# State of California

**California Department of Technology**

**Office of Information Security**

**Technology Recovery Program Certification**

# SIMM 5325-B

**January 2018**

**REVISION HISTORY**

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| **REVISION** | **DATE OF RELEASE** | **OWNER** | **SUMMARY OF CHANGES** |
| **Initial Release** | **November 2009** | **Office of Information Security and Privacy Protection** |  |
| **Minor Update** | **September 2013** | **California Information Security Office (CISO)** | **SIMM number change, change “agency” to “state entity”, change “disaster recovery” to “technology recovery”, and change references to other related SIMM documents. Update links to CalOES and the Executive Order.** |
| **Minor Update** | **August 2015** | **California Information Security Office (CISO)** | **Changed reference to “remediation plan” to Plan of****Action and Milestone (POAM).** |
| **Minor Update** | **January 2018** | **Office of Information Security (OIS)** | **Office name/address change; Removal of biennial submission option** |

Office of Information Security

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| **DATE:** |
| **TO:** Office of Information Security, California Department of Technology Attn: Security Compliance ReportingP.O. Box 1810, Mail Stop Y-01 Rancho Cordova, CA 95741 |
| **FROM:** |
| Org Code – As identified in the Name of State Entity [Uniform Codes Manual](http://www.dof.ca.gov/accounting/policies_and_procedures/Uniform_Codes_Manual/Organization_Codes/) |  |
| **SUBJECT: Technology Recovery Program Certification** |
| I, the undersigned, hereby certify that I am the Secretary/Director (*or equivalent head of the state entity*) or the Secretary/Director’s designee for the above referenced state entity. I certify as follows (*select one of the three options below*):[ ]  My state entity is in full compliance with the Technology Recovery Management Program requirements set forth in State Policy, [State Administrative Manual (SAM) Section 5325](http://www.documents.dgs.ca.gov/sam/SamPrint/new/sam_master/sam_master_File/chap5300/5325.pdf). As required in [SAM 5330.2](http://www.documents.dgs.ca.gov/sam/SamPrint/new/sam_master/sam_master_File/chap5300/5330.2.pdf), I submit the attached Technology Recovery Plan (TRP) which (*select one)*:[ ]  Follows the State Information Management Manual (SIMM 5325-A) format.[ ]  Does NOT follow the SIMM 5325-A format, but we have included the required cross reference sheet (attached).[ ]  My state entity is NOT in full compliance with the Technology Recovery Management Program requirements, but has a comprehensive plan to achieve full compliance by [insert date in MM/DD/YYYY format]. [ ]  I understand and accept the risk associated with the gaps in our current program, and we have attached a Plan of Action and Milestones (SIMM 5305-C) that identifies the non-compliant components along with timelines indicating when our state entity will meet these requirements.[ ]  My state entity does not have any mission critical business processes or systems that require Information Technology support or system recovery; therefore a Technology Recovery Management Program or TRP is not required.**NOTE: The TRP typically contains confidential information which must be protected. As such, delivery must be performed in a secure manner.** |
| Attached is additional explanation or comments as needed. For additional information about this submission please contact: |
|  |   |  |
| Name | Telephone Number  |  E-mail |
| Printed Name of Entity Head or Designee |  Signature of Entity Head or Designee  | Date |

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| **Required elements to be included in an State Entity Technology Recovery Plan** | **Page Number** | **Issues/Comments** |
| **1** | **Minimum TRP Requirements** |
| 1.0 | State Entity Administrative Information |
|  | 1.1 Executive summary for structure of plan |  |  |
|  | 1.2 State entity mission, include organization charts, managerial and technical environment |  |  |
|  | 1.3 List state entities that are included in the recovery plan |  |  |
|  | 1.4 Communication Strategy |  |  |
|  | 1.5 List state entities that provide services required in the recovery plan (i.e., SCO, DGS, OTech) |  |  |
| 2.0 | Critical Business Functions/Applications |
|  | 2.1 Description of Critical Business Functions |  |  |
|  | 2.2 List of Critical Business Functions |  |  |
|  | 2.3 Approach used to determine recovery priorities |  |  |
| 3.0 | Recovery Strategy |
|  | 3.1 Description of plan to be implemented based on severity |  |  |
|  | 3.2 Description of recovery strategies |  |  |
|  | 3.3 Alternate recovery site |  |  |
| 4.0 | Backup and Offsite Storage |
|  | 4.1 Backup and retention schedules and procedures |  |  |
|  | 4.2 Detailed procedures (hardware, software, backup and retention schedules, off-site storage, contacts, authorized personnel for retrieval) |  |  |
| 5.0 | Technology Recovery Procedures |
|  | 5.1 Documented procedures for an orderly restoration |  |  |
|  | 5.2 Documented procedures for timely restoration (e.g. to meet maximum outage period) |  |  |

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| **Required elements to be included in an State Entity Technology Recovery Plan** | **Page Number** | **Issues/Comments** |
|  | 5.3 Step-by-step instructions for recovery teams |  |  |
| 6.0 | Data Center Services |
|  | 6.1 Data center used (and services) |  |  |
|  | 6.2 Interagency agreements, MOUs, contracts |  |  |
|  | 6.3 Procedures for special coordination |  |  |
| 7.0 | Resource Requirements |
|  | 7.1 Comprehensive list (equipment, space, telecommunications, data software); hard-copy references (forms/procedures); personnel required for recovery |  |  |
|  | 7.2 Identification of resources to be available for alternate site |  |  |
| 8.0 | Assignment of Responsibility |
|  | 8.1 Management and personnel assignments |  |  |
| 9.0 | Contact Information |
|  | 9.1 Personnel contact lists |  |  |
|  | 9.2 Vendor, other entities, and outside resources list |  |  |
| 10.0 | Testing |  |  |
|  | 10.1 Description of annual test |  |  |
| **2** | **Supplemental TRP Requirements**Required for state entities that do not have a [Continuity Plan](http://www.caloes.ca.gov/for-governments-tribal/plan-prepare/continuity-planning) as required by [Executive Order S-04-06](http://gov.ca.gov/news.php?id=558). |
| 1.0 | Damage Recognition and Assessment |
|  | 1.1 Emergency response |  |  |
|  | 1.2 Damage assessment |  |  |
| 2.0 | Mobilization of Personnel |
|  | 2.1 Detailed responsibilities of personnel and management |  |  |
| 3.0 | Primary Site Restoration and Relocation |
|  | 3.1 Detailed procedures after recovery process is complete |  |  |
| **3** | **Appendices** |
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