# 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 Reporting  P.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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