCEDURES</b></p> <p>5.4 Details the operational procedures that will allow recovery to be achieved in a timely and orderly way.</p> <p>5.5 Detailed recovery procedures (including manual processes) that support the agency's recovery strategy and provide for the recovery of critical applications within the established maximum acceptable outage time frames.</p> <p>5.6 The procedures should be detailed enough so that another trained information technology professional would be able to recover the agency's infrastructure should those with primary responsibility be unavailable during the recovery process.</p>	<p><b>SAM Section 4843</b></p> <p>8. Determination of specific recovery procedures and the time frame for their execution.</p>
<p><b>6.0 DATA CENTER SERVICES</b></p> <p>6.3 For agencies using the services of a data center, a description of data center services that will be required during recovery must be documented.</p> <p>6.4 Include information on any interagency agreements, memorandums of understanding or contracts.</p> <p>6.5 If specific coordination of efforts with the data center is critical to the agency's recovery, those procedures should be included within Section 5.</p>	<p><b>SAM Section 4843.1</b></p> <p>If the agency employs the services of a state data center, it must coordinate the preparation of its ORP with the data center and must also provide the data center with updated lists of critical applications, applications resource requirements, run characteristics, etc. in conjunction with its workload estimates.</p>
<p><b>7.0 RESOURCE REQUIREMENTS</b></p> <p>7.3 A comprehensive list of the equipment, space, telecommunication needs, data, software, hard-copy references (forms and procedures) and personnel necessary for recovery is essential.</p> <p>7.4 Identification of resources that will be available at an alternate site should also be documented.</p>	<p><b>SAM Section 4843</b></p> <p>4. Assessment of the resource requirements (equipment, communications, data, software, personnel and time) required for the agency's critical applications identified through the risk management process.</p>
<p><b>8.0 ASSIGNMENT OF RESPONSIBILITY</b></p> <p>8.2 Distinct management and staff assignment of responsibilities must be clearly designated within the ORP. Within procedures, job titles (rather than the names of individuals) should be used to</p>	<p><b>SAM Section 4843</b></p> <p>9. Identification of individuals or teams within the agency that will be responsible for managing and implementing specific recovery procedures.</p>

<p style="text-align: center;"><b>Brief Description of Changes For ORP Development To be listed as Instruction in the SIMM Section 05A</b></p>	<p style="text-align: center;"><b>Existing Requirements As quoted from the SAM Section 4843. 4843.1, and the SIMM Section 140A</b></p>
<p>assign responsibility as it lessens maintenance on procedures as staffing changes.</p>	
<p><b>9.0 CONTACT INFORMATION</b></p> <p>9.3 Separate contact lists should include the names of individuals, job title and contact information. If no work phone numbers are included, the contact lists should be designated as confidential sections of the ORP.</p> <p>9.4 Contact lists for vendors, other government entities, and outside resources critical to the agency's recovery process.</p>	<p>No requirement</p>
<p><b>10.0 TESTING</b></p> <p>10.1 A description of the annual operational recovery test(s) performed, including how the test(s) were conducted, high level timeframes for each test, and the level of testing appropriate to the complexity of the system(s), program(s), process(es), or organization(s) being recovered. Examples of testing may include tabletop exercises, data recovery testing, forced testing (actual recovery due to an unplanned outage or failure), and/or full plan testing.</p>	<p><b>SAM Section 4843.1</b></p> <p>Each agency must provide for periodic testing of its ORP.</p>
<p>The supplemental section listed below is required if the agency does not have a Business Continuity Plan or a Continuity of Operations/Continuity of Government Plan.</p>	
<p style="text-align: center;"><b><u>SECTION 2: SUPPLEMENTAL ORP REQUIREMENTS</u></b></p> <p><b>Agencies that have <u>not</u> developed and implemented a full business continuity plan must also include the following three supplemental components in their ORP.</b></p>	
<p><b>1.0 DAMAGE RECOGNITION AND ASSESSMENT</b></p> <p>Combined into this section with format changes. No content changes.</p>	<p><b>SIMM Section 140A</b></p> <p><b>3. Damage Recognition</b></p> <p>This section details the emergency response actions necessary immediately following the disaster including: protecting the lives and safety of all personnel; gaining immediate emergency assistance from agency security, fire, police, hospitals, etc.; notifying agency staff that are members of an Emergency Management Team or Emergency Action Committee that a serious loss or interruption in service has occurred; and establishing a focal point for coordinating the recovery program,</p>

<p style="text-align: center;"><b>Brief Description of Changes For ORP Development To be listed as Instruction in the SIMM Section 05A</b></p>	<p style="text-align: center;"><b>Existing Requirements As quoted from the SAM Section 4843. 4843.1, and the SIMM Section 140A</b></p>
	<p>disseminating information and assembling personnel.</p> <p><b>4. Damage Assessment</b>                      This section details the procedures and personnel necessary to assess the damage and determine the level of severity of the incident, including the decision support mechanism required to declare a disaster versus a less severe interruption in processing capability.</p>
<p><b>2.0 MOBILIZATION OF PERSONNEL</b></p> <p>Reformatted. No content changes.</p>	<p><b>SIMM Section 140A</b></p> <p><b>5. Mobilization of Personnel</b>                      This section details staff and management responsibilities for putting the remainder of the plan into effect. Included may be team or individual assignments of responsibility by area of expertise such as: (1) Technical staff in the areas of systems software, telecommunications and computer operations; (2) user staff and management to assist in resolution of programmatic issues; (3) business services to support such tasks as arranging for office space, supplies, equipment and processing of emergency contracts; and (4) personnel and communications staff to disseminate information regarding special work assignments, conditions or locations.</p>
<p><b>3.0 PRIMARY SITE RESTORATION AND RELOCATION</b></p> <p>Reformatted. No content changes.</p>	<p><b>SIMM Section 140A</b></p> <p><b>7. Primary site restoration and relocation</b>                      This section provides procedures that are to be followed after the interim processing situation has been stabilized. The intent is to provide a framework for restoring full processing capability at a permanent location. Many of the same procedures will be used as were included during the moving of applications and systems to an interim site as described in the Recovery Plan Implementation procedures.</p>
<p><b>SECTION 3: APPENDICES</b></p> <p>Reformatted with minor changes for clarification.</p>	<p><b>SIMM Section 140A</b></p> <p><b>APPENDICES</b>                      A variety of appendices may be attached to the plan. The plan sections described above should contain static procedures, while the appendices would contain operational information that would need continual updating. Some examples of content are: (1) emergency action notification information containing the names and phone numbers of the various management, staff and specialty team members; (2) damage assessment or</p>

	disaster classification forms intended to function as a guide to supplement/support the management decision process; (3) profiles of critical applications; 4) agency hardware and system software inventory; and (5) any data communications network routing information necessary for providing interim processing capability and restoring full processing capacity.
<b>Deleted from SAM Sections 4843, 4843.1, and SIMM Section 140A</b>	
<b>SIMM Section 140A</b>  Damage Recognition – details the emergency response actions following the disaster.	<b>Deleted from SAM Section 4843 and SIMM Section 65A</b>
<b>SAM Section 4843</b>  6. Preparation of a cost-benefit analysis for each alternative.	<b>Deleted from SAM Section 4843</b>
<b>SAM Section 4843</b>  7. Selection of the alternative that best responds to the agency's requirements for disaster recovery.	<b>Deleted from SAM Section 4843</b>
<b>SIMM Section 140A</b>	<b>Deleted. Contents were revised and will be published as SIMM Section 65A</b>