California Judicial Branch

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| Disaster Recovery Plan |
| Superior Court of [Insert Court Name] |

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# Introduction

This disaster recovery plan identifies the steps to recover the Superior Court of [court name] County technology infrastructure housed at [court location].

## Definitions

This plan references the following definitions:[[1]](#footnote-2)

* **Business continuity plan**: The documented arrangements and procedures that enable an organization to respond to an event that lasts for an unacceptable period and to return to performing its critical functions after an interruption. The business continuity plan is not a component of the disaster recovery plan. A business continuity plan is also referred to as a continuity of operations plan (COOP).
* **Disaster**:
  + A sudden, unplanned catastrophic event causing unacceptable damage or loss.
  + An event that compromises an organization’s ability to provide critical functions, processes, or services for some unacceptable period of time.
  + An event where an organization’s management invokes their recovery plans.
* **Disaster recovery (DR)**: The ability of an organization to respond to a disaster or an interruption in services by implementing a disaster recovery plan to stabilize and restore the organization’s critical functions.
* **Disaster recovery plan**: The management-approved document that defines the resources, actions, tasks, and data required to manage the technology recovery effort. The disaster recovery plan is a component of the business continuity plan.
* **Disaster recovery planning**: The technical component of business continuity planning.
* **Disaster recovery team**: The main group of personnel in charge of the recovery effort.

## Purpose

This disaster recovery plan mitigates the risk of system and service unavailability by providing written-response solutions for the prompt and effective continuation or resumption of mission-critical services in the event of a disaster.

The purpose of this plan is to establish a process to relocate critical systems on substitute hardware at a geographically dispersed site in a timely, well-orchestrated manner.

In addition, this plan has a preventive component that fulfills Presidential Decision Directive 63 on Critical Infrastructure Protection (see 63 Fed. Reg. 41804 (Aug. 5, 1998)), which requires federal agencies to identify mission-critical infrastructure components and develop a plan to protect them.

It is important to note that this disaster recovery plan is a component of business continuity.

## Applicability

This disaster recovery plan applies to facility-level disruptions. A *facility-level disruption* is an event that renders a facility inoperable. This catastrophic scenario requires the availability of information technology resources to restore services at the alternate site in [location].

This plan applies to the continuity, recovery, and reconstitution of the [court name] housed at [location] and not to the specific business functions performed by the various units within the court. The business functions are the responsibility of the executive management at each division(s), which develop and execute business continuity and continuity of operations plans, as well as business recovery plans.

## Scope

This disaster recovery plan focuses on the recovery and continued operation of system components that support mission-critical systems and mission-essential services in the event of a disaster.

For the purposes of this plan, a *disaster* is a major incident that seriously disrupts or is expected to disrupt operations for 24 hours or more and requires:

* the reassignment of personnel to disaster recovery activities;
* the use of additional vendor/contractor support to accomplish recovery requirements; and/or
* the acquisition of special funding to support equipment replacement and other recovery-related costs that are outside the scope of normal day-to-day operations.

If the level of effort required to accomplish these requirements falls within the scope of a disaster as defined above, then a disaster declaration should be issued, and disaster recovery plan processes and procedures should be initiated. If the level of effort required does not, then the [court IT unit] should conduct the recovery actions as part of day-to-day operations.

## Disaster Recovery Plan Phases

This disaster recovery plan establishes action steps and clear lines of responsibility for recovery efforts. The plan consists of the following phases:

* **Site evacuation.** If necessary, the disaster recovery manager (DR Manager) will order the evacuation of the [court facility] data center and turn over the control of the equipment within the facility to [alternate facility].
* **Notification and activation phase.** In this phase, members of the disaster recovery team (DR Team) are notified and the DR Manager is notified to activate the team.
* **Assessment and reporting phas.** DR Team members report to the scene, evaluate conditions, and develop a formal recommendation for the DR Manager on whether to declare a disaster.
* **Strategy review and declaration phase.** This phase includes procedures for finalizing strategies and recovery actions and for declaring a disaster.
* **Post-declaration activation and administrative phase.** This phase provides procedures for notifying personnel, offsite storage retrieval, travel, and personnel scheduling. It also provides a form for documenting personnel locations and requesting travel arrangements.
* **Continuity of services and initial recovery phase.** If directed by the DR Manager, the DR Team will take action to quickly recover and continue providing the [court name] data center housed at [court facility] services to the extent allowed by conditions and, if necessary, at a degraded level until the restoration of normal operations. If conditions warrant, the DR Team will relocate and recover the [court name] data center housed at [court facility] operations at the alternate site in [location].
* **Full recovery and reconstitution of normal operations phase.** As conditions stabilize, the DR Team will take action to reestablish the [court name] data center housed at [location] operations to the [alternate location] facility. Depending on the damage that occurred, [court entity] will repair facilities, repair damaged equipment, return platforms to operation, reload applications, re-initiate network connectivity, and restore normal computer operations and associated procedures. If the site is not salvageable, an alternate site will be selected and reconstructed to a level equivalent to that of the original site.
* **Return phase.** This phase includes instructions for salvage and media reclamation activities as well as site restoration.
* **Preparedness phase.**  This phase includes guidelines for updating the plan, testing the plan, and validating information within the plan (e.g., contact names, vendor names, and plan currency).

## Assumptions

* The disruption disables only the [primary facility name] site; the [secondary site name] is unaffected.
* Offsite storage locations for critical backup files and information are intact and accessible.
* The recovery is performed in accordance with the procedures that have been set forth within this disaster recovery plan.
* A sufficient number of qualified personnel are available to perform recovery responsibilities.
* Backups and rotation practices are performed as scheduled.
* The backup and recovery strategies are performed as implemented and tested.
* Entities external to the company, such as customers, vendors, government agencies, and others, are reasonably cooperative during the recovery period.

# Disaster Recovery Approach

The [court name] disaster recovery approach provides a [describe model here].

# Communications Plan

The key to the successful implementation of this disaster recovery plan is overcoming the technical hurdles to reestablishing production systems at the [primary court hosting facility]. However, to coordinate within any business continuity plan, proper communication throughout the execution is critical.

* **E-mail.** E-mail will be one of the primary communication methods due to the speed of transmission and the ability to disseminate information to a large audience quickly. However, because e‑mail is dependent on hardware and network functionality, this medium may not be available during a declared disaster.
* **One-on-one phone call.** At times, immediate acknowledgment of the communication or interactive decision making between individuals is required. In those situations, voice calls are preferred.
* **Conference bridge.** Upon the declaration of a disaster, a conference bridge for conference calls will be set up. This is the preferred method for facilitating quick, interactive, multi-party decisions.
* **Text message.** Text messaging is an alternative method for providing status reports or for quick, two-way communications between individuals.
* **Status line.** A status line provides a listen-only, updatable, recorded status message accessible by all stakeholders. This method is effective for secondary stakeholders who do not need continuous, up-to-the-minute status reports.

During a declared disaster, all communications will require an acknowledgment to ensure receipt of the information. Each communication should provide instructions for acknowledgment.

## Status Reporting

### Pre-Declaration

Depending on the nature of the disaster, before declaration there may be an executive conference call to discuss whether the event warrants a disaster declaration. An example scenario is if a nearby chemical spill required the evacuation of the data center. Since the duration of such an evacuation would be unknown, a conference call would be appropriate to discuss options available other than a declared disaster.

### Post-Declaration and Coordination

After a declaration, status reports will immediately commence. Within the first 24 hours, the [responsible court IT unit, e.g., service desk] will be the primary center for all communications. Immediately upon declaration, the Emergency Operations Center (see section 4.15) will open a conference bridge and it will remain open until the DR Manager requests the bridge be turned off.

The [responsible court IT unit] will begin contacting individuals as described in Appendix B.

Because of the dynamic nature of staffing, the [responsible court IT unit] will contact [appropriate court management and executive staff] within the [court name]. Anyone on the conference call can then request that other individuals be contacted to join the call.

After declaration, the DR Manager will announce a conference call for the first status meeting. This meeting should take place upon completion of notifying all key stakeholders and contacts, but no more than 3 hours after disaster declaration. The meeting will provide answers to the following questions:

* What is the extent of the disaster?
* What resources are incapacitated?
* Who is on the DR Team?
* What is the estimated arrival time of the restoration media, such as disk(s), replica appliance(s) or pulling down backup data from a remote or cloud location at [alternate facility name]?
* What are the status reporting expectations during the interval between this call and arrival onsite?

### Post-Declaration and Onsite Execution

As soon as the DR Manager arrives onsite (where “onsite” may be in the form of establishing a conference call line), he or she will send status reports minimally every 4 hours via e‑mail and text message, or as required or requested. In addition to the scheduled status reports, the disaster recovery plan requires reporting the completion of certain milestones.

The DR Manager will hold a conference call 6 hours after the recovery efforts have begun to discuss the progress made and any issues. During this call, the time of the next conference call will be determined.

Other status reporting mechanisms may be used as deemed appropriate throughout the declaration.

### Post-Disaster

To declare the end of a disaster, the DR Manager will establish a conference call to communicate to the DR Team the end of the disaster.

# Disaster Recovery Team POSITIONS AND ASSIGNED ROLES AND RESPONSIBILITIES

Appendix I contains a worksheet listing the names of individuals in each of the roles described below. (Note that a team member may take on more than one role, just as more than one team member may be required to execute a single role.)

## Disaster Recovery Manager

When a disaster or disaster drill condition is declared, the DR Manager will be the focal point for all disaster recovery activities. The primary responsibility of the DR Manager is to ensure the successful execution of the disaster recovery plan. To be successful in that task, the DR Manager will be the focal point for all communications.

Throughout the year, the DR Manager will also be responsible for maintaining the disaster recovery plan.

## Account Manager

During a declaration, the Account Manager will be a primary stakeholder for all communications. This role will be an escalation point for all parties. The Account Manager will work closely with the DR Manager to ensure clear and accurate communications with the [Court Name] Executive Management. The Account Manager will also mediate decision making between [designated entities].

## Executive Management—[Court Name]

During a declaration, the [court name] Executive Management Team will be a co-primary stakeholder for all communications.

## Executive Management—[External DR Provider Name]

During a declaration, the [external DR provider] Executive Management Team will be a primary stakeholder for all communications. Depending on the severity and nature of the disaster, the Executive Management Team will play an integral role in communications between [designated parties].

## Backup Administrator

During a declaration, the Backup Administrator will be responsible for assisting with rebuilding the environment at the [alternate facility name] facility and executing the procedure to restore the systems from the backup media.

Throughout the year, the Backup Administrator will be responsible for maintaining backup hardware, backup applications and backup schedules and strategies, including the backup and data restore processes.

## Storage Administrator

During a declaration, the Storage Administrator will be responsible for assisting with rebuilding the environment at the [alternate facility name] facility and executing the procedure to restore the systems from the production [backup data source].

Throughout the year, the Storage Administrator will be responsible for maintaining the storage area network replication and restore process.

## Network Administrator

During a declaration, the Network Administrator will be responsible for ensuring connectivity to all necessary resources. This will include all tasks required to ensure network communications between the [alternate facility name] site and the end users. In the case of multiple network administrators, the primary responsibility for connectivity lies with the company designated as owning network functions.

Throughout the year, the Network Administrator will be responsible for maintaining the network restore process.

## Network Software Support

When a disaster or disaster drill condition is declared, the Network Software Support Analyst will work with the Network Administrator to implement changes necessary to accommodate the recovered systems’ connectivity to the [court name] environment. They will monitor and work to resolve any issues that may arise during the recovery period.

## Unix Administrator

When a disaster or disaster drill condition is declared, the Unix Administrator will be responsible for the operational restoration of all Unix platform servers. The Unix Administrator will work closely with the Backup Administrator to ensure the proper restoration of data at the right time. In addition, the Unix Administrator will be responsible for the hardware verification.

Throughout the year, the Unix Administrator will be responsible for maintaining the Unix system restore process.

## Windows Administrator

When a disaster or disaster drill condition is declared, the Windows Administrator will be responsible for the operational restoration of all Intel platform servers. The Windows Administrator will work closely with the Backup Administrator to ensure the proper restoration of the data at the right time. In addition, the Windows Administrator will be responsible for the hardware verification.

Throughout the year, the Windows Administrator will be responsible for maintaining the Windows system restore process.

## Applications Software Support

When a disaster or disaster drill condition is declared, the Applications Software Support Analyst will work closely with the Backup Administrator to ensure the proper restoration of the data at the right time. They will monitor and work to resolve any issues that may arise during the recovery period.

## Database Support

When a disaster or disaster drill condition is declared, the Database Support Analyst will work with the Applications Software Support Analyst to implement changes necessary to accommodate the recovered systems connectivity to the [court name]. They will monitor and work to resolve any issues that may arise during the recovery period.

## Middleware Support

When a disaster or disaster drill condition is declared, the Middleware Support Analyst will work with the Applications Software Support Analyst to implement changes necessary to accommodate the recovered systems’ connectivity to the [court name]. They will monitor and work to resolve any issues that may arise during the recovery period.

## Service Desk

During a declaration, the [responsible court IT entity, e.g., service desk] will play a pivotal role in communications for the first 24 hours of the declaration. The [responsible court IT entity] will be the first point of contact by anyone working on the disaster recovery plan. The [responsible court IT entity] will then execute a communications plan to notify all parties involved and to set up the initial conference call. In addition, working with the DR Manager, the [responsible court IT entity] will be the central repository for all incoming information and will have all of the following readily available:

* Status of the declaration event
* List of incapacitated assets
* Status of team formation
* Travel plans for all traveling team members

## Emergency Operations Center

The Emergency Operations Center is the location identified for the assembly of the DR Team immediately following the declaration of a disaster. The DR Team will manage and coordinate recovery and reconstitution activities from this location. It is also where the DR Team will meet, whether in person or through a communications medium, to report the status of their actions.

The Emergency Operations Center will be located in the [location name], if feasible. If an alternative location is chosen, the DR Team will clearly communicate that location to all invested parties.

## Training, Testing, and Exercising the Disaster Recovery Team

New DR Team members will learn the disaster recovery processes and procedures by virtue of trainings and knowledge transfer exercises. The DR Manager will provide members with up-to-date copies of this disaster recovery plan. The DR Manager will also periodically test DR Team members on aspects of the disaster recovery plan policies, processes, and procedures that are unique to system operations and essential to recovery and reconstitution. The DR Manager will conduct annual formal tests and exercises of the team. A disaster recovery plan evaluation form will be completed by a designated DR Team member following each test or exercise, and the DR Manager will use the information to make any necessary modifications to refine plan processes and procedures.

# Disaster Recovery Plan

[Document the steps needed to complete the recovery of the primary hosting facility to an alternate location]

## Site Evacuation

### Evacuation Procedure

## Notification and Activation Phase

### Notification Procedures

### Establish Crisis Management Center

### Incoming Telephone Call Procedures

### Alert External Service Provider(s)

### Activate Conference Bridge

### Notify Help Desk

### Notify Alternate Hosting Facility(s)

### Alert Offsite Data Vaulting Facility

### [Continue as needed]

## Assessment and Reporting Phase

### Damage Assessment Phase

#### Facility/site damage

#### Office and storage areas

#### Network capabilities

#### Platform damage and operability

#### Application status

#### Database status

#### Forms locations

### DR Team Report Recommendations to the DR Manager

## Strategy Review and Declarations Phase

### Review Recovery Strategies

### Information Technology Strategy

### Criteria

### Declaration

## Post-Declaration Activation and Administrative Phase

### Activation Decision

### Personnel Activation and Notification Procedures

#### Brief team members

#### Track and schedule personnel

#### Arrange travel and transportation

### Administrative Procedures

#### Ensure court policy

#### Ensure employee well**-**being

#### Monitor and report recovery process

#### Act as advisor or liaison for recovery teams

#### Maintain recovery-related record keeping

#### Documentation of administrative procedures

### Tape Shipping Methodology

#### Retrieve offsite storage tapes and bins

### Put Vendors on Notice

## Continuity of Services and Initial Recovery Phase

### Recovery Phase

## Return Phase

### Return to Production Site

#### Oversee site restoration

#### Interim or primary site restoration activities

#### Site restoration checklist

### Approach for Plan Deactivation

#### Post-disaster DR Team brief

#### DR Team deactivation

### Preparedness Phase

#### Maintain preparedness

##### Maintain current recovery preparedness

##### Review and validate requirements and strategies

# Disaster Recovery Plan Testing

## Objectives

## Scheduling

## Success Criteria

## Noncontributing Factors

## Environmental Change Coordination

# Personnel Activation and Notification Procedures; Telephone Log

# Call Lists

# Applications Technical Recovery Plans

# AppENDIXES

## Appendix B: [contact list]

## Appendix I: [worksheet—DR Team Positions]

1. The definitions in this section are adapted from the glossary provided by *Disaster Recovery Journal* at [*www.drj.com/resources/tools/glossary-2.html*](https://www.drj.com/resources/tools/glossary-2.html) (as of May 17, 2017) and used with permission. [↑](#footnote-ref-2)