|  |  |
| --- | --- |
| **Purpose:** | Describes the disaster recovery test activities to be performed and identifies the test items, the features to be tested, the testing tasks and who will do each task. |
| **Responsibility:** | The information system owner is responsible for preparing the Disaster Recovery Test Plan and completing the associated Test Evaluation Report. |
| **Instructions:** | Complete [Part A – Disaster Recovery Test Plan](#Part_A) before conducting any associated tests and submit it via e-mail for approval to the ITBC Team ([#OIT\_DR\_OPS](mailto:%23OIT_DR_OPS@sec.gov)).  Complete [Part B – Test Evaluation Report](#Part_B) after the disaster recovery test is conducted and submit it via e-mail to the ITBC Team ([#OIT\_DR\_OPS](mailto:%23OIT_DR_OPS@sec.gov)). |
| **Questions:** | Contact OIT’s business continuity coordinator for assistance with completing this form. |

| **Part A – Disaster Recovery Test Plan** | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Information System Name:** | | | |  | **Control #:** |  |
|  | MaxDS 2.0.0.1 | | | |  | **06-27-2021** |  |
|  |  | | | |  | *(T + MM-YY-DD)* |  |
|  | **Date and Time of Test:** | |  | **Location:** | | |  |
|  | 06-27-2021 | |  | Head Quarters (Remote) | | |  |
|  |  | |  |  | | |  |
|  | | **Participants:** Indicate the names of all individuals who will be participating in the test. For each participant, indicate if internal (e.g., SEC) or external (e.g., inter-agency, contractor, vendor). | | | | | |
| **Sharma, Anjali (Contractor) <SharmaAn@SEC.GOV>** | | | | | | | |
|  | | Testing Objectives: State the test objectives. Insert additional rows in this table as needed | | | | | |
|  | | * 1. Test the MaxDS home page visible to all users, verify the page is accessible. | | | | | |
|  | | * 1. Test the MaxDS home page visible to all users, verify the Build version # is displayed | | | | | |
|  | | * 1. Test the MaxDS page, verify the Login as non-admin user | | | | | |
|  | | * 1. Test the MaxDS page, verify TermRules | | | | | |
|  | | * 1. Test the MaxDS page, Check Process Term (single term) | | | | | |
|  | | * 1. Test the MaxDS page, verify the status of Processing term | | | | | |
|  | | Test Procedures: List each procedure you will perform to test your system and verify that it is fully functional. Insert additional rows in this table as needed. | | | | | |

|  |  |  |
| --- | --- | --- |
| **Step No** | **Description** | **Expected Result** |
|  | Launch the MaxDSURL [https://md-up-ldridap.ix.sec.gov:18081/#/login](https://md-up-ldridap.ix.sec.gov:18081/#/home)  in chrome browser | Verify that the MaxDS log in page is displayed |
|  | Verify the Build version # is displayed | Verify the Build # is displayed at the MaxDS page top left corner section. |
|  | 1. Navigate to MAXDS site <https://md-up-ldridap.ix.sec.gov:18081/#/home>  2. Enter a non-admin user ID as user name  3. Enter the password for the user  4. Click Login | MaxDS home page, user name is displayed on top left corner of the screen. |
|  | 1. Navigate to MAXDS site and login  2. After successful login, on the home page of the user, Verify term rules are populated on the left navigation | Verify term rules are populated on the left navigation |
|  | 1. Navigate to MAXDS site and login  2. Click on any term rule on the left navigation  3. Select Division->Sector, Industry and Filer Category  4. Click Process Now button | Verify that the process completed successfully message is displayed on the screen for the processed term after successful process.. |
|  | 1. Navigate to MAXDS site and login  2. Click on status link on the top navigation  3. Verify the term processed in Step3 above is successful and complete | Verify the term processed in Step5 above is successful and complete |
|  | 1. Navigate to New MAXDS site by clicking on New Version on top right corner of the screen | Verify that the MaxDS log in page is displayed |
|  | 1. Navigate to MAXDS site and login  2. After successful login, on the home page of the user, Verify term rules are populated on the left navigation | Verify term rules are populated on the left navigation |
|  | 1. Navigate to MAXDS site and login  2. Click on any term rule on the left navigation  3. Select Division->Sector, Industry and Filer Category  4. Click Process Now button | Verify that the process completed successfully message is displayed on the screen for the processed term after successful process.. |
|  | 1. Navigate to MAXDS site and login  2. Click on status link on the top navigation  3. Verify the term processed in Step3 above is successful and complete | Verify the term processed in Step5 above is successful and complete |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | Activity Completion: Place an “X” in the each box when the associated activity is completed. | | | | | | | |
|  | | |  |  | | | | | |
|  | | |  | Disaster Recovery Test Plan submitted via e-mail to the ITBC Team for approval. | | | | | |
|  | | |  |  | | | | | |
|  | | Individuals Preparing Report: | | | | | | | |
|  | Matthew Zhao | | | |  | Matthew Zhao (Contractor) <zhaoq@SEC.GOV> |  | 06.27.2020 | 1 |
|  | Signature(s) | | | |  | Name(s) |  | Date Prepared |  |
|  |  | | | |  |  |  |  |  |

| **Part B – Test Evaluation Report** | | | | | | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | **Date and Time of Test:** | | | | | | |  | **Location:** | | | | | |  |
|  | | 06.27.2021 10AM EST | | | | | | |  | Head Quarters (Remote) | | | | | |  |
|  | |  | | | | | | |  |  | | | | | |  |
|  | | | **Participants in Test:** Indicate the names of all individuals who participated in the test. For each participant, indicate if internal (e.g., SEC) or external (e.g., inter-agency, contractor, vendor). | | | | | | | | | | | | | |
| * Zhao, Qi (Contractor) <zhaoq@SEC.GOV> | | | | | | | | | | | | | | | | |
|  | | | **Test Objective Results:** Indicate if the objectives were met, not met or partially met. Insert additional rows in the table as needed. | | | | | | | | | | | | | |
| **Objective** | | | | | | | | | | **Met** | | | **Not Met** | **Partially Met** | |
| 1. Test the MaxDS home page visible to all users, verify the page is accessible. | | | | | | | | | | Yes | | |  |  | |
| 1. Test the MaxDS home page visible to all users, verify the Build version # is displayed | | | | | | | | | | Yes | | |  |  | |
| 1. Test the MaxDS page, verify the Login as non-admin user | | | | | | | | | | Yes | | |  |  | |
| 1. Test the MaxDS page, verify TermRules | | | | | | | | | | no | | |  |  | |
| 1. Test the MaxDS page, Check Process Term (single term) | | | | | | | | | | no | | |  |  | |
| 1. Test the MaxDS page, verify the status of Processing term | | | | | | | | | | no | | |  |  | |
|  | | | **Problems/issues Experienced:** For each objective that was “not met” or was “partially met,” indicate the reason why it was not fully achieved (i.e., insufficient training/preparation, equipment operation difficulties, etc.). Insert additional rows in the table as needed. | | | | | | | | | | | | | |
|  | | |  | | | | | | | | | | | | |  |
|  | | | **Objective #** | | | **Problems/Issue Experienced** | | | | | | | | | |  |
|  | | |  | | |  | | | | | | | | | |  |
|  | | |  | | |  | | | | | | | | | |  |
|  | | |  | | |  | | | | | | | | | |  |
|  | | |  | | | | | | | | | | | | |  |
|  | | | **Corrective Action:** For each objective “not met” or “partially met,” briefly describe deficiency requiring corrective action and mitigation. Insert additional rows in the table as needed. | | | | | | | | | | | | | |
|  | | |  | | | | | | | | | | | | |  |
|  | | | **Objective #** | | | **Corrective Action** | | | | | | | | | |  |
|  | | |  | | |  | | | | | | | | | |  |
|  | | |  | | |  | | | | | | | | | |  |
|  | | |  | | |  | | | | | | | | | |  |
|  | | |  | | | | | | | | | | | | |  |
|  | | | **Conclusions:** Provide comments, recommendations and other pertinent data. Insert additional rows in the table as needed. | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
|  | | | **Follow-up Activities:** Place an “X” in the box next to all that apply. | | | | | | | | | | | | | |
|  | | | |  |  | | | | | | | | | | | |
|  | | | |  | Identify deficiencies that require immediate action | | | | | | | | | | | |
|  | | | |  |  | | | | | | | | | | | |
|  | | | |  | Submit the [Test Evaluation Report](#Evaluation_Report) to the ITBC Team via e-mail | | | | | | | | | | | |
|  | | | |  |  | | | | | | | | | | | |
|  | | | |  | Revise DR, procedures and/or process documentation and submit to the ITBC Team via e-mail | | | | | | | | | | | |
|  | | | |  |  | | | | | | | | | | | |
|  | | | |  | Update the DRP and SOP where appropriate and submit updated documents to the ITBC Team via e-mail | | | | | | | | | | | |
|  | | | |  |
|  | | | |  |  | | | | | | | | | | | |
|  | | | |  | Update the DR Test Plan where appropriate and submit the updated plan to the ITBC Team via e-mail | | | | | | | | | | | |
|  | | | |  |  | | | | | | | | | | | |
|  | | | Individuals Preparing Repor**t:** | | | | | | | | | | | | | |
|  | | | Matthew Zhao | | | |  | Zhao, Qi (Contractor) <zhaoq@SEC.GOV> | | | |  | 08/30/2020 | | |  |
|  | | | **Signature(s)** | | | |  | **Name(s)** | | | |  | **Date Prepared** | | |  |
|  | | |  | | | |  |  | | | |  |  | | |  |