

## **Disaster Recovery Plan**

Reciprocal arrangement between

(Client X)  
and  
(Client X)

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## Overview

### 1a. General principles

(Client 1) has agreed with (Client 2) to have a reciprocal arrangement for disaster recovery. A consideration of \$ has been paid in respect of this agreement.

In these notes the following terms are used:

- **Host**, to indicate the company that is providing facilities;
- **Client**, to indicate the company using these facilities; and
- **Service**, to indicate all facilities within the provision.

In essence, the plan allows for the following:

- Provision of (**Specify Location**) -based office facilities for up to (**Number of staff people**)\_staff for a (**Specify length of time**) period.
- Provision of access to (**Specify kind of system, for example: Broking system**) and PC facilities for (**Specify number of staff members**) staff.
- Provision of Word Processing for slip and cover note production.
- Periodic testing and checking of the plan.
- Access to facilities in (**Specify location**) including (**Specify client 2**).

It is understood that:

- Neither firm should make a profit or a loss from this arrangement.
- Both parties will agree to confidentiality of data, clients, and business practices.
- Neither party will seek compensation from the other should any problems or difficulties arise from the service provided.
- This plan will be shown to (**Client 1's**) supplier and, although their approval of such will not be sought, their comments, the subject of the agreement of (**Client 1**) and (**Client 2**), will be incorporated into the plan. Refer to Appendix F for (**Specify supplier**) agreement to the Plan.
- Each company will ensure that all items to be used in these plans will be maintained and kept in good working order.
- This agreement can only be amended or terminated with at least (**Specify length of time**) written notice unless otherwise mutually agreed.
- There will be no limit on the number of times the service can be used by either party, providing that adequate cause is shown.
- The agreement will run for (**Specify duration of agreement**) at a time, to be renewable if both parties agree.
- The insurers of each company will be made aware of these plans.
- The client will endeavor to have its own office facilities available at the earliest opportunity.
- If a service is provided for more than (**Specify a number of days**) elapsed days (including weekends), then the host will be compensated by the client by payment of agreed fees.
- The host may need to provide facilities over weekends and holidays.
- The client will advise all relevant parties of these temporary arrangements (i.e., business clients, etc.) including the new address, phone number(s) and fax number(s) and will also advise reversion when the service terminates.
- Any data tapes, letter-headed stationery, or other items at the reciprocal parties office will be stored in a secure, lockable place.
- The plan will be capable of being implemented within two hours of a requirement arising within normal office hours. All effort will be made to ensure rapid assistance out of normal office hours.

## 1b. Definition of a disaster

As a result of fire, water, or other hazard (physical or otherwise) there is damage or shutdown that results in the company being unable to have either access to its computer services or premises for the immediate future.

## 1c. Period of service

A service period of not more than **(Specify maximum agreed upon duration)** from the initial date of the disaster will be provided by the host free of charge.

Any period beyond **(Specify maximum agreed upon duration)** is to be agreed by both parties. At this stage agreed charges will be levied as:

- **(\$ figure)** per day or part thereof for provision of the service.
- Cost of materials and other facilities used by the client.

The agreement will be renewable each year if both parties agree, at a date no later than expiry of the current contract.

## Prerequisites

In order for disaster recovery to be effective it is agreed that:

- An adequate backup of data should be lodged off-site. This will include Broking system data and (if required) **(Specify types of documents and data)**.
- Sufficient free space will be set aside on computer systems to handle any loaded data.
- Insurers for both companies will be made fully aware of these arrangements.
- A supply of up-to-date stationery will be stored at each other's site for printing.
- A list of main staff contacts will be distributed, including home numbers and addresses.
- A current signed agreement to this plan is in force.
- The host will only provide services if its own office is not subject to disruption at the same time as the client's. This is intended purely to cover both parties in the instance where one or more events disrupt both offices simultaneously.

## Alignment

### 3a. Specify kind of system, for example: Broking system

It is vital that the **(Specify kind of system, for example: Broking system)** is kept aligned in order that each system is transferable. It is recognized that total alignment is not always possible, so the plan specifies maximum misalignment timescales. Both parties agree to adhere to these timescales and to inform the other of any planned upgrades.

Bearing in mind that the **(Specify kind of system, for example: Broking system)** has many options available within it and that the **(Specify kind of system, for example: Broking system)** programs will be used from a common source, there may be some discrepancies on options used by the participants, for instance, **(Specify things that might be out of alignment within the specified system, for example: GUI applications, Ledger Archive or Check Production)**. It is not therefore guaranteed that a fully equivalent system can be provided at the host site.

Provision of the **(Specify kind of system, for example: Broking system)** will be a minimum of, but not limited to:

(Specify anything that should be maintained about the specified system, for example:

- Accounts processing
- Quote processing
- Risk Processing
- Reporting
- Document Archiving if disk space permits)

If required and agreed at the time of need, provision may be made for **(Specify kind of system, for example: Broking system)** facilities.

All system administration will be performed by the hosting company, with assistance from the client as and when required. However, it should be recognized that administration duties by the client may be limited by the overriding need to resurrect a fully working site of its own.

It is the responsibility of the client to ensure that the correct **(Specify kind of system, for example: Broking system)** data backup is restored to the host's **(List the kind of system that data should be restored to, for example: Unix system)**. It is the responsibility of the host to perform the restore.

Notwithstanding the above, it is agreed that: Releases of the **(Specify kind of system, for example: Broking system)** will be aligned so that no more than seven days elapse between installation of like releases at each site.

This requires advance warning to the companies of planned releases. At least **(Specify time period, for example: two weeks)** written notice will be provided.

If one party accepts a prerelease program/fix they should notify the other in order that alignment can be maintained, if such is required.

If misalignment does occur, it is agreed that the oldest release will be upgraded to the newer release, whether this relates to the client or the host.

### 3b. Specific data and applications

(Specify whether or not alignment of specific data and applications should be aligned and what kind of data and applications, for example: LAN / Server / PC software) will be required. It is not part of the plan that these must be consistent across each site other than the following (release numbers are not significant):

(List products that do not have to be replicated across each site, for example:

- NT Server will be used
- Microsoft software will be used)

However, it is agreed that each site will use the following products (version/service pack is not vital):

(List products that should be available at each site, for example:

- Microsoft Word
- Microsoft Excel
- Microsoft Access)

The following will not be made available as a matter of course, although arrangements can be made as and when a need arises (and if possible):

(List products or hardware that does not have to be made available, for example:

- Monarch
- FaxMaker)

Access to **(Client 2)** and interactive applications will be made available either by **(Specify connection type, for example: dial-up or leased line)** connection.

### 3c. Backup facilities

It is agreed that the following will be kept in alignment:

(Specify what exactly should be kept in alignment:

- UNIX backup facility
- LAN backup facility (Arcserve) or (Backup Exec)

- Sufficient free UNIX disk space to handle the full the Broking system data set of the client)

## Provisions

The plan provides for provision of a service by the host to the client within two hours of notification that such is required by the client. Obviously not all facilities may be in place within this timeframe.

The service will only be provided if the office of the client is not capable of being used to provide an equivalent service. In reality this means that the client's office is considered closed by flood, fire, or substantial damage of some nature, whether to the office itself or to the nearby buildings, thus denying access to the office. In addition, the service will be provided if the client's office or surrounding area is closed by the authorities.

### 4a. Office space

Access to the office space will be arranged by the hosting company. The names of the staff requiring access will be agreed upon beforehand, and security staff will be informed of such by the host.

If any passes are required (for access or elevators) these will be arranged by the host.

Directions to the location of the hosting client's office will be provided to required staff as part of these plans.

Unless otherwise agreed, the host will ensure access to the service facilities within normal office hours (**Specify working hours**) on normal working days. Access at weekends, holidays and other days can be agreed on an "as-needed" basis.

It is important to note that the service provision allows office space for (**Specify number of staff members as in item 1A**) staff. However, various other staff will need general access to these six "residents" in order to carry out normal business. The client will endeavor to ensure that access is limited to necessary visits and the host will endeavor to provide access.

#### 4a-a. Work space

Workspace will be made available for up to (**Specify number of staff members as in item 1A**) people. This is deemed to be (**Specify number of staff members as in item 1A**) concurrent attendees. It should be assumed that (**Specify number of staff members as in item 1A**) attendees will be in the office at any one time, so (**Specify number of staff members as in item 1A**) desks and associated facilities will be made available. If more space is available, then this may be offered. Office space assigned will be set aside solely for this use during the required period.

Therefore the following will be made available:

- Minimum of two dedicated desks
- Minimum of two dedicated chairs

These will be located, if at all possible, in the Boardrooms of both (**Client 1**) and (**Client 2**), although it is accepted that this may not always be possible.

#### 4a-b. Meeting space

No room or space for meetings will be made available other than at the desks provided. However, if a room can be made available, it will be.

#### 4a-c. Storage space

One dedicated "tall" size lockable cabinet will be made available for storage of folders, papers, equipment, or whatever is required. The key to this will be passed to the client at the outset and returned on conclusion of these services.

As part of the plan, stationery and possibly other items will be stored at the partner's office. It is agreed that any such items will be stored in a secure, lockable location.

#### **4a-d. Safe**

Facilities for storing cash, checkbooks, or other valuable items will be made available to the client as available.

#### **4b. Office equipment**

It is essential that the host provide facilities to enable the client to perform its normal business as much as is possible. Therefore it is agreed to provide:

**(Specify number of phone lines)** dedicated telephones and **(Specify number of fax machines)** fax machines.

##### **4b-a. Telephone**

If possible, the phones assigned should have a direct dial facility. If this is not possible, then the phone will be used via the host's switchboard. The client will reimburse the host for phone call costs.

##### **4b-b. Fax**

Fax facilities will be shared. Each party will ensure that the other is made aware of any large fax receipts/issues in order that the host's requirements are not impinged.

##### **4b-c. E-mail**

**(Specify whether or not e-mail and/or Internet access will be specifically available to the staff working on site in the host facilities. If so, define whether or not the mail will be received into the host's corporate mailbox or via Internet e-mail services.)**

##### **4b-d. Mail, courier, and messenger services**

The necessary services will be provided by the host, for which the client will reimburse the cost.

##### **4b-e. Stationery, photocopying, and other facilities**

The host will provide (at cost) sufficient paper, pens, copying facilities, etc. to the client to enable it to carry out its business. Any unused items should be returned once the service terminates. Refreshment and restroom facilities will be indicated to the client, as will fire drill requirements.

#### **4c. Computer equipment**

All computer equipment will be maintained by the host. It is the responsibility of the host to ensure that computer equipment is made immediately available to the client.

##### **4c-a. PC**

**(Specify number of PCs)** PCs capable of running the applications defined herein will be provided. These will be set up by the host. The specification of the PC is immaterial providing it is considered usable by the client. Access to the host's LAN will be provided, and the client will be assigned logons and passwords by the host. All data stored by the client on the PC or LAN will be located in a folder specifically assigned for the client by the host. This simplifies reversion once the client returns to its own site.

##### **4c-b. Printer**

At least one printer will be made available on a shared basis. This will be a laser printer.

There will be no provision for production of client's stationery via Jarda cards (or similar). Therefore it is imperative that the client has sufficient preprinted stationery available, such as statements. It is likely that all printers on the LAN will be available for use, but the client should restrict its use to the allocated printer. One local printer will be made available for confidential printing.

#### **4c-c. Backups (initial data load)**

The client will provide the host with the **(Specify the name of the system that will have been backed up)** data backup to be loaded. It is the responsibility of the client to ensure that adequate backups are made in case of a disaster. **(Specify the back up media type)**.

The client will provide the host with the LAN (WP) data backup to be loaded. If required, slips, cover notes, and other Word produced documents may then be restored to the host's LAN in an area set aside to receive such. It is agreed that not all documents will be restored; rather, just those that are required within the period of the service. Therefore such documents should be downloaded on an as-required basis and not en-bloc.

#### **4c-d. Backups (within service provision)**

It is the responsibility of the host to ensure that daily backups (separate or combined with the host's) of the client's **(Specify platform, for example: Unix)**-based data occur.

No specific backup of PC-related items will occur, although this should occur under the normal daily LAN backup. If required, the client should back up such items to diskette and provide the diskettes themselves.

When the client is able to return to its own office, the host will provide the client with:

**(Specify required backup data, for example:**

- A backup of its Broking system data
- A backup of any data stored on the LAN
- A backup of any data stored on PCs.)

It is agreed that the following backup facilities will be used:

**(Specify backup facilities to be used, for example:**

- UNIX—Normal UNIX backup facility
- LAN data)

**(Specify backup media).**

#### **4c-e. Specify platform from which data should be backed up**

It is the responsibility of the host to set up and assign logons for the client's staff requiring access to the **(Specify system that requires the logons)**.

It is the responsibility of the client to ensure that the correct data has been loaded and that such is usable.

The host agrees to ensure that the system is made usable.

Should any software-related costs be incurred, they will be borne by the client.

#### **4c-f. Periodic processing**

End-days will be run against the host and client data. The client can decide if end-days should not be run against its data, if required. The precise time when end-day is run is at the discretion of the host.

No month-ends will be run on the client's data unless specifically agreed at the time. This includes year-ends. This is in order to avoid long processing and print runs, as well as potential system downtime in the event of month-end failure.

#### **4c-g. Broking system GUI applications**

There can be no guarantee that the **(Specify system)** GUI applications or other specialist parts of the **(Specify system)** package will be made available. The host may only be able to make available to the client those **(Specify system)** processing facilities which the host has available themselves.

## 4d. Specialist requirements

### 4d-a. Non-standard items

There will be no provision within the plan to provide access to specialist items/software such as, but not restricted to, the following:

- For CLIENT 1: TBA
- For CLIENT 2: TBA

It is the responsibility of each company to ensure cover for any items not forming part of the plan.

### 4d-b. Slips, cover notes, and other documents

It is the responsibility of each company to ensure that slips, cover notes, and other important documents are adequately stored and retrievable in the event of a disaster. This may involve data backups or paper copies. If data backups are available, the host will offer LAN space for restoring documents as and when such are required. It is important to note that not all documents will be restored (i.e., selected slips can be restored, but not each and every slip ever produced by the client).

New slips, cover notes, and other documents can be produced as part of the service provision.

Restored documents can, of course, be amended as required.

## 4e. Restrictions

If it is considered that the client is hindering the host's own processing or office procedures in any way, the client must change or stop such actions immediately, if requested to do so.

# Termination Procedure

## 5a. Of hosting service

Once the client has restored normal or adequate office facilities, it will be the responsibility of the host to revoke all or any of the system and office changes implemented. The host will warrant that the client's data will be removed from both LAN/PCs and UNIX not more than one week after the client residence ends, unless otherwise advised by the client.

The client will remove all files and other items from the host's site within 24 hours of its use of the office facilities terminating.

The host will advise the client of any expenses incurred within one month of the service being terminated. All costs incurred should be identified and each party should be advised of these costs as they occur to ensure that no unexpected costs arise after the event.

## 5b. Of the agreement

This agreement can only be cancelled by one of the following:

- **(Specify required time for written notice)** written notice being given by one company to the other.
- At annual renewal, in which case one month's notice should still be provided.
- If agreed between the two companies at any stage.

## Responsibilities

Responsibilities for the entirety of this plan rest with the following:

Client 2: \_\_\_\_\_

Client 1: \_\_\_\_\_

The Directors concerned are as follows:

Client 2: \_\_\_\_\_

Client 1: \_\_\_\_\_

## Testing the Plan

The plan will be tested, at most, twice a year and at least once a year. Dates will be agreed to no less than two weeks before the test date.

Testing will be restricted to the following:

- Loading of **(Specify system)** data to each other's system
- Ensuring that access to the **(Specify system)** system is possible for the client via LAN and **(Specify platform)** logons
- Loading of some sample **(Specify documents)** documents
- Testing that these **(Specify documents)** documents are accessible

It is not anticipated that testing of the following will occur, although the facilities will be checked for availability on an ad hoc basis, at most, twice a year and at least once a year:

- Telephones
- Fax
- Office space (including desks, chairs, etc)
- PC- or LAN-related items, other than gaining access to **(Specify system and documents)**
- Printing

## APPENDIX A

### Agreement to Disaster Recovery Plan

AGREEMENT TO  
**DISASTER RECOVERY PLAN**

Between

**Client 1**

And

**Client 2**

For **Client 1**

Name: \_\_\_\_\_

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

Dated: \_\_\_\_\_

For **Client 2**

Name: \_\_\_\_\_

Signed: \_\_\_\_\_

Title: \_\_\_\_\_

Dated: \_\_\_\_\_

## APPENDIX B

### Service Contacts

## Disaster Recovery Plan

### SERVICE CONTACTS

#### CLIENT 2

##### Phone:

Name	Title	Phone Number(s)	Address
	IT Manager		
	Accounts Manager		
	Director		

#### CLIENT 1

##### Phone:

Name	Title	Phone Number(s)	Address
	IT Manager		
	Technical Administrator		
	Director		

## APPENDIX C

Staff to be resident

## Disaster Recovery Plan

### STAFF TO BE RESIDENT

#### CLIENT 2

Phone:

Name	Title	Phone Number(s)	Address

#### CLIENT 1

Phone:

Name	Title	Phone Number(s)	Address

Note: The names provided above are subject to change.

## APPENDIX D

**Staff needing to visit other site**

## Disaster Recovery Plan

### STAFF NEEDING TO VISIT OTHER SITE

#### CLIENT 2

Phone:

Name	Title	Phone Number(s)	Address

#### CLIENT 1

Phone:

Name	Title	Phone Number(s)	Address

## APPENDIX E

### Allocation of resources

## Disaster Recovery Plan

### Allocation of resources at Client 2

Item	Description	Comments
Desks		
Phones		
Fax		
PCs		
Printers		
LAN Logon		
Other platform Logons		

## APPENDIX F

### Software House Acceptance

## APPENDIX G

### Items Stored 'Off-Site'

