



Continuity of Operations Planning (COOP)

“Business Continuity and Disaster Recovery”

State of Delaware



CONTINUITY OF OPERATIONS PLANNING
EXECUTIVE SUMMARY
Business Continuity and Disaster Recovery

Providing critical life saving and support services to the citizens of Delaware in the case of an event or emergency is the primary responsibility of state government. Unfortunately there have been too many examples recently of governments' lack of preparedness, both nationally and internationally. The ability to plan for, practice, and execute the steps required to recover from a business service interruption, should one occur, is a critical responsibility for State government.

Delaware's Department of Technology & Information (DTI) has recognized the importance of meeting this responsibility and has stepped up to the challenge of making certain that all state organizations have the training and resources needed to prepare their own Business Continuity and Disaster Recovery plans. DTI has named this enterprise-wide project – COOP.

COOP stands for Continuity of Operations. It prepares for the continuance of government services in the case of any interruptive event. These events range from short term delays in operating procedures, such as software or electrical failures, to major events such as terrorist strikes or fires.

COOP focuses on creating plans to keep essential services flowing. This includes identifying what resources are needed for recovery and the order in which the business units will be recovered. COOP is nearly interchangeable with the term Business Continuity Planning (associated with planning at the private industry sector).

Section C

Business Problem and Solution

The provisioning of critical services to the citizens of the State of Delaware is the primary responsibility of State Government. The ability to provide those services can be severely interrupted by disasters brought on by the forces of nature or by the actions of mankind; either by accident or design. Therefore, the ability to plan for, practice, and execute the steps required to recover from a business service interruption, should one occur, is a critical responsibility for State government. Delaware's Department of Technology & Information (DTI) recognized the importance of meeting this responsibility.

To address these key strategies, the DTI Business Continuity / Disaster Recovery Team began research on the current state of Continuity of Operations Planning (COOP) within the State of Delaware. Working sessions were conducted with selected State organizations to evaluate their COOP Plans. The BC/DR Team discovered the majority of organization's COOP Plans or Business Continuity Plans are done through a manual process. Through the same organizations and across the State, documentation has been found to be inconsistent or non-existent due to the fact that the information was being gathered without using a single framework or repository. In addition, the team identified that the State has been either DR (Disaster Recovery) or ER (Emergency Response) focused rather than BC (Business Continuity) focused. Crisis Management plans exist (if organizations have them); however not integrated throughout manual planning systems. Disparate plans are throughout the State of Delaware. Of the few plans that do exist in state organizations, the majority of those plans are out of date.

DTI's Disaster Recovery Coordinator submitted a proposal to the Chief Information Officer to begin a "Pilot" project to implement effective COOP Plans within the Department of Technology & Information. After careful review, Strohl Systems software suite was selected. Strohl Systems' software suite addresses the entire COOP Planning processes required to implement COOP Plans from initiation to completion (BIA Module [Business Impact Analysis System], LDRPS [Living Disaster Recover Planning System], and Notifind Module [Automatic Notification System]). The product(s) selected are highly recommended and used nationally as the preferred solution for Business Continuity / Disaster Recovery planning. Additionally, all Delaware's vital records for organizations are kept off-site in a secured location to ensure deployment availability when needed.

To begin the project, individuals were selected from each Team within DTI. Each Team started with completing a Risk Assessment. From this information, data was entered into the BIA Module and business processes were identified which would need to be recovered in the event of a disaster as well as rankings applied to each. Delaware chose a qualitative ranking in which the most critical citizen services and all support functions for those services were identified. Additionally, included in the data from the BIAs were dependencies to support those

critical citizen services identified such as essential personnel, vendors, assets, alternate facilities, technology, and vital records.

In the second phase of the project, the Business Continuity/Disaster Recovery Team assesses the information gathered in the BIA. The team provides information to the stakeholders about strategy development and areas that need attention due to resource gaps or overlaps. Upon agreement on the strategies that the organization will use for recovery of essential services, plan building commences.

In the third phase of the project, all information supplied in the BIA Surveys was imported into the LDRPS Module. It is this module that utilizes the decisions made in the strategy development sessions and helps prioritize the recovery order of processes and/or systems. The DTI BC/DR Team will utilize this information to aide in the delegation orders to recover systems for the DTI organization. The Notifind Module is also completed during this phase. An import from the ERP System (PHRST) is used to populate this module with personnel information, an import from the Office of Management & Budget (OMB) provides all State facilities, and finally an import from the DFMS (Delaware Financial Management System) provides all State vendors and their vital information.

The last phase of the project was conducting a “Table-Top Exercise” using the information supplied in all modules. It is through this exercise, DTI was able to identify missing information or key components to ensure an effective COOP Plan. The “disaster scenario” and goals were identified for the exercise. The exercise utilized a random selection of events such as a fire, plane crash and various other scenarios to test out the information in the COOP plans. The tabletop exercise proved to be one of the most useful part of the COOP program as it facilitated discussions between groups regarding assumptions that had not previously been identified. All findings from the exercise were incorporated into the plans at the conclusion of the event.

Section D

Improvement in Government Operations

DTI is implementing COOP Plans statewide. In October, 2007, the Continuity of Operations Planning Program for the state of Delaware was approved. The program will encompass all State organizations, Schools and Higher Education departments, in a phased approach. DTI follows strict project management processes and ensures that all aspect of the COOP program follow those same processes. Project Management begins with each organization, developing a Project Charter, Schedule and Timeline for completion. DTI also has a robust Organizational Change Management Program which works closely with the Program Manager during all phases of the project.

As organizations enter the phases of BIA Activities, LDRPS Activities and Notifind, training is required. Liaisons from the DTI BC/DR Team are providing this training. clearance. It is expected the average organization will take approximately one (1) year to complete this project. DTI anticipates it will take five to seven years to complete the program for the entire state.

Key stakeholders partnering with DTI on this program are Delaware Emergency Management Agency (DEMA), the Department of Health & Social Services (DHSS) and the Department of Archives. DEMA is critical in this program as the coordinator of First Responder services. DEMA will rely on the COOP Plans developed by each organization to deploy delegation of recovery based upon processes identified and rankings of each.

The Division of Archives is a key stakeholder to the program, as they are working with each organization in identifying vital records. Once identified, the Archives Analysts works with the organizations to develop alternate locations and retention schedules. This organization, too, attends each Education Session as well as the BIA Training. It is within the BIA Survey where vital record information is requested, the location, and other key information relating to this topic.

Currently, there are 16 State organizations and/or divisions partnering with DTI in this program. There are six (6) organizations in the process of roll-out and/or working to obtain management approval to begin. At program completion, it will eliminate the diversity of COOP Plans within organizations, as all plans will be held in a central repository. These documents will be available to officials and to DEMA as all work in a joint partnership to recover State processes in an organized manner.

Section E ***Public Value***

The Department of Health & Social Services (DHSS) is partnering with DTI to develop their COOP Plans for each of their divisions. These plans are not only vital to Health and Social Service employees, but to all Delawareans, as this department is responsible for public health. Two years ago, DHSS helped to plan a tabletop exercise with DTI on the technical implications of a pandemic. Last year, DHSS conducted an additional exercise on pandemics. There were key findings to the exercise which the organization is working on in updating their plans, one of which was the need to update and have COOP plans.

The financial portion to the COOP Program is minimal in comparison to the security and comfort organizations will find in having COOP Plans developed. Organizations are required to purchase a license for the Plan Builders of their organization (typically one or two people). The costs of this license is \$4500K (prorated) which is to be renewed every three (3) years. The soft costs are not to go unnoticed, as the involvement in the project to complete the COOP Plans is critical. Identified individuals from each organization work diligently to complete the identification of the essential business processes for their organizations. In areas where COOP planning provides for the security and health of citizens, it is often referred to as the “endless” ROI as the benefits for preparedness are never ending.