



Disaster Recovery, Business Continuity & Other Lessons Learned

FTA Annual Conference
Nashville, Tennessee
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September 11-A Different Type of Disaster

- Previous Planning

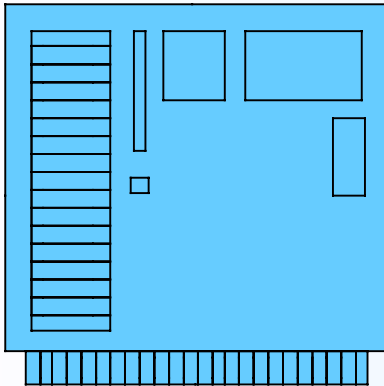
- Mainframe Computer System Recovery

- Hot Site Services Contract

- Provides out of town location to reestablish IBM and Unisys mainframes
 - Reconnects our networks
 - Tested twice a year

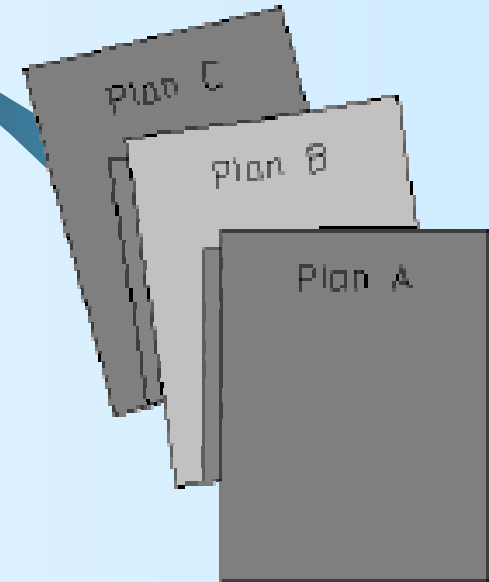
- Off Site Data Storage

- Critical application programs and operating systems
 - Backup tapes of key mainframe systems data
 - Backup tapes of return images



September 11-A Different Type of Disaster

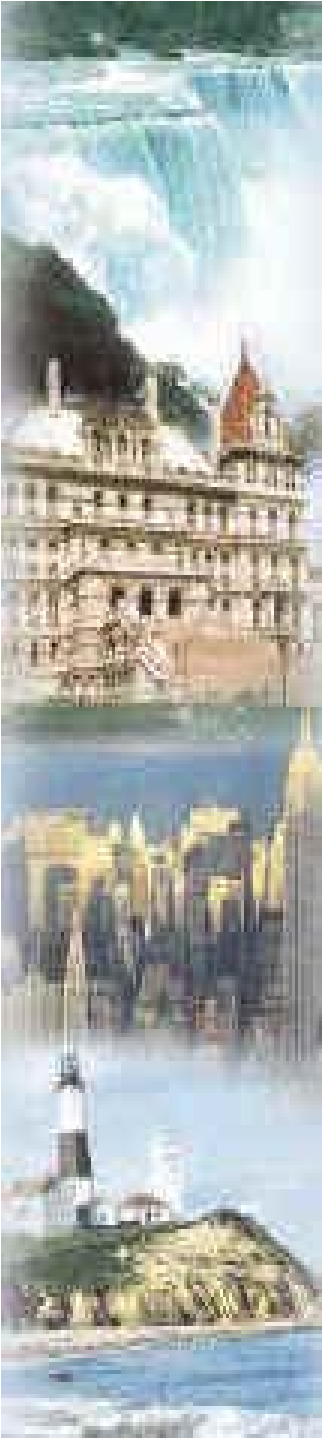
- Other Plans We Had
 - Y2K computer systems recovery plans
 - Y2K business recovery plans
 - Call Center distributed to multiple locations
 - Employee contact database



Gartner: "The 11 September 2001 terrorist attacks are different in their human and enterprise operational impact from previous disasters."

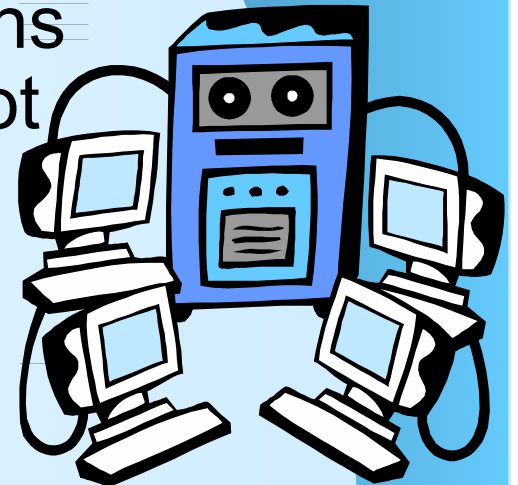
September 11-A Different Type of Disaster

- What was different:
 - We never expected to have to deal with loss of life for Department employees
 - Loss of large numbers of original business records & the taxpayers lost their records as well
 - Delays in mail
 - Chase Water St. location
 - Anthrax scares
 - Magnitude of the event
 - Call Center operations
 - Donations tracking
 - WTC Relief Fund
 - Tax Relief
 - Revenue Impacts



Things We Discovered

- We had no backup plans for works in progress related to our vital business records
- We had no centralized process for backing up our field offices servers
- While we had business continuity plans for Y2K, they were specific to Y2K, not generic



What We're Doing About it

- Business Continuity Planning
- Business Records Imaging Project
- Distributed Systems Disaster Recovery/Business Continuity Study

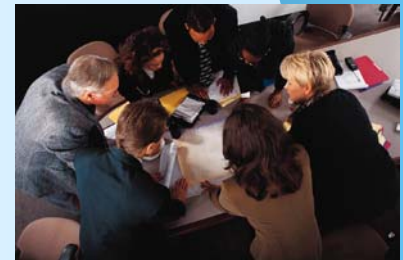


Business Continuity Planning

- Must be supported throughout the agency, not just an IT plan.
- Determine what the “core businesses” are
 - **Vision**
 - An agency that provides a fair system of tax administration, is accessible and responsive to taxpayers, and contributes to a favorable economic climate.
 - **Mission**
 - Collect tax revenue and provide associated services in support of government services in New York State.
 - **Key Service Areas**
 - Processing Services - Facilitating voluntary compliance; receiving and recording tax returns, documents and remittances; issuing refunds; and distributing funds to State and local governments.
 - Compliance/Enforcement Services - Identifying and addressing errors, non-filers, and civil and criminal violators of the tax system. This is done through audit, investigation, collection, and dispute resolution activities.
- Identify what resources (IT, people, special equipment or tools) are needed to provide business continuity, disaster recovery, business recovery and business resumption plans.

Steps to Develop a Business Contingency Plan

- **Establish a Business Contingency Planning Team** (executive mgt)
- **Identify “core businesses”** (Line of Business Managers and executive mgt)
- **Develop Business Continuity, Disaster Recovery, Business Recovery and Business Resumption Plans** (Business units, IT and Business Contingency Planning Team)



Steps to Develop a Business Contingency Plan

- Identify key staff responsible for each plan with alternates, establish a contact database (sheet) and phone tree (Human Resources and Business Contingency Planning Team)
- Establish alternate decision-making hierarchy (Executive Staff)

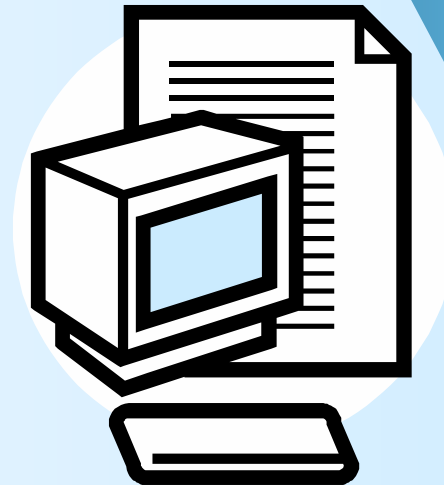


Steps to Develop a Business Contingency Plan

- Establish a personnel awareness program (Human Resources and Contingency Planning Team)
- Determine alternate methods of communication (Contingency Planning Team)
 - Set up a toll free number that employees can call in on for updates
- Test your plan once or twice a year
- Long Term, build Business Contingency Planning into all of your systems, operations and facility planning

Business Records Imaging Project

- Image vital business records as they are received at the district office
- Associate the image with an electronic case folder



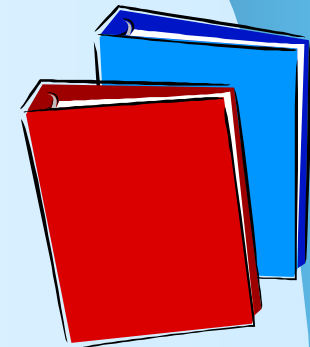
Business Records Imaging Project

- Back up and store the image/electronic case folder centrally
- Reduce dependence on paper tax returns
 - Image all returns received during data capture process
 - Provide workflow tools to integrate, retrieve and use images more effectively in the work units



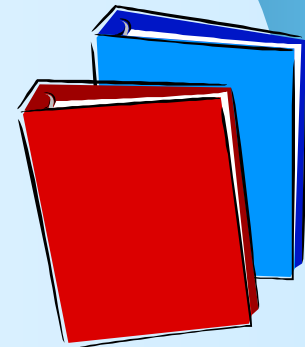
Distributed Systems Disaster Recovery/Business Continuity Study

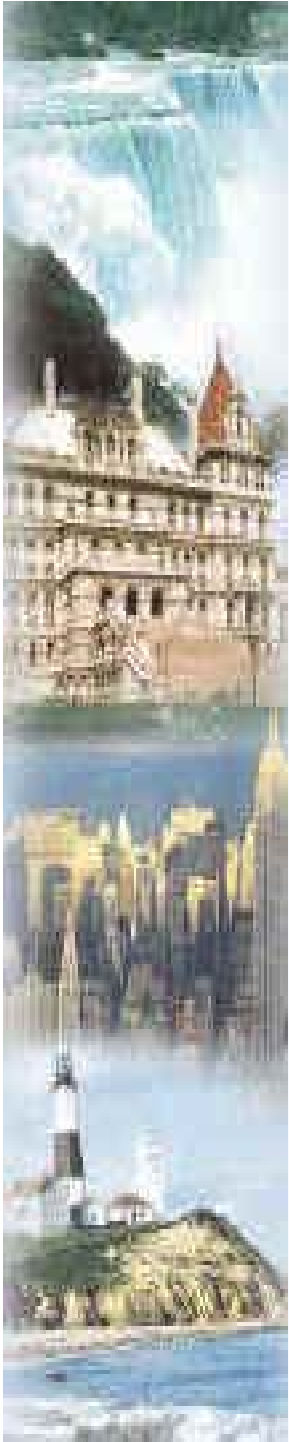
- Hired an outside consultant to do a Disaster Recovery/Business Continuity study
- Identified the financial impact to the State (our core business is collecting tax revenue) of 20 day outages for critical processes

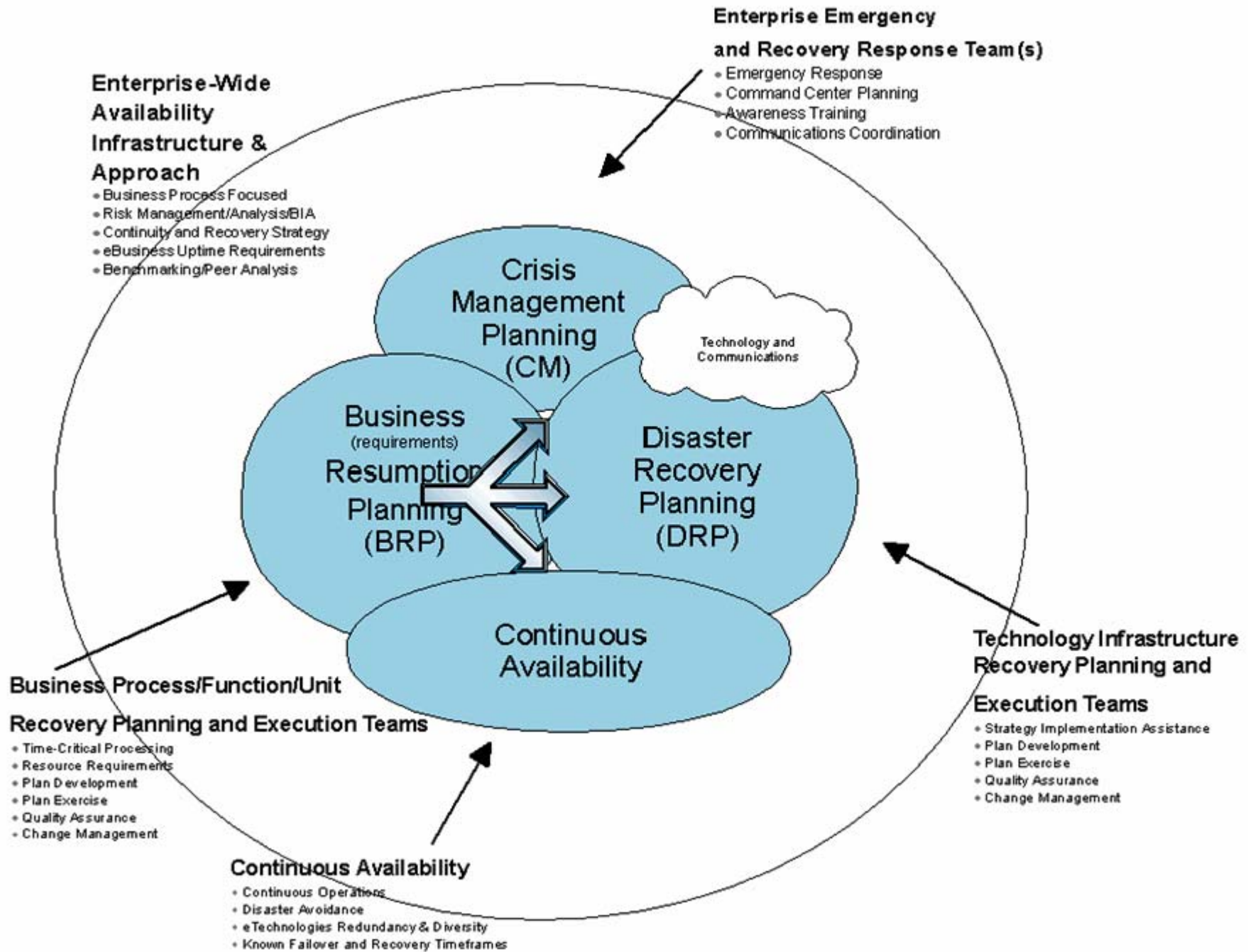


Distributed Systems Disaster Recovery/Business Continuity Study

- Developing a risk mitigation plan
 - Prioritizing critical components
 - Identifying options for mitigating risk of failure of those components
 - Identifying operational alternatives
 - Identifying funding sources









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**Questions?
What are you doing?**