PERPUSTAKAAN UNIVERSITI MALAYA

k

Acm - 2049

INVC 8/12/00

DISASTER RECOVERY PLANNING: LOCAL AND REMOTE DATA BACKUP SYSTEM

This dissertation is submitted to The Faculty of Computer Science and Information Technology University of Malaya In partial fulfillment of the requirements for Master Degree of Computer Science

> By LOW CHIN SENG July 2000 Perpustakaan Universiti Malaya

Dimikrofiskan pada.	13.11.01
No. Mikrofis	15081
Jumlah Mikrofis	5
HAMSIAH BI	T. MUHAMAD ZAHARI IT REPROGRAFI DPUSTARAAN UTAMA VERSITI MALAYA

DECLARATION

I certify that this dissertation submitted for the degree of Masters in the result of my own research, except where otherwise acknowledges and that this dissertation (or any part of the same) has not been submitted for higher degree to any other university or institution.

Signed:

(Low Chin Seng)

Date: 14 July 2000

;

ACKNOWLEDGEMENT

l wish to express my sincere gratitude to Mr. Omar Zakaria for his guidance in supervising my research. His sympathetic advice and valuable suggestions are the source of encouragement throughout my project.

A million thanks and appreciation to Mr. Lim Sea Hing, Mr Lim Sea Ping and Miss Angie Ng from SEA Automation Sdn. Bhd. for they guidelines, helps and supports.

Special thanks to my entire course mates in University of Malaya especially those whom are majoring in Computer Networking for supporting me throughout this course.

To my parents and sister, thank you so much and I love you all forever.

Low Chin Seng Faculty of Computer Science and Information Technology Universiti Malaya Kuala Lumpur, Malaysia

iii

TABLE OF CONTENTS

С	ONTEN	ITS	PAGE		
Declaration			ii		
A	cknowle	dgement	iii		
Ta	able of C	Contents	iv		
Li	st of Fig	ures	xi		
Li	st of Ta	bles	xiii		
A	ostract		xiv		
1.	CHAI	TER 1 – INTRODUCTION	1		
	1.1.	Problem Statement	2		
	1.2.	Research Objectives	3		
	1.3.	Scopes of the Research	4		
	1.4.	Significance of the Research	4		
	1.5.	Methodology	5		
1.6. References		6			
	1.7.	Thesis Organization	6		
2.	CHAF	TER 2 – LITERATURE REVIEW			
	2.1.	Introduction	10		
	2.2.	Overview of Disaster Recovery Planning	11		
	2.2	1. Off-Site Storage	11		
	2.2	2. Backup Site	11		
	2.2	3. Users	11		
	2.2	4. The Need For Risk Management In Disaster Recovery Planning	12		
	2.3.	Strategies of Disaster Recovery	12		
	2.3	1. Remote Mirroring	12		
2.3.2. Disk Channel Duplexing 1					
	2.3.	3. Standby Database	13		
	2.3.	4. Standby Application	13		
	2.3.	5. Standby Operating System	13		

2.3.	Standby	/ Shared Machine	13
2.3.	7. Displac	ement	14
2.3.	8. Replace	ement	14
2.4.	Overview of Lo	ocal And Remote Data Backup System	15
2.4.	1. Data St	orage Devices	15
	2.4.1.1.	Magnetic Tape Storage	15
:	2.4.1.2.	Magneto-Optical Storage	15
:	2.4.1.3.	Magnetic Disk Drives	16
:	2.4.1.4.	Redundant Arrays Of Inexpensive Disks (RAID)	16
2.4.	2. Data Ba	ckup Strategies	18
:	2.4.2.1.	Backup Documentation, Testing And Schedules	18
. :	2.4.2.2.	Local Data Backup System	19
	2.4.2.2.1.	Workstation-Based Backup	20
	2.4.2.2.2.	File-Server-Based Backup	20
	2.4.2.2.3.	Dedicated Backup Server	20
	2.4.2.2.4.	Host-Based Backup	20
	2.4.2.2.5.	Comparison Of Local Data Backup Options	21
2	.4.2.3. F	Remote Data Backup System	21
	2.4.2.3.1.	Off Site Storage Vendor	22
	2.4.2.3.2.	Company Internal Off Site Storage	22
	2.4.2.3.3.	Backup over the WAN to the Main Server	22
	2.4.2.3.4.	Electronic Vaulting	22
	2.4.2.3.5.	Comparison Of Remote Data Backup Options	23
2.5. F	eview On File	Transfer Protocol	23
2.5.1	. Perspect	ive	23
2.5.2	FTP Mod	iel	24
2.5.3	. FTP Serv	vice Commands	25
2.5.4	FTP Rep	lies	27
2.6. S	ynthesis Of Lo	cal And Remote Data Backup System	29

-

v

3. CHAPTER 3 – THE NEED OF RISK MANAGEMENT IN DISASTER RECOVERY PLANNING

3.1.	Introdu	action	30
3.	.1.1.	The Network Computing System	30
3.	.1.2.	Definition of Distributed Computing Systems	31
3.	1.3.	Vulnerabilities in Distributed Computing Systems	31
3.2.	The No	eed Of Risk Management	33
3.	.2.1.	Risk Analysis	33
	3.2.1.1	Identification and Prioritization of Assets	34
	3.2	.1.1.1. Identification and Prioritization of Data	35
	3.2.1.2	Risk Identification	36
	3.2	1.2.1. Threats and Vulnerabilities	37
	3.2	1.2.2. Natural Disasters	37
	3.2	1.2.3. Deficiency on Network Management	38
	3.2.	1.2.4. Deficiency on System Maintenance	38
		3.2.1.2.4.1. Y2K Crisis	38
	3.2.	1.2.5. Network Security Threats	40
		3.2.1.2.5.1. Computer Virus Crisis	42
3.2	2.2.	Risk Assessment	43
	3.2.2.1.	Methodology of Risk Assessment	44
3.2	2.3.	Identification of Network System Requirements	45
	3.2.3.1.	Prevent Data Losses ,	45
	3.2.3.2.	Minimizing Network Downtime	45
	3.2.3.3.	Fault Tolerant System	46
	3.2.3.4.	Monitoring System	47

4. CHAPTER 4 – OBSERVATION AND DESIGN OF DATA BACKUP STRATEGY IN DISASTER RECOVERY PLANNING

4.1.	Introduction	48
4.2.	Observation On A Business Organization	48

4.2	2.1.	Network Architecture	49
4.2	2.2.	Backup Strategies	50
4.3.	Implem	entation Of Risk Analysis	50
4.3	3.1.	Identification And Prioritization Of Data Assets	50
4.3	3.2.	Risk Identification	52
	4.3.2.1.	Centralization Of Server Backup	52
	4.3.2.2.	Inadequate Separation Between Backups And Data Cent	ter52
	4.3.2.3.	Lack Of Automation Control	52
	4.3.2.4.	Bandwidth Limitation	53
	4.3.2.5.	Weak Security	53
4.4.	Design	of Local And Remote Data Backup System	53
	4.4.1.1.	Solution for the Risk in Centralization of Server Backup	55
	4.4.1	.1.1. Benefits Of Distributed Local Backup Stations	55
	4	.4.1.1.1.1. Better Network Performance	55
	4	.4.1.1.1.2. Increased Flexibility	55
	4	.4.1.1.1.3. Time Efficiency	56
	4.4.1.2.	Solution for The Risk of Inadequate Physical Separation	56
	4.4.1.3.	Solution for The Risk of Lack in Automation Control	56
	4.4.1.4.	Solution for The Risk of Bandwidth Limitation	57
	4.4.1.5.	Solution for The Risk of Weak Security	57
4.4.	.2. I	ssues Raised In System Designing	57
	4.4.2.1.	Remote Data Backup System	58
	4.4.2.2.	Benefits Of Remote Data Backup System	58
	4.4.2	2.1. Protect Against Region-Wide Disasters	58
	4.4.2	2.2. Eliminate Data Loss	58
	4.4.2	2.3. Recover Data Quickly	59
	4.4.2.3.	Remote Backup Versus Local Backup	59
	4.4.2.	3.1. Drawbacks Of Local Backup	60
	4.4.2.	3.2. Superiority Of Remote Backup	60

5. CHAPTER 5 – IMPLEMENTATION OF LOCAL AND REMOTE DATA BACKUP SYSTEM

5.1.	Introduction		61
5.2.	Requirement	ts Of System	61
5.3.	Local and Re	emote Data Backup System	62
5.3	.1. Loca	l Data Backup Module	62
5.3	.2. Rem	ote Data Backup And Restore Module	65
	5.3.2.1.	FTP Connection Setup Sub-Module	66
	5.3.2.2.	Remote Data Backup Sub-Module	68
	5.3.2.3.	Remote Data Restore Sub-Module	70
5.3	.3. Schee	duled And Incremental Backup Module	72
	5.3.3.1.	Scheduled Backup Sub-Module	72
	5.3.3.2.	Incremental Backup Sub-Module	73
5.3	.4. Log F	Files Module	74

6. CHAPTER 6 - TESTING AND RESULTS

6.1.	Introduction		78
6.2.	Purpose and	Hypothesis	78
6.2	2.1. Purpo	se	78
6.2	2.2. Нуро	thesis	78
6.3.	Testing		79
6.3	3.1. Testir	ig Venue	79
6.3	3.2. Testir	g Schedule and Participants	79
6.3	8.3. Proble	ems	80
6.3	.4. Procee	dures and Results	81
	6.3.4.1.	Local Data Backup Module	81
	6.3.4.1.1.	Procedures	81
	6.3.4.1.2.	Results	83
	6.3.4.2.	Remote Data Backup Module	85
	6.3.4.2.1.	Procedures	85

	6.3	.4.2.2.		Results	1	87
6	5.3.4.3		Remot	e Data Restore Module	٤	88
	6.3	.4.3.1.		Procedures	٤	88
	6.3	4.3.2.		Results	8	89
6	5.3.4.4.		Schedu	led Backup Module	9	91
	6.3.	4.4.1.		Procedures	ç	91
	6.3.	.4.4.2.		Results	9	92
6	5.3.4.5.		Increm	ental Backup Module	9	95
	6.3.	4.5.1.		Procedures	9	95
	6.3.	4.5.2.		Results	9	96
. E	Discuss	sion			9	97
6.4.1	. '	Evalua	tion		9	97
6.4.2		System	Streng	ths	9	97
6.4.3		System	Drawb	acks	9	8

7. CHAPTER 7 - CONCLUSION AND FUTURE ENHANCEMENT

6.4.

7.1.	7.1. Introduction 99				
7.2.	Achie	vements	100		
7.2	2.1.	Theoretical Knowledge in Disaster Recovery Planning and Risk			
		Management	100		
7.2	2.2.	Theoretical Knowledge in Network Management and Data Back	up		
		Strategies	101		
7.2	2.3.	Theoretical Knowledge in File Transfer Protocol	102		
7.2.4. Practical Kno		Practical Knowledge in Designing Data Backup Strategy	102		
7.2	2.5.	Practical Knowledge in Implementation of Local and Remote Da	ita		
		Backup System	103		
7.2	2.6.	Other Achievements	103		
7.3.	Future	Enhancement	103		
7.4.	7.4. Conclusion 10				

.

APPENDIX

Appendix: User Manual

.

х

105

109

LIST OF FIGURES

FIGURE

PAGE

Figure 1.1	Overall Thesis Process	9
Figure 3.1	Vulnerabilities Index Score from Comdisco's Survey[1]	32
Figure 3.2	Relative Tolerance to System Failure [10] p. 36	35
Figure 3.3	Risk is a function of likelihood of loss and expected	
	consequences of loss [23]	43
Figure 4.1	Network Architecture and Backup Devices that are	
	utilizing in a business organization	49
Figure 4.2	Proposed Local and Remote Data Backup System	
	and Architecture	54
Figure 5.1	Local Data Backup Module Flow Chart	64
Figure 5.2	State Diagram for FTP Commands and Replies Transaction	65
Figure 5.3	FTP Connection Setup Flow Chart	67
Figure 5.4	Remote Data Backup Sub-Module Flow Chart	68
Figure 5.5	Remote Data Restore Sub-Module Flow Chart	71
Figure 5.6	State Diagram for Scheduled Backup	72
Figure 5.7	State Diagram for Incremental Backup	74
Figure 5.8	Log Files Module Flow Chart	77
Figure 6.1	Local Files/Directories	82
Figure 6.2	Local Backup Destination	83

.

.

LIST OF FIGURES

FIGURE		PAGE
Figure 6.3	Local Backup Status Window	84
Figure 6.4	Connection Setup	85
Figure 6.5	Remote Backup Destination	86
Figure 6.6	Remote Backup Status Window	87
Figure 6.7	Restoration	89
Figure 6.8	Data Restore Status Window	90
Figure 6.9	Scheduled Backup	91
Figure 6.10	Incremental Backup	95
Figure 6.11	Incremental Backup Status Window	96

.

;

.

LIST OF TABLES

TABLE		PAGE
Table 2.1	Identification of Decision Variables	14
Table 2.2	Levels of Redundancy in RAID Technology [9]	17
Table 2.3	Backup Cycles [9]	19
Table 2.4	Advantages and Disadvantages of various backup	
	locations [9]	21
Table 2.5	Benefits and Drawbacks of Off-Site Storage	
	Options [10]	23
Table 2.6	List of FTP Service Commands [43]	26
Table 2.7	FTP Reply Codes 1 [43]	28
Table 2.8	FTP Reply Codes 2 [43]	28
Table 2.9	Example of Some Typical FTR Replies Messages [43]	28
Table 3.1	Spectrum of Tolerance [10]	34
Table 3.2	Analysis on prioritization of various kinds of data assets	36
Table 3.3	Possible Y2K Crisis Vulnerabilities in various	
	Systems and Organizations [17]	39
Table 3.4	Typical threats associated with the applications in	
	network security requirement [14] p. 31	41
Table 3.5	A Sample Risk Prioritization	44
Table 4.1	Identification and Prioritization of Data Assets	51
Table 5.1	Recommended Requirement for Local and Remote	
	Backup System	61
Table 5.2	Implemented Internet Transfer Control Properties [48]	66
Table 5.3	Settings of File Attributes Argument [49]	73
Table 5.4	Descriptions for each Parameter in ShellExecute	
	Function [49]	76
Table 6.1	Host Name and IP Address of Client and Servers in	
	Testing Session	81
Table 6.2	Timetable for Scheduled Backup Module	92

ABSTRACT

This dissertation studies about the disaster recovery planning focusing on data backup and which there is a data recovery capability in the event of a sudden, severe and unplanned disruption in an organization with network computing environment. The planning must ensure continuity of all the critical data and functions with minimum disruption and recover quickly during such calamity. The elements of a comprehensive and complete disaster recovery planning must include risk analysis, business impact analysis in order to recommend a suitable disaster recovery strategy. Hence, Local and Remote Data Backup System is the designed strategy based on the literature review and practical observation and planning in a business organization. This system was developed using Microsoft Visual Basic 6.0 under Windows 98 platform. Two major areas in data backup strategy were implemented. They were local data backup, which store data in a dedicated server in the local area network (LAN), and remote data backup, which store data in a remote off-site server. Data was backed up to or restore from the remote server over the Internet using File Transfer Protocol (FTP). Moreover, three kinds of additional backup functions were supplemented. They were scheduled backup, incremental backup and files documentation on backup progress. Scheduled backup allowed the local and remote backup executed in an automated manner with the time and days specified. Whilst, incremental backup enabled the system whenever data have been changed since the last backup and files documentation provided a systematic view on the time, date and transferred data for every backup process. The usability testing was conducted for two sessions, one in the business organization and the other in the Master Laboratory in the Faculty of Science and Information Technology. Functionality of all modules in the developed system had been tested successfully. Besides, this involved an artificial disaster where deletion of data file was performed. The testing result the deleted data file had been restored successfully. This indicated that the Local and Remote Data Backup System achieved the disaster recovery objectives to prevent data loss in network environment