

## 0240.08 Continuity of Operations (COOP) Plan

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Revised: N/A

### PURPOSE

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To establish a uniform departmental level planning procedure for the state of Michigan (SOM) Continuity of Operations (COOP) plan. To identify advance arrangements that allow the SOM to respond to an event in such a manner that Mission Essential Functions (MEFs) continue with minimum interruption or change.

### APPLICATION

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Executive Branch Departments, Agencies, and Sub-units.

### CONTACT AGENCY

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Department of Technology, Management and Budget (DTMB)  
Chief Technology Office (CTO)  
Enterprise Operations (EO)

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### SUMMARY

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This procedure identifies specific responsibilities for SOM departments; the Department of Technology, Management and Budget (DTMB); and the State Continuity Coordinator.

This procedure requires each SOM department to create, maintain and exercise a COOP plan. The goal is to mitigate negative effects of a disaster or outage on a department's strategic plan, reputation, operations, or ability to remain in compliance with applicable laws and regulations.

A department's COOP is the result of a comprehensive business process that identifies MEFs and the elements to restore those functions. The COOP plan also identifies the applications required to support the identified MEFs. The COOP plan details the business side of the department and is a department function, which is not the same as an IT Disaster Recovery (DR) plan.

The goal of COOP is to support department continuity strategies and ensure COOP plans document the actions that will be taken to prevent, minimize or restore mission essential business functions during and after a disruption or disaster. Each department is required to define and document those components that are essential to continuing their critical business operations for the SOM and documenting them accordingly in their COOP plan.

### APPLICABLE FORMS

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None.

## DEFINITIONS

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**Continuity of Operations (COOP) Plan** – An effort within the Executive Office to ensure that mission essential functions (MEFs) continue to perform during disruption of normal operations. (Federal Continuity Directive 1, January 2017). This is a department-level, pro-active plan that facilitates the rapid recovery of business operations to reduce the overall impact of the disaster, while ensuring the continuity of the critical business functions during and after a disaster, assuming IT is up and available. The COOP plan identifies MEFs of the department.

**Mission Essential Function (MEF)** – An essential function directly related to accomplishing the organization’s mission as set forth in statutory or executive charter. Generally, these are unique to each department (Federal Continuity Directive 1, 2017).

Additional definitions can be found in the IT Information Security Policy and Administrative Guide Glossary referenced below.

## REFERENCES

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[Administrative Guide Policy 1340.00 Information Technology Information Security](https://www.michigan.gov/documents/dmb/1340_193162_7.pdf)  
([https://www.michigan.gov/documents/dmb/1340\\_193162\\_7.pdf](https://www.michigan.gov/documents/dmb/1340_193162_7.pdf))

[Administrative Guide Procedure 1520.08 Continue Operation of Critical Functions](https://www.michigan.gov/documents/dmb/1520.08_184760_7.pdf)  
([https://www.michigan.gov/documents/dmb/1520.08\\_184760\\_7.pdf](https://www.michigan.gov/documents/dmb/1520.08_184760_7.pdf)).

[Administrative Guide Glossary](https://www.michigan.gov/dtmb/0,5552,7-358-82547_9347-29688--,00.html)  
([https://www.michigan.gov/dtmb/0,5552,7-358-82547\\_9347-29688--,00.html](https://www.michigan.gov/dtmb/0,5552,7-358-82547_9347-29688--,00.html)).

[Michigan Continuity Management Solution \(MiCMS\)](https://stateofmichigan.sharepoint.com/sites/DTMB/dco/DR_QA/MiCMS/Pages/default.aspx)  
([https://stateofmichigan.sharepoint.com/sites/DTMB/dco/DR\\_QA/MiCMS/Pages/default.aspx](https://stateofmichigan.sharepoint.com/sites/DTMB/dco/DR_QA/MiCMS/Pages/default.aspx)).

[SOM 1340.00.070.02 Information Technology Disaster Recovery Planning Standard](https://stateofmichigan.sharepoint.com/teams/insidedtmb/work_/policies/IT%20Policies/1340.00.070.02%20Information%20Technology%20Disaster%20Recovery%20Planning%20Standard.pdf)  
([https://stateofmichigan.sharepoint.com/teams/insidedtmb/work\\_/policies/IT%20Policies/1340.00.070.02%20Information%20Technology%20Disaster%20Recovery%20Planning%20Standard.pdf](https://stateofmichigan.sharepoint.com/teams/insidedtmb/work_/policies/IT%20Policies/1340.00.070.02%20Information%20Technology%20Disaster%20Recovery%20Planning%20Standard.pdf))

[Federal Emergency Management Directive Federal Continuity Directive 1](https://www.gpo.gov/docs/default-source/accessibility-privacy-coop-files/January2017FCD1-2.pdf)  
(<https://www.gpo.gov/docs/default-source/accessibility-privacy-coop-files/January2017FCD1-2.pdf>)

## PROCEDURES

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### **Department Responsibility**

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Each SOM Department shall:

- Identify a COOP representative responsible for developing and updating their respective department COOP plan.
- Include identification of funding in the COOP plan.
- Identify MEFs at the department level. Examples can include “Finance,” “Health and Safety,” “Procurement,” “Communications,” etc.
- Include MEFs that cover the department’s most critical business processes and activities identified as part of its Internal Control Evaluation (ICE) conducted annually by Internal Audit.

- Store COOP plans in the DTMB-owned and managed central repository, named Michigan Continuity Management Solution (MiCMS) (see references).
- Properly document, review, and update COOP plans annually.
- Test/exercise COOP plans annually. The test plans, results, and lessons learned are properly documented within the COOP plan.
  - Walk-Through Test: Department representatives walk through COOP plans to identify adequacy and areas for improvement. Updates to plan are performed. Test plan and lessons learned documents are attached to the plan.
  - Tabletop Test: Department representatives and stakeholders go through a simulated disruption to identify what parts of the COOP plan is adequate, and where there are areas for improvement. Relocation of staff is simulated and not required. Updates to plan are performed. Test plan and lessons learned documents are attached to the plan.
  - Full Test: Department representatives and stakeholders go through a simulated disruption to identify what parts of the COOP plan is adequate, and where there are areas for improvement. Relocation of staff is recommended. Updates to plan are performed. Test plan and lessons learned documents are attached to the plan.

Note: Based on the level of a department’s involvement in the State Emergency Operations Center (SEOC) exercises or drills and/or SEOC activations, these may be sufficient to satisfy a full test providing the “test” is properly documented, lessons learned documents are attached to the plan, and updates are made to the plan to reflect the “test”.

<u>Type</u>	<u>Frequency</u>
<b>Walk-Through/Tabletop</b>	Annually
<b>Full</b>	Every 3 years

- Keep a backup copy of their COOP plan in a secured backup location for potential access during an event if the central repository network is unavailable for access. The backup copy is updated upon plan “completion” after each review cycle.
- Review and approve COOP plans. Accuracy is verified by the appropriate department management.

Note: Departments may implement more stringent procedures and/or details within their COOP plan than those developed by DTMB.

### **DTMB Responsibility**

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DTMB shall:

- Develop COOP plan criteria that addresses continuity strategies for the SOM to help departments better manage and/or mitigate risk. Strategies are developed based upon industry best practice, as well as guidelines from the Federal Emergency Management Agency (FEMA) for non-federal entities.
- Provide a secure and highly available repository (MiCMS) for developing and storing COOP plans for all departments.

- Maintain a COOP plan to manage a crisis that addresses prevention, protection, mitigation, response, and recovery of unplanned events.
- Provide a full spectrum of developed solutions:
  - A full range of mitigation and recovery strategies that allow departments to continue business as soon as specified and funded by the department.
  - Consultation services to departments to assist in establishing continuity objectives, COOP plans, and identifying/prioritizing MEFs.
  - Assessment and recommendation of COOP strategies generated by departments to achieve their business objectives.
  - Annual testing, review, and revision of department COOP plans by the appropriate department management.

### **State Continuity Coordinator Responsibility**

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COOP Coordinator shall:

- Develop COOP plans using industry best practice as well as guidelines from the Federal Emergency Management Agency (FEMA) to establish and implement framework, requirements, and processes.
- Monitor department COOP plans to track that the plans are exercised, reviewed, and revised on an annual basis by the appropriate plan owner. Provide ongoing consultation and assistance to departments when applicable or at the request of the Department plan builder.
- Align COOP plans with SOM's strategic objectives by performing a content review and evaluation. Provide checklist to departments following a review.
- Align COOP plans with DTMB's strategic objectives by performing a content review and evaluation.
- Provide consultation services to departments to assist with the development of COOP plans.
- Consult and assist departments with COOP plan testing, review, and revision.
- Perform quality checks on all COOP plans and provide a mechanism for the plans to be updated by the department.
- Hold regular meetings with department COOP coordinators and/or Emergency Managers to share information about COOP in the SOM.
- Consult with the Emergency Management and Homeland Security Division (EMHSD) of Michigan State Police to ensure guidelines are followed where applicable.
- Consult with the Office of Infrastructure Protection (OIP) to ensure guidelines are followed where applicable.
- Assess and recommend COOP plan strategies are aligned with industry best practice, ISO 22301, and the Federal Emergency Management Act (FEMA) circulars and publications.

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