

**NORTH CAROLINA DEPARTMENT OF
INFORMATION TECHNOLOGY
FOR THE
DEPARTMENT OF TRANSPORTATION**

Disaster Recovery Assessment Outline & Overview

Security Specifications requires a Disaster Recovery Assessment (DRA) be completed. This document describes the DRA detailed process, what's being requested by whom, role and responsibilities the business and offerors have in this joint assessment.

NCDOT must, in advance, provide given application / system business requirements (stated in disaster recovery terminology), enabling offerors to complete the DRA using specific instruction how to do so in two separate and distinct spreadsheets.

1.0 DISASTER RECOVERY ASSESSMENT

1.1 BUSINESS CONTINUITY SPECIFICATIONS BACKGROUND

State agency owning teams are required to provide the following security risk assessment on their information systems using the State Information Security Manual (SISM) to enable an offeror's participation in a solicitation. Upon a declared disaster, and or other application / system outage, the application / system owner must provide, participate, acknowledge and or support the following assessment for use.

(*Disaster*: Unplanned entire data center outage, or another outage impacting given application/ suite of applications)

To comply, four (4) key metrics: ***Criticality, Maximum Tolerable Downtime (MTD), Recovery Time Objective (RTO), Recovery Point Objective (RPO)*** and a DR Checklist requirements per the following statute, policy & related controls.

G.S. §143B-1331 and G.S. §143B-1376 Business Continuity Planning
Contingency Planning Policy Document No. SCIO-SEC-306-00
SISM Controls - CP1, CP2, CP3, CP4, CP5, CP9, CP10
Risk Assessment Policy Document No. SCIO-SEC-314-00
SISM Controls - RA 1

The **DRA** is used by the Project Team which includes NCDOT, DIT, architectural design & project technical coordinator (if exists), business analyst, other subject matter experts, as required, and a DR Analyst to facilitate Disaster Recovery requirements gathering. NCDOT provides these requirements, which will support user requirements and architecture specifications, according to availability requirements.

The DR Program Management Office is available to be consulted for questions and further guidance and clarification. The DR Assessment is organized using an MS Excel file categorized by tabs including:

- Cover & Instruction
- Key Metrics Timeline
- Criticality
- Criticality Risk
- RTO evaluation
- RPO evaluation
- DR Checklist
- SISM Controls.

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1.2 BUSINESS CONTINUITY SPECIFICATIONS FOR OFFEROR

Offerors are required to provide the following security/risk solution using State Information Security Manual (SISM) controls, enabling participation in a solicitation.

The application / system owner has provided four (4) key metrics - **Criticality, Maximum Tolerable Downtime (MTD), Recovery Time Objective (RTO), Recovery Point Objective (RPO)**. The DR Checklist detail is for use upon a declared disaster and/or other application / system outage. (*Disaster*: Unplanned entire data center outage, or another outage impacting given application/suite of applications.)

Requirements per the following statute, policy & related controls:

- G.S. §143B-1331. Business Continuity Planning
- Contingency Planning Policy Document No. SCIO-SEC-306-00
- SISM Controls - CP2, DR Checklist and must provide a disaster recovery plan including the following items in the Disaster Recovery (DR) Assessment

To comply, offeror must complete the Disaster Recovery (DR) Assessment, based on the four (4) key metrics **Criticality, MTD, RTO, RPO** as specified for given application/ system within the solicitation(found within DRA Vendor Cover - Instruction tab). For example:

Disaster Recovery requirements are as follows for

[\[NCDOT DOH Traffic Systems Operations Unit's ABC System application\]](#)

Business Requirements in DR terminology

- Application / System Criticality level = Statewide Critical**
- Maximum Tolerable Downtime (MTD) = 24 hours**
- Recovery Time Objective (RTO) = 24 hours or less**
- Recovery Point Objective (RPO) = 8 hours**

These requirements will support user requirements and architecture specifications for availability. Offerors are required to complete the DRA form, specific to their proposal. The DR Assessment is organized using an MS Excel file categorized by tabs including:

- Cover & Instruction
- Key Metrics Timeline
- CP2 - Contingency Plan
- CP3 & 4 TT&E (Training and Awareness, Testing, Exercising)
- CP6 Contingency Plan Alternate Storage Site
- CP7 Contingency Plan Alternate Processing Site
- CP8 - Telecommunications Services
- CP9 Testing for Reliability/Integrity, and CP-10 Information System Recovery and Reconstitution
- DR Checklist.