Unemployment Insurance Program – IT Business Continuity Planning / Disaster Recovery

Vendor Questions and DEED Answers:

1. What platforms are included the UI IT Contingency / Disaster Recovery Plan?
   Answer: The following chart documents the Unemployment Insurance environment, including database, applications and interfaces.

Software	Version	Servers
Unemployment Insurance Servers		
All UI Production Servers		
Windows Operating System	Windows Server 2003, SP1	Standard or Enterprise
Symantec Antivirus	Version 10.1.5.5000	
Adobe	Version 8	
IE 6.0.3790.1830	with SP1	
IBM TSM Backup Agent	Version 5, Release 4, Level 0.4	
BelManage	Version 7.2n	
UI Websphere Application Servers	**UI Websphere Application Servers**	**UIPROD-APP1, 2, 3, 4, 5, 6, 7, 8,**
DB2 Connect	Version 8.1, Fixpack 14	**UIPROD-DM (Deployment Manager)**
Glub Tech Secure FTP Client	Version 2.1.1 [20041030]	
Unicenter Universal Job Management Agent	Version 3.1	
IBM Websphere Application Server	Version 6.0.2, Fixpack 25	
WinRAR	Version 3.71	
P8 Websphere Application Engine		**UIPROD-APP1, 2, 3, 4, 5, 6, 7, 8**
P8 AE 3.5.0 Win	Version 3.5.0 Win	
P8 AE 3.5.1	Version 3.5.1	
P8 AE 3.5.1-007	Version 3.5.1-007	
P8 AE 3.5.1-007.003	Version 3.5.1-007.003	
P8AE351-008 Package	Version 351-008 Package	'BuildName' content='per185.077'
P8PEClient-3.5.2-002-Win	Version 3.5.2-002-Win	PE Client
Hibernate	Version 2.1.6	
IBM Java	Version 1.4.2	
Struts	Version 1.1	
P8 Process Engine		**UIPROD-FNP1, 2 (Windows Cluster)**
P8 PE 3.5.2	Version 3.5.2	(QUAD CORE SERVERS)
P8 PE 3.5.2-002	Version 3.5.2-002	buildLine=pui185.012
P8 Content Engine (in order)		**UIPROD-FNC1, 2 (Windows Cluster)**
P8 CE 3.5.2	Version 3.5.2	(QUAD CORE SERVERS)
P8 CE 3.5.2-001	Version 3.5.2-001	P8 -vkl195.022 source int1(BUILD23) 7/7/2006
P8 SQL Server		**UIPROD-SQL1, 2 (Windows Cluster)**
		(QUAD CORE SERVERS)
MS SQL 2000	SQL 2000 with SP 3a	

Rightfax		**UIPROD-FAX1**
RightFax FileNet OEM Int'l Version 9	Version 9	
RightFax Patches SP2 HFP3	SP2 HFP3	
CE Client Connectivity 3.5.2-002	Version 3.5.2-002	
Capture		**Capture Scanning PCs**
Capture 5.0 5.0.1 plust HFP 12	Version 5.0.1 with HFP 12	
Capture Kofax Adrenalin 4.0 Release 5	Version 4.0, Release 5	
UI FTP Servers		**UIPROD-FTP1, 2**
GlobalScape Secure FTP Server	Version 3.3.0 Build 01.04.2007.1	
Glub Tech Secure FTP Client	Version 2.1.1 [20041030]	
Unicenter Universal Job Management Agent	Version 3.1	
WinSCP	Version 4.1.6 Build 412	
UI Web Servers		**UIPROD-WEB1, 2, 3, 4, UITAWWEB1, 2**
Microsoft IIS	Version 6.0	
IBM Websphere IIS Plugin	Version 6.0.2, Fixpack 25	
UI Websphere MQ Servers		**UIPROD-MQ1, 2**
IBM Websphere MQ	Version 6	
Java Developer Kit	Version 1.4.2_13	
UI Reporting Servers		**UIPROD-RPT1**
Business Objects XI, Release 2	Version 11.5.8.826	
DB2 Connect	Version 8.1, Fixpack 14	
UI Group1 Servers		**UIPROD-GRP1-1**
Pitney Bowes Group 1 Software	Version 5.5.00	
UI Domain Controllers		**UIPROD-LDAP1, 2,**
Jxplorer	Version 3.2	(QUAD CORE SERVERS)
UI Certificate Authority Server		**UIPRODCA1**
Windows CA Server (Single Tier)	Version 5.5.00	
Telephony at Work Servers		
All TAW Servers		
Windows Operating System	Windows 2003, SP1	Standard Edition
Symantec Antivirus	Version 10.1.5.5000	
Adobe	Version 8	
IE 6.0.3790.1830	with SP1	
Veritas Backup Agent	Version 10.0	
BelManage	Version 7.2n	

TAW Veritas Backup Server		**UITIPTWSQL1**
Veritas Backup Exec	Version 10.0	
Microsoft SQL 2000	Version 8.0	
TAW SQL Server		**UITWSQL1**
Microsoft SQL 2000	Version 8.0	
TAW Application Servers		**UITIPTW7, UITIPTW8**
Network Manager	Version 7.1.7.52	
TAW SIP Redirect Servers		**UITIPTW26, UITIPTW27**
Network Manager	Version 7.1.7.52	
TAW Call Center Servers		**UITIPTW6, UITIPTW25, UITIPTW32**
Network Manager	Version 7.1.7.52	
TAW Conference Server		**UITIPTW29**
Network Manager	Version 7.1.7.52	
TAW File Server		**UITIPTW9**
Network Manager	Version 7.1.7.52	
TAW Web/Reporting Server		**UITIPTW10, UITIPTW17, UITIPTW19**
Weblogic	Version 7.1.7.52	
JRE	Version 1.4.2_11	
J2SE RTE	Version 1.4.2_11	
J2SE RTE	Version 5.0_11	

Environments
Production
Acceptance
Development (developer workstations)

Database
The UI database is housed at and managed by the Office of Enterprise Technology in Saint Paul, MN.
Hardware: IBM Model Z9
Operating System: z/OS version 1.9
Database Management Systems/Data Storage: DB2 z/OS version 8.1, VSAM
Tables: over 500

UI Application
Application Type: OLTP, Batch, Distributed
Total lines of code: ~2,500,000 in 300 JAVA programs
Total SQL calls: ~5000
Middleware/Gateways used: DB2 Connect/JDBC/ODBC
Source Application Architecture: J2EE 1.3 Application

Application Interfaces

ICON	via	SOAP
DHS	via	SOAP
FileNet	via	SOAP
Pitney Bowes	via	SOAP

2. What applications are included the UI IT Contingency / Disaster Recovery Plan?

   Answer: The Unemployment Insurance system (see #1)

3. Are the primary issues that need to be addressed with this SOW focused on minor or major gaps in the current BCP/DR Plan or that one needs to be created from a current minimal/inadequate plan? If primarily existing gaps to recovery requirements, are the gaps primarily focused on business process gaps or technology recovery gaps or major gaps in both?

   Answer: The SOW asks the vendor to create a Business Continuity / Disaster Recovery Plan following NIST standards.

4. Has a contingency planning policy statement been created by the agency/department head/staff?. Does this statement include the high probability, high impact critical events that should be included in scope of a business continuity planning?

   Answer: No, no policy statement exists.

5. Is there an Emergency Contingency Management Team identified and associated processes documented and currently in place to manage any type of critical situation? If so, does this team meet on a regular basis for updates and is the notification process automated?

   Answer: DEED does have an Emergency Contingency Management Team. Associated processes for ANY type of critical situation are not necessarily documented. Selected vendor will be provided any current processes if needed.

6. Has a business impact analysis (BIA) been performed or available? How recently and is an updated BIA expected to be in scope? If so, what is the readiness level of key stakeholders to perform a BIA: high, medium or low?

   Answer: A BIA is available, but updates to the BIA ARE NOT in scope for this SOW.

7. Does the BIA identify layers of business processes and the individual criticality of those sub-processes? Is RTO & RPO identified for each process? How many levels of RTO/RPO criticality are defined across all processes(1, 4, 6, 10, more)?

   Answer: Yes to the first 2 questions. BIA results will be made available to the selected vendor.

8. Does the BIA identify layers of technology components/sub-components to the business process sub-processes? How many levels of RTO/RPO criticality are defined across all components/sub-components (1, 4, 6, 10, more)?

   Answer: Yes, by application. The business has identified and prioritized business processes. Vendor will be responsible for identifying the technology/infrastructure necessary to recover the process.

9. Have (any) preventive controls for critical processes been identified or implemented?

   Answer: No.

10. Does the BIA identify critical processing alternate workarounds or is all existing production processing technology assumed to be available for recovery processing?

    Answer: No to both parts of this question.

11. Have business process recovery strategies been developed and/or implemented, at a high level or in detail? If so, how recently and will they be available to us?

    Answer: No formal strategies have been documented. Any ideas DEED has about the formal strategy will be discussed with the vendor.

12. Are business process recovery vendor agreements currently in place or is it in scope for these to be developed or enhanced to meet recovery requirements?

    Answer: No vendor agreements are in place. Vendor will be expected to provide recommendations based on their experience as part of this project.

13. Are key partners already identified or will a matrix of key partners and key contacts need to be developed?

    Answer: Matrix will need to be developed.

14. Are key partners and key contacts communication information readily available from a centralized source or will this communication matrix need to be created by reaching out to individuals identified?

    Answer: No. This will need to be developed.

15. Are key business processing resources identified or will they need to be identified as part of this effort?

    Answer: They will need to be identified as part of this effort.

16. Will key business processing resources be available as needed?

    Answer: Yes. DEED will work closely with the vendor to ensure resources as made available.

17. Has an IT recovery/contingency plan been developed or implemented, partially or fully? If so, has the IT recovery plan been tested recently and will results, gaps and gap closure plans available to us?

    Answer: No. This needs to be developed.

18. Does the IT recovery plan meet recovery objectives or is technology recovery gap analysis or gap closure required/in-scope? How many levels of IT RTO/RPO criticality are defined across all technology components/sub-components (1, 4, 6, 10, more)?

    Answer: This needs to be developed and verified.

19. Are the IT recovery critical components spread out amongst numerous technology partners or can key technology contacts be centralized with one or two IT Leaders?

    Answer: No, contacts cannot be centralized.

20. Are IT vendor agreements for recovery currently in place or is it in scope for these to be developed or enhanced to meet recovery requirements?

    Answer: IT vendor agreements are not in place and should be part of this effort.

21. Is the technology supporting the business processes mapped to the business processes and documented as such?

    Answer: Yes.

22. Are all technology component dependencies upon each other identified and mapped to their primary business process?

    Answer: No. This needs to be fleshed out as part of this effort.

23. Are key technology support resources identified or will they need to be identified as part of this effort?

    Answer: No, they need to be identified.

24. Will key IT resources be available as needed?

    Answer: Based on the vendor work plan, DEED will make every effort to provide resources when needed.

25. Are there existing Business Continuity Plan and Disaster Recovery Plan maintenance processes developed with regularly scheduled update requirements? Is there a specific owner identified and tasked/ with maintaining these plans?

    Answer: No. DEED does not have a BCP/DR maintenance process developed or assigned to a resource.

26. Do BCP or DR plan maintenance processes need to be developed or enhanced?

    Answer: DEED expects part of the BCP/DR plan would address plans for on-going maintenance.

27. Does scope include training of appropriate stakeholders and support resources? If so, how many resources are estimated to be trained?

    Answer: If vendor feels training is required, please include in your proposal. However, it is expected plans for BCP/DR should be created to provide quick and clear direction in the event personnel unfamiliar with the plan or the systems are called on to performs recovery operations.

28. Are the current Applications in scope, documented and known? (this includes):
    - Current business impact analysis/business interruption analysis completed? Last one done – date?
    - Current conceptual diagram/process flows documented? Last one done – date?
    - Current physical hardware/software documented - all applications in scope(network, storage, server, technologies, OS, runtime environments, integration, database, reporting systems) ? Last one done – date?

    Answer: Some of this information is available and will be provided to the selected vendor.

29. How many applications that are within UIP are included? Please count any integrated applications.

    Answer: See #1

30. Does DEED currently have any recovery plans for UIP?

    Answer: No.

31. The deliverable as identified in the RFP appears to conform directly to chapter 4 of the standard. Is the development of items contained in Step 3 within scope of this engagement, i.e. BIA, recovery strategies, testing and maintenance is not in scope of this SOW?

    Answer: The SOW deliverables are based on Chapter 4 of the standard. Your proposal should address the core of IT contingency planning as outlined in Chapter 4 of NIST Contingency Planning Guide for Information Technology Systems.

32. Are recovery solutions applicable to Step 5 in place:
    Are IT system or system components startup / recovery procedures documented?

    Answer: Not to our satisfaction.

    Are DEED application startup / recovery procedures documented?

    Answer: Not to our satisfaction.

33. Does the DEED application run within MN State IT datacenters?

    Answer: The UI application runs in the DEED data center with the database being housed and managed in the OET data center.

34. Does DEED leverage the MN State IT recovery capability or is there any existing recovery capability?

    Answer: This is yet to be determined.