



Project Charter

NAME OF ORGANIZATION

PROGRAM INFORMATION	
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Contract Number:	0600354
DOCUMENT INFORMATION	
Author:	Sandra Alexander
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AUTHORIZATION:

Signatures below certify agreement to information contained in this Project Charter. The undersigned agree that upon signature all program management authority and responsibility is conveyed to the Program Manager. The information herein meets or exceeds agreed-upon standards for scope, quality and completeness and prepares a solid foundation in which the Program Manager can lead a successful program.

Accepted: _____ Date _____
(Sandra Alexander, Program Sponsor, Director of Risk Management and Governance, Department of Technology and Information)

Accepted: _____ Date _____
(Enter Organization Sponsor name, title, Department)

Accepted: _____ Date _____
(Enter Organization Sponsor name, title, Department)

Accepted: _____ Date _____
(Solomon Adote, Executive Co- Sponsor, Chief Security Officer, Department of Technology and Information)



Revision History

Date	Revisions	Changed By	Revision No.
06/19/2009	Baseline	Richelle Edwards	1.0
07/17/2009	Change in licensing costs due to federal grant	Richelle Edwards	1.1
06/02/2010	Additions to charter referencing Executive Order and DEMA, Key Stakeholder	Richelle Edwards	1.2
08/13/2010	Added the updated Escalation Procedure for COOP Program as Appendix B	Vince Tirpak	1.3
11/5/2010	Change in COOP Program Team	Sandra Alexander	1.4
03/01/2012	Change in COOP Program Team, vendor name references, and publication hyperlinks	Heather Volkomer	1.5
3/14/2012	Corrected verbiage in Section 3.2.3 regarding security	Claudette Martin-Wus	1.6
2/7/2013	Corrected spelling error	Claudette Martin-Wus	1.7
6/18/2014	Change in COOP Program Team	Heather Volkomer	1.8
3/18/15	Update new CIO and BCDR team members	Heather Volkomer	1.9
2/10/16	Update Senior Team members, remove references to software products	Sandra Alexander	2.0
3/22/16	Update DTI Logos	Heather Volkomer	2.1
2/8/17	Update DTI Senior Team	Heather Volkomer	2.2
5/25/17	Updated references to COOP Plan Building Tool instead of software product name	Claudette Martin-Wus	3.0
5/30/18	Update DTI Senior Team	Heather Volkomer	4.0
1/8/2019	Update DTI Senior Team	Heather Volkomer	5.0
3/13/2020	Update version numbers and removed reference to Sungard throughout document	Claudette Martin-Wus	5.1
6/3/2020	Update responsibilities, partner language, escalation procedures and reference document links	Heather Volkomer	5.2
12/17/2020	Update CIO name	Claudette	5.3
1/21/2022	Remove COA name and add Deputy CIO	Heather Volkomer	5.5
4/4/2022	Updated Governors name and executive order number	Sandra Alexander	5.6
3/13/2023	Update DTI Senior Team	Heather Volkomer	5.7
11/17/23	Update DTI Senior Team		5.8



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1. Introduction

1.1. Management Summary

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. This project is aimed directly at meeting that responsibility. The importance of meeting this responsibility is underlined by the fact the DTI Strategic Plan identifies ensuring the physical and cyber security protection of people, facilities, and information as one of its top three (3) key goals. Additionally, leading the development of statewide Business Continuity / Disaster Recovery plans is a top ten key strategy for accomplishing its mission.

The Executive Sponsors of the program are Gregory Lane, Secretary, Chief Information Officer, and AJ Schall, Director of the Delaware Emergency Management Agency. In addition to Federal mandates and laws requiring Continuity of Operations Planning (COOP) compliance, Delaware's Governor, John Carney, signed Executive Order 15 mandating COOP for all state organizations. The State of Delaware Information Security Policy also requires organizations to comply with the program. Secretary Lane and Director Schall respectfully request all organizations to work with DTI to complete the tasks required. This will ensure uniformity, standardization, and security of the Continuity of Operations efforts for business processes and IT systems across the State.

1.2. Vision

Delaware State Government will, despite disruption caused by natural or human disaster, be prepared to continue essential business processes and expedite return to normal operations.

1.3. Mission

Provide the leadership, guidance and coordination to all State of Delaware organizations (agencies, elected offices, school districts and quasi organizations) hereafter referred to as "Partners" regarding Delaware's Continuity of Operations Program. To ensure when a disaster; be it natural, technological, or human, affects state employees, facilities, or networks, specific procedures will be implemented to assure both the ongoing safety of employees and the optimal delivery of essential state services to the citizens of the State of Delaware.

1.4. Project Goals

The overall goal for the program is to implement a "state-wide" Continuity of Operations Program (COOP) for all Partners within the State. A prioritized order will be established for each business unit's business processes, and their related business dependencies that will need to be recovered should a disaster occur in the State of Delaware. Prioritization at the business unit level will provide the foundation needed



to identify and implement prioritization on an even larger and global scale across State government.

This will be accomplished by providing a single toolset "state-wide" to assist and enhance Business Continuity /Disaster Recovery Plans. This will enable Business Continuity and Disaster Recovery plans to be managed using a comprehensive and consistent methodology throughout State government.

Business impact analyses will be performed using business continuity standards and centralized in one location for statewide planning and emergency management. Business Continuity and Disaster Recovery plans will be created and maintained in a single, organized repository. In addition to manual call trees, a fully automated notification program is included with the product toolset suite.

This comprehensive program provides business optimization and will require documentation of business processes and IT dependent systems supporting those processes statewide. It will enable State organizations to follow a uniform set of standards for Business Continuity and Disaster Recovery planning.

Support costs are based upon hosting the system in an off-site secure location, and any upgrades issued for the product. The off-site solution is fully redundant and has its own disaster recovery solutions.

- DTI will provide access to a secured environment and centralized repository for all Partners to house their business processes and the high level activities associated with performing them
- DTI, in coordination with DEMA, will educate Partners on Business Continuity / Disaster Recovery processes (COOP)
- DTI will work collaboratively through the program with Partners to complete all required milestones
- DTI will provide training to Partners on all modules being offered in the toolset
- DTI will guide Partners in completing, structuring, and rating their business processes by completing the Business Impact Analysis (BIA) module
- DTI will review business impact analysis reports with Partners for validity
- DTI, in coordination with DEMA, will assist Partners in scheduling and conducting a COOP drill
- DTI will educate Partners on the proper maintenance of data using an evergreen process to capture evolving procedural and personnel changes as change occurs
- DTI, in coordination with DEMA, will develop communication plans to keep Partners abreast of program activities and monitor business unit readiness for involvement
- DTI, in coordination with DEMA, will educate Partners on the cost benefits of having business processes and IT system dependencies defined for recovery should the need arise

2. Project Scope

2.1 COOP Deployment

All organizations will need to participate in all COOP Activities to ensure complete COOP Planning. There are six (6) major milestones to the project which include:

- Organization Education Session – education and awareness to the COOP Project



- BIA Activities – organizations define essential business process and enter data into the BIA Module
- COOP Plan Building Activities – organizations define strategy development and build COOP Plans
- Crisis Communications Activities – organizations develop a plan for crisis communications
- Organization Table-top Exercise (COOP Drill) – organizations participate in a “Table-Top” exercise using the COOP Plans created
- Project Closure

Members of the COOP Program Team will assist each organization in completing these tasks. Each organization will be assigned a Liaison to work with them personally. However, the entire COOP Team will be available to all organizations as needed in the event the assigned Liaison is not immediately available.

2.2 COOP Table-top Exercise

All organizations will participate in a table-top exercise. This will occur once all COOP Plans are built for the organization, verified, and approved by the organization. The DTI COOP Team will assist organizations in developing the scope of the drill, defining drill location, and facilitate the drill. DEMA will be notified and may choose to be present at the drills (as they are a key stakeholder to DTI in this program) to assist organizations in refining COOP Plans as appropriate and/or if needed. Based on industry standard it is highly recommended to test COOP Plans annually.

2.3 COOP Maintenance

At the conclusion of the COOP Project, all Partners will become part of the ongoing Delaware State-wide COOP Program and will be required to follow the maintenance schedule established by DTI. Organizations will be required to maintain active status of their COOP current licensing schedule. COOP Plans are required to be maintained annually. However, it is highly recommended COOP Plans are updated as changes occur in organizations to keep them current at all times in the event plans are needed for recovery.

3. Project Requirements

- Partners to complete a comprehensive BIA
- Partners to participate in BIA Training
- Partners to participate in training for the Statewide Planning Tool
- Partners to assign a COOP Coordinator
- Partners to develop a Crisis Communications plan
- Partners to participate in a Continuity of Operations Drill
- Partners will update their COOP Plans annually

- DTI to provide a estimated project plan outlining time commitment necessary to complete all project tasks to implement the COOP Program within the organization
- DTI and DEMA to provide educational sessions on COOP Program
- DTI to provide BIA Training sessions to Partners
- DTI to provide training in the Statewide Planning Tool to Partners
- DTI and DEMA to assist in facilitating recovery drills with Partners
- DTI and DEMA to work with Partners to ensure success of completed COOP program requirements



- DTI COOP Team will provide COOP data from Partners to the appropriate DTI Team for useful State architecture models to be built
- DEMA to provide strategic direction regarding the order in which Partners will begin COOP activities
- DEMA to provide subject matter expertise in the area of Continuity of Operations planning
- DEMA to monitor and support COOP activities undertaken in this program

3.1 Reference Documents

Current Business Continuity / Disaster Recovery Methodology used by DTI

<https://www.drii.org>

<https://www.fema.gov/media-library/assets/documents/72598>

Federal Guidelines for Disaster Recovery

NIST 800-34 Rev. 1

http://csrc.nist.gov/publications/nistpubs/800-34-rev1/sp800-34-rev1_errata-Nov11-2010.pdf

Federal Continuity Directive 2 (FCD2)

<https://www.fema.gov/media-library/assets/documents/132130>

State of Delaware Information Security Policy

<http://dti.delaware.gov/pdfs/pp/DelawareInformationSecurityPolicy.pdf>



3.2 Characteristics

3.2.1 Hardware

The toolset is housed outside of DTI, at two (2) separate vendor facilities. The vendor provides a replicated system for their customers to ensure accessibility at all times. Additionally, all archive copies of the toolset are stored off-site as well. The system provides its own business continuity / disaster recovery solutions for their own systems as well.

3.2.2 Software

To participate in the program, each eligible State organization or other entity will be required to purchase, at minimum, one Statewide Planning Tool license. DTI has completed a bulk purchase of licenses in order to take advantage of a quantity discount. The cost per license is \$50 per user which provides access into all modules of the toolset. After the initial costs, all State organizations will pay maintenance costs which will be \$50 per license each year. Organizations will purchase their licenses from DTI and an internal governmental voucher will be used to chargeback the cost.

Most organizations have found that purchasing and deployment of licensing is most effective when implemented at the division or business unit level. A consultation with DTI's Business Continuity and Disaster Recovery team will take place in order to determine deployment models for each of the various State organizations.

3.2.3 Security

Selected participants from the organization will be granted access to the COOP Plan Building Tool module in order to build out COOP Plans. These individuals must sign a non-disclosure agreement due to the sensitive nature of the information within the agency's COOP Plan.

4. *Project Constraints/Risks*

All risks identified will be managed through the DTI Risk Management Plan. A mitigation plan will be identified for each risk and maintained throughout the project.

- Securing resources for the program from Partners with the "business knowledge" and maintaining them within the State organization for an extended period of time.
- Various Partners failing to input the data into the appropriate modules which only they can provide
- Partners not adhering to program timelines; escalation procedures will be initiated if activities cease to progress
- Partners not following the DTI Disaster Recovery policies
- Partners not in compliance with Business Continuity Planning guidance
- Partners not subject to risk assessments. Risk assessments would focus (but not limited to): electronic threats and vulnerabilities, malicious code, privacy issues, human factors, physical environment and downtime issues. It also includes internal/external network intrusion detection, network configuration reviews, 24 hour monitoring, on-site assessments and physical defenses.



- Partners not having business processes documented and the systems supporting those processes “Statewide”.

5. *Project Assumptions*

- Partners will comply with the business continuity industry standards
- Partners will build BIA plans for their organizations
- Partners will participate in training being provided by DTI
- Partners will purchase the licenses required to build and maintain business continuity / disaster recovery plans
- Partners will fulfill all obligations in a timely manner in each phase of the project to keep the project on track
 - Supply “Point of Contact” within organizations to work with DTI personnel
 - Provide “Key Stakeholders” within organization to support the COOP program
- Participate in business continuity drills in conjunction with DTI and DEMA for the purpose of exercising and validating the Business Continuity / Disaster Recovery plans which have been developed

6. *Project Roles and Responsibilities*

Role	Resource
Executive Sponsors	The Honorable Gregory Lane, DTI Secretary, CIO AJ Schall, DEMA Director
Organization Sponsors/Stakeholders	CIO Gregory Lane, (enter agency Stakeholders here)
Program Sponsor/Stakeholder	Sandra Alexander
Senior Management	Gregory Lane, Ben Parsons, Gerald Whisman, Justin Day, Solomon Adote, Jordan Schulties
Core Program Team	Lori Gorman, Heather Volkomer, Claudette Wus
Vendor	BC in the Cloud



Appendix A

Business Continuity / Disaster Recovery (BCDR) Industry Terminology

Archiving	A collection of computer files which have been backed up for transport to an offsite location
Business Impact Analysis (BIA)	BIA Professional is the web-enabled questionnaire that helps identify the most critical processes an organization performs and the inter-dependences between them. You will discover what is needed to recover them, how quickly, and what the impact would be (financial, operational) if these functions are not recovered in a timely fashion.
Business Continuity Planning (BCP)	Pre-event planning activities based on a holistic view of business operations which incorporates system recovery, data and application recovery, and business process recovery activities needed to establish full functionality of mission critical services
Cold Site	An empty shell. A dedicated location containing infrastructure for cooling, power, network, and a raised floor. Hardware equipment resources are not immediately available. Recovery time is measured in days, possibly weeks, depending on equipment availability.
Contingency Planning	Post event damage limitation planning and resource allocation put in place to minimize future impact
<u>GOVERNMENT TERM:</u> Continuity of Operations Plan (COOP) <u>PRIVATE INDUSTRY TERM:</u> Business Continuity (BC)	Government Services Focused, prepares for the continuance of operations in the case of catastrophic events; primarily driven by the processes a business unit performs. It is the act of putting plans into place that an organization will follow when business is disrupted. This includes identifying what resources will be needed for speedy recovery and the order in which the business units will be recovered (i.e., assets, alternate facilities, technology, vital records, people & vendors).
Data Vaulting	The <u>process</u> of sending data offsite where it can be protected from hardware failures, theft and other threats.
Data Recovery	The <u>process</u> of retrieving data from damaged media.
Digital Preservation	A set of <u>processes and activities</u> which ensures long term continued access to digital information over time. Preservation of digital information requires more constant and ongoing attention than other media.
Disaster	A great or sudden misfortune that makes the continuation of normal operations impossible.
Disaster Recovery (DR)	Post incident <u>process</u> of restoring IT infrastructure.



Disaster Recovery Planning	The <u>process</u> of incorporating problem definition, solution construction, and system verification and usage testing in an effort to minimize the effects of a disaster on the business allowing the business to either maintain or quickly resume mission critical functions.
Hot Site	A dedicated location that is permanently equipped with hardware and software resources ready to assume business operations. Very little, if any, potential data loss.
Recovery	The completed state of a system in final form following conclusion of all restore activities.
Recovery Time Objective (RTO)	"Time to Data" - How long after the disaster must the system be available to users.
Recovery Point Objective (RPO)	"Point of Data" - When recovery is complete, what is the latest available transaction.
Redundancy	Secondary <u>system devices or components</u> used to backup primary systems in case they fail. Example: Redundant Array of Independent Disks (RAID) servers.
Replication	The <u>process</u> used to make a copy of data.
Restoration	The <u>process</u> of copying backup files from secondary storage (tape, disk, etc.) to new hard disk space on a different device.
Warm Site	A dedicated location permanently equipped with hardware resources. Software for operating systems, applications, databases, and data must be restored manually. Some data loss is expected.

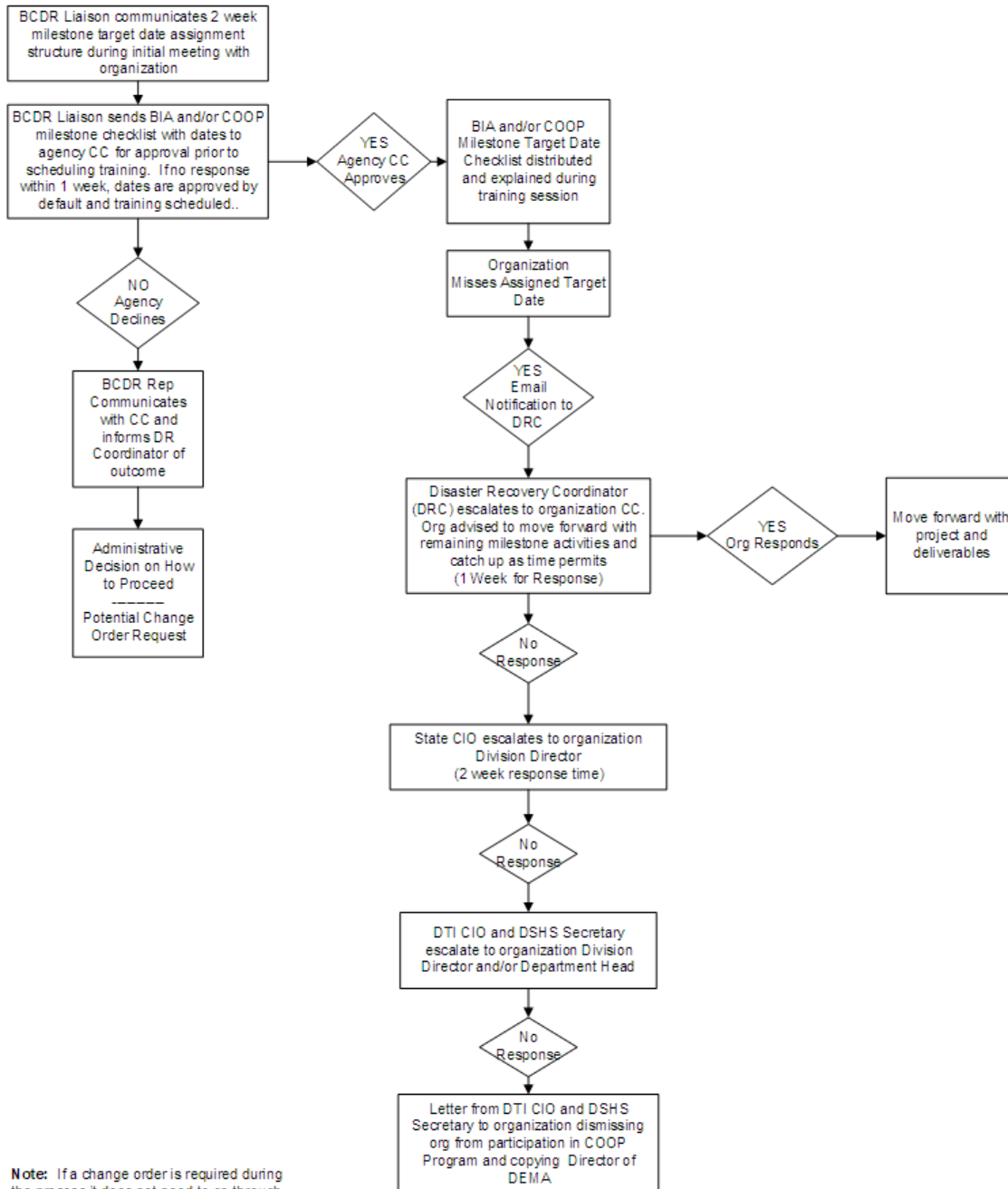


Appendix B

Escalation Procedure for COOP Program

Escalation Procedure for COOP Program

Last Updated: 06/04/20



Note: If a change order is required during the process it does not need to go through the formal PM process of approval.

T:\DTI Projects\COOP Program\Escalation Procedures