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**OFFICE OF THE STATE AUDITOR'S
REPORT ON THE EXAMINATION OF
INFORMATION TECHNOLOGY CONTROLS
PERTAINING TO
BUSINESS CONTINUITY PLANNING FOR
THE DEPARTMENT OF TRANSITIONAL ASSISTANCE**

April 28, 2008 through April 16, 2009

**OFFICIAL AUDIT
REPORT
JUNE 16, 2009**

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INTRODUCTION

The Department of Transitional Assistance (DTA) is organized under the authority of Chapter 18, Section 1, of the Massachusetts General Laws, as amended, and is under the purview of the Executive Office of Health and Human Services (EOHHS). DTA operates from a central office in Boston and is organized into four regional areas that oversee 25 Transitional Assistance Offices (TAOs) throughout the Commonwealth. The DTA is comprised of a commissioner, two deputy commissioners, five assistant commissioners, a general counsel, and a chief of staff who have overall responsibility for operational programs, such as field operations, management information systems, policy and program management, and administration and finance. Four regional directors supervise operations and the TAOs, while approximately 1,300 employees staff DTA. The Department's mission "is to assist low-income individuals and families to meet their basic needs, increase their incomes, and improve their quality of life." DTA serves one out of every twelve people in the Commonwealth – including working families, children, elders, and people with disabilities.

The Department of Transitional Assistance's data center is located at 600 Washington Street in Boston. The Department has four critical application systems: Benefit Eligibility and Control On-Line Network (BEACON), Financial Management Control System (FMCS), Special Services Payment System (SSPS), and the Homeless Management Information System (HMIS). The BEACON and HMIS applications are supported by DTA and EOHHS at the Washington Street office, while the Information Technology Division supports FMCS and SSPS at the Massachusetts Information Technology Center in Chelsea. The Department also contracts with the vendor ACS to provide food stamps and cash disbursements using the Electronic Benefit System's process.

AUDIT SCOPE, OBJECTIVES, AND METHODOLOGY

Audit Scope

In accordance with Chapter 11, Section 12, of the Massachusetts General Laws, from April 28, 2008 through April 16, 2009, we performed an audit of selected information technology (IT) related controls regarding disaster recovery and business continuity planning at the Department of Transitional Assistance (DTA) for the audit period of May 2, 2008 to April 16, 2009. The scope of our audit was to assess the extent to which DTA had addressed business continuity planning for business operations supported by technology and had in place adequate on-site and off-site storage of backup copies of magnetic media. Our audit included an assessment of the Department's capabilities to restore mission-critical applications and related business processes and efforts to partner with the Information Technology Division (ITD) for business continuity support.

Audit Objectives

We sought to evaluate whether an effective business continuity plan had been developed and that adequate resources would be available to provide reasonable assurance that mission-critical and essential business operations would be efficiently recovered should IT operations be rendered inoperable or inaccessible for an extended period of time. We determined whether the business continuity plan had been tested and reviewed and approved to provide reasonable assurance of the recovery plan's viability. In this regard, our objective was to also assess whether backup copies of electronic application systems and data files were being generated and stored at secure on-site and off-site locations.

Because DTA is dependent upon ITD's Massachusetts Information Technology Center (MITC) for operating the FMCS and SSPS application systems and application systems that support budgetary and human resources functions, we sought to determine whether DTA and ITD had collaborated on identifying IT recovery requirements and had developed appropriate business continuity plans. We sought to identify the degree of assistance provided by ITD to help the Department develop viable business continuity plans and to provide alternate processing and backup storage facilities to ensure timely restoration of DTA's data files and systems supported by MITC.

Audit Methodology

To determine the audit scope and objective, we conducted pre-audit work that included obtaining and recording an understanding of relevant operations and performing a preliminary review of documentation concerning business continuity and disaster recovery planning at DTA. Upon completion of our pre-audit work, we determined the scope and objectives of the audit.

We interviewed senior management to obtain an understanding of their internal control environment, primary business functions, and stated controls. We obtained an understanding of the Department's mission-critical functions and application systems by requesting, obtaining and reviewing agency documentation as well as interviewing business process owners regarding business functions and contingency planning and IT staff regarding IT functions. Documentation was requested but not limited to the agency's plans regarding continuation of agency operations, such as continuity of operations plans (COOP's), continuity of government plan (COG), business continuity plans (BCP), and disaster recovery plans (DRP). We also interviewed ITD staff who were assigned business continuity planning responsibilities to determine the extent of DRP/BCP services provided to the DTA. In addition, we determined whether DTA was in compliance with Governor Patrick's Executive Order No. 490 issued September 26, 2007.

Our audit was conducted in accordance with Generally Accepted Government Auditing Standards (GAGAS) issued by the Comptroller General of the United States and generally accepted industry practices. Audit criteria used in the audit included Executive Orders 144, 475, and 490; and management policies and procedures and control guidelines outlined in Control Objectives for Information and Related Technology (CobiT version 4.1), as issued by the Information Systems Audit and Control Association, July 2007.

AUDIT CONCLUSION

Regarding disaster recovery and business continuity planning at the Department of Transitional Assistance (DTA), we determined that although documentation of the strategies for recovering information technology (IT) capabilities under DTA's charge needed to be strengthened, there is a reasonable likelihood that DTA would be able to resume mission-critical business operations should a disaster render IT systems inoperable, but possibly not within an acceptable period of time. We determined that although DTA had established a disaster recovery and business continuity framework that included documented roles and responsibilities, the Department could experience delays in recovering IT operations because disaster recovery and business continuity plans needed to be more detailed.

We believe that DTA could reduce the risk of failing to resume IT business functions within an acceptable time period by developing and approving more comprehensive recovery plans and ensuring that all staff members having recovery responsibilities are adequately trained. We found that DTA's continuity of operations plan (COOP), continuity of government plan (COG), and a disaster recovery plan for BEACON contained multiple characteristics of disaster recovery and business continuity planning, however DTA did not presently have an approved or tested formal business continuity plan nor a disaster recovery plan other than for the BEACON application. Because of this, DTA is not in compliance with Executive Order No. 490, which requires annual documented training and test exercises of all approved recovery plans.

The Department of Transitional Assistance has four mission critical applications: Benefit Eligibility and Control On-Line Network (BEACON), FMCS, SSPS, and the Homeless Management Information System (HMIS). The agency also contracts with the vendor ACS to provide food stamps and cash disbursements using the Electronic Benefit System's process. Regarding backup processing of the application, DTA performs daily and weekly backups of the data at the Massachusetts Information Technology Center (MITC), and daily backups of the applications that are at the Boston office on discs. There is an agreement in place with the Information Technology Division (ITD) for the backup and recovery of DTA's Financial Management Control System (FMCS) and Special Services Payment System (SSPS) applications, as well as the state's shared IT systems. In addition, ITD and DTA have successfully tested the restoration of the two applications. However, the actual business continuity or disaster recovery plans were never submitted. The recovery of these applications residing at MITC have been tested at the out-of-state vendor-supported facility, Sungard, in New Jersey, however, the testing was limited to a portion of the application systems supported at MITC. In addition, the state does not have an alternate state-owned processing and backup facility for the systems operated at MITC. At the time of

our audit, ITD was in the process of attempting to establish a second data center as an alternate site in western Massachusetts, which would greatly benefit the agencies under the Executive Office of Health and Human Services, including DTA.

AUDIT RESULTS

Business Continuity Planning

We determined that the Department of Transitional Assistance (DTA) had a high-level continuity of operations plan (COOP), a continuity of government plan (COG), and a disaster recovery plan (DRP) for the BEACON application system that contained multiple elements of disaster recovery and business continuity planning, however, all three plans needed to be strengthened and updated. Additionally, the Department's disaster recovery plan did not address recovery strategies for systems other than the BEACON application, contrary to Executive Order No. 490.

Planning for recovering operations resulting from various disaster scenarios can have many steps or phases in order to minimize the impact on business functions and clients. A COOP is a high level documented strategy for agency executives to follow when planning continuation of operations. A BCP is more detailed and should encompass a disaster recovery plan and user area plans. DTA should continue to work with the Commonwealth's Information Technology Division (ITD) to develop formal approved business continuity and disaster recovery plans that are tested adequately and annually.

DTA's data center, which is located at 600 Washington Street in Boston and comprises an area of approximately 900 square feet, contains six servers on which the Department processes two mission-critical and essential applications. We found that the data center had appropriate environmental protection controls in place, such as fire detection and suppression equipment, including handheld fire extinguishers. We also found that physical security controls over the data center were generally adequate. However, the data center's electronic capabilities may be at risk should there be an external power interruption due to the lack of redundant power resources.

The Department's four critical applications: Benefit Eligibility and Control On-Line Network (BEACON), Financial Management Control System (FMCS), Special Services Payment System (SSPS), and Homeless Management Information System (HMIS) are operated from two data centers. Business operations supported by the BEACON and HMIS applications, which are operated by DTA at Washington Street in Boston, could withstand a loss of processing capabilities for a time period of up to 48 hours. Business operations supported by the FMCS and SSPS applications, which are operated by ITD at the Massachusetts Information Technology Center (MITC) in Chelsea, could withstand a loss of processing capabilities for up to 72 hours. The Department also contracts with the vendor ACS to provide food stamps and cash disbursements using the Electronic Benefit System's process.

Regarding backup processing, DTA performs daily and weekly backups of their data at MITC. The weekly backups are stored at a third-party vendor's off-site facility in Massachusetts, while the daily backups are stored at the 600 Washington Street data center in Boston. In addition, DTA performs daily

backups of the BEACON and HMIS applications at the Boston office, which are used to recover any data lost within a four-hour period.

In regard to alternate and backup processing, DTA and MITC act as each other's backup sites. The most recent successful annual recovery test between DTA and MITC took place in the beginning of 2008. In addition, DTA has manual paper processing procedures in place should they be needed.

State agencies have been required to perform and document their planning efforts for the continuity of operations and government per executive orders of the governor. Between 1978 and 2007, Governors Dukakis, Romney, and Patrick issued three separate executive orders (see Appendices I, II, and III) requiring agencies of the Commonwealth to develop plans for the continuation of government services. In 1978, Executive Order No. 144 mandated that the head of each agency within the Commonwealth "make appropriate plans for the protection of its personnel, equipment and supplies (including records and documents) against the effects of enemy attack or natural disaster, and for maintaining or providing services appropriate to the agency which maybe required on an emergency basis." In 2007 Executive Order No. 475 mandated "...Each secretariat and agency shall conduct activities on a quarterly basis that support the implementation of its Continuity of Government and Continuity of Operations plans and shall submit a quarterly report..." and "...Each secretariat and agency shall regularly, and in no event less than once per calendar year, conduct trainings and exercises to put into practice its... Continuity of Operations plan..." In September 2007 Executive Order No. 490 mandated "Whereas, to achieve a maximum state of readiness, these plans should be incorporated into the daily operations of every secretariat and agency in the executive department, and should be reviewed on a regular basis and, with respect to agencies supplying services critical in times of emergency, exercised regularly. In addition, each critical secretariat and agency shall submit an annual report to the Executive Office of Public Safety and Security."

Business continuity plans should be tested to validate their viability and to reduce both the risk of errors and omissions as well as the time needed to restore computer operations. In addition, an effective recovery plan should provide specific instructions for various courses of action to address different types of disaster scenarios that would render IT systems inoperable. Specifically, the plan should identify how essential services would be provided for each scenario without the full use of the data processing facility, and the manner and order in which processing resources would be restored or replaced. Furthermore, the plan should identify the policies and procedures to be followed, including details of the logical order for restoring critical data processing functions, either at the original site or at an alternate site. The plan would also identify and explain the tasks and responsibilities necessary to transfer and safeguard backup

magnetic copies of data files, program software, and system documentation from off-site storage to the site being used for restoration efforts.

Sound management practices, as well as industry and government standards, support the need for comprehensive and effective backup procedures and business continuity plans for organizations that depend on technology for information processing. Contingency planning should be viewed as a process to be incorporated within an organization, rather than as a project completed upon the drafting of a formal documented plan. Since the criticality of systems may change, a process should be in place that will identify a change in criticality and amend the contingency plans accordingly. System modifications to IT equipment configurations and user requirements should be assessed in terms of their impact to existing business continuity plans. (See Appendix IV for other criteria.)

Recommendation

We recommend that the Department of Transitional Assistance (DTA) strengthen its business continuity process by developing and maintaining appropriate recovery strategies to regain mission-critical and essential processing within acceptable time periods. We recommend that DTA develop and test in conjunction with ITD a more comprehensive and formal business continuity plan that incorporates a disaster recovery plan. DTA needs to ensure that the business continuity plan documents recovery strategies with respect to various disaster scenarios, and contains all pertinent information needed to effectively and efficiently recover critical operations within the needed time frames. In addition, DTA should develop user area plans to document contingencies and the steps to be followed to continue business operations to the extent possible should IT resources be unavailable. We recommend that all recovery and continuity planning documents should be available in hardcopy and electronic media and should be stored off-site in secure and accessible locations. As part of disaster recovery planning, DTA should test the viability of their alternate processing site. After the plan has been tested, DTA should document the results of the test and evaluate the scope and results of the tests performed.

DTA should specify the assigned responsibilities for maintaining the plans and supervising the implementation of the tasks documented in the plans. DTA should specify who should be trained in the implementation and execution of the plans under all emergency conditions and who will perform each required task to fully implement the plans. Furthermore, the completed business continuity and user area plans should be distributed to all appropriate staff members. We recommend that DTA's IT personnel be trained in their responsibilities for recovering business operations in the event of an emergency or disaster, including training of office staff on manual procedures to be used when processing is delayed for an extended period of time.

In conjunction with ITD, DTA should establish procedures to ensure that the criticality of systems is evaluated, business continuity requirements are assessed on an annual basis, or upon major changes to user requirements or the automated systems, and appropriate business continuity plans are developed for the applications residing on DTA's regional servers and the servers at MITC. As part of business continuity planning, DTA should incorporate a strategy in which the Department collaborates with the Division of Capital Asset Management in the event that an additional alternate processing site is needed to ensure the continuity of operations.

We recommend that the Department follow Executive Order No. 490 for continuity of operations and business continuity planning. Included in this executive order are requirements for each secretariat and agency to conduct activities to support its Continuity of Government and Continuity of Operations plans. The executive order also requires agencies to conduct training and submit an annual report on the detailed plans to the Executive Office of Public Safety and Security. We also recommend that DTA continue working with ITD on business continuity and disaster recovery planning.

Auditee's Response:

The Department of Transitional Assistance is currently engaged in the ITD Business Continuity Program. The scope of this project is initially limited to Central Office functions at 600 Washington Street. Thus far, DTA has:

- *Conducted its Business Impact Analysis (BIA), during which critical business units identified essential functions and recovery time objectives for those functions. For each essential function, business units identified all related systems and applications, telecommunication systems and vital records. Business units also completed a preliminary analysis of the staff and equipment required to restore operations.*
- *Completed the ITD Gap and Strategy session, which outlines current gaps between recovery time objectives and current systems in place. This presentation also included recommendations for improving DTA's ability to restore operations in the event that 600 Washington Street is unavailable.*
- *Began the process of creating Disaster Recovery Plans for each of the critical business units. These plans will identify: specific strategies for recovering operations, recovery teams and tasks, manual workarounds and outstanding issues that could hinder recovery efforts.*
- *Began the process of drafting step-by-step guides for emergency response and crisis management.*
- *Posted information related to the Business Impact Analysis as well as COOP and critical contacts list to the Living Disaster Recovery Planning System (LDRPS) web application maintained by ITD.*

Next steps include the completion of unit Disaster Recovery Plans, the completion of emergency response and crisis management documents, and a series of tabletop exercises to test DTA plans.

Auditor's Reply

We are pleased that the Department of Transitional Assistance is working with ITD on their business continuity planning process. Documenting a business impact analysis, creating disaster recovery plans for each of the critical business units, and establishing an ITD gap and strategy for current systems are all sound steps in the planning process. However, DTA should strongly consider expanding the planning process beyond the central office functions at 600 Washington Street to include continuity and contingency plans with respect to IT services provided through MITC and any third-party vendors. Until an enterprise-wide analysis is completed, DTA could remain vulnerable to not being able to adequately recover required functions lost or derogated from unplanned events.

COMMONWEALTH OF MASSACHUSETTS

By His Excellency

MICHAEL S. DUKAKIS

Governor

EXECUTIVE ORDER NO. 144

(Revoking and superseding Executive Order No. 25)

WHEREAS, it is the responsibility of the Commonwealth of Massachusetts to preserve the health and welfare of its citizens in the event of emergencies or disasters by insuring the effective deployment of services and resources; and

WHEREAS, such emergencies or disasters may result from enemy attack or by riot or other civil disturbances, or from earthquakes, hurricanes, tornados, floods, fires, and other natural causes; and

WHEREAS, the experience of recent years suggests the inevitability of natural disasters and the increasing capability of potential enemies of the United States to attack this Commonwealth and the United States in greater and ever-growing force; and

WHEREAS, the effects of such emergencies or disasters may be mitigated by effective planning and operations:

NOW, THEREFORE, I, Michael S. Dukakis, Governor of the Commonwealth, acting under the provisions of the Acts of 1950, Chapter 639, and in particular, Sections 4, 8, 16 and 20 thereof, as amended, and all other authority conferred upon me by law, do hereby issue this Order as a necessary preparatory step in advance of actual disaster or catastrophe and as part of the comprehensive plan and program for the Civil Defense of the Commonwealth.

1. The Secretary of Public Safety, through the State Civil Defense Director, shall act as State Coordinating Officer in the event of emergencies and natural disasters and shall be responsible for the coordination for all activities undertaken by the Commonwealth and its political subdivisions in response to the threat or occurrence of emergencies or natural disasters.

2. This coordination shall be carried out through and with the assistance of the Massachusetts Civil Defense Agency and Office of Emergency Preparedness, as provided under the Acts of 1950, Chapter 639, as amended.

3. Each secretariat, independent division, board, commission and authority of the Government of the Commonwealth (hereinafter referred to as agencies) shall make appropriate plans for the protection of its personnel, equipment and supplies (including records and documents) against the effects of enemy

attack or natural disaster, and for maintaining or providing services appropriate to the agency which maybe required on an emergency basis.

Each agency shall make appropriate plans for carrying out such emergency responsibilities as may be assigned in this Order or by subsequent Order of the Governor and for rendering such additional emergency assistance as the Secretary of Public Safety and the Civil Defense Agency and Office of Emergency Preparedness may require.

4. The responsibility for such planning shall rest with the head of each agency, provided that such agency head may designate a competent person in the service of the agency to be and act as the Emergency Planning Officer of the Agency. It shall be the function of said Emergency Planning Officer to supervise and coordinate such planning by the agency, subject to the direction and control of the head of the agency, and in cooperation with the Secretary of Public Safety and the State Civil Defense Agency and Office of Emergency Preparedness.

5. Each agency designated as an Emergency Response Agency by the Director of Civil Defense shall assign a minimum of two persons to act as liaison officers between such agency and the Civil Defense Agency and Office of Emergency Preparedness for the purpose of coordinating resources, training, and operations within such agency.

To the extent that training and operational requirements dictate, the liaison officer shall be under the direction and authority of the State Civil Defense Director for such periods as may be required.

6. A Comprehensive Emergency Response Plan for the Commonwealth shall be promulgated and issued and shall constitute official guidance for operations for all agencies and political subdivisions of the Commonwealth in the event of an emergency or natural disaster.

Given at the Executive Chamber in Boston this 27th day of September in the Year of Our Lord, one thousand nine hundred and seventy-eight, and of the independence of the United States, the two hundredth and third.

MICHAEL S. DUKAKIS
Governor
Commonwealth of Massachusetts

PAUL GUZZI
Secretary of the Commonwealth

GOD SAVE THE COMMONWEALTH OF MASSACHUSETTS



MITT ROMNEY
GOVERNOR

KERRY HEALEY
LIEUTENANT GOVERNOR

THE COMMONWEALTH OF MASSACHUSETTS
EXECUTIVE DEPARTMENT
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BY HIS EXCELLENCY

MITT ROMNEY
GOVERNOR

EXECUTIVE ORDER NO. 475

Mandating Continuity of Government and Continuity of Operations Exercises
within the Executive Department

WHEREAS, the security of the Commonwealth is dependent upon our ability to ensure continuity of government in the event of a terrorist attack, natural disaster, or other emergency;

WHEREAS, effective preparedness planning requires the identification of functions that must be performed during such an emergency, the assignment of responsibility for developing plans for performing those functions, and the assignment of responsibility for developing the capability to implement those plans;

WHEREAS, to accomplish these aims, the Governor directed each secretariat within the executive department to develop a Continuity of Government Plan identifying an official line of succession for vital positions; prioritizing essential functions which should continue under all circumstances; designating an alternate command site; and establishing procedures for safeguarding personnel and resources;

WHEREAS, the Governor also directed each secretariat and agency within the executive department to develop a Continuity of Operations Plan establishing emergency operating procedures; delegating specific emergency authority to key personnel; establishing reliable, interoperable communications; and providing for the safekeeping of critical systems, records, and databases;

WHEREAS, one hundred and two Continuity of Government and Continuity of Operations plans have been developed by the Office of the Governor and every secretariat and agency within the executive department;

WHEREAS, these Continuity of Government and Continuity of Operations plans have been submitted to and remain on file with the Massachusetts Emergency Management Agency and are ready to be put into operation in the event of a terrorist attack, natural disaster, or other emergency;

WHEREAS, to achieve a maximum state of readiness, these plans have been incorporated into the daily operations of every secretariat and agency in the executive department;

WHEREAS, each executive department agency with critical functions has exercised its Continuity of Operations plan and tested its alert and notification procedures, emergency operating procedures, and the interoperability of communications and information systems; and

WHEREAS, each secretariat has exercised its Continuity of Government plan, and tested its ability to prioritize and deliver essential functions, operate at an alternate facility, and implement succession plans and delegations of authority in an emergency; and

WHEREAS, these regular exercises will continue to ensure that vulnerabilities in the Continuity of Government and Continuity of Operations plans are identified, reviewed, and corrected, and will help to secure an effective response by each secretariat and agency in the event of a terrorist attack, natural disaster, or other emergency;

NOW, THEREFORE, I, Mitt Romney, Governor of the Commonwealth of Massachusetts, by virtue of the authority vested in me as Supreme Executive Magistrate, do hereby order as follows:

Section 1: Each secretariat and agency within the executive department shall continue to consider emergency preparedness functions in the conduct of its regular operations, particularly those functions which would be essential in a time of emergency.

Section 2: Each secretariat within the executive department shall conduct activities on a quarterly basis that support the implementation of its Continuity of Government and Continuity of Operations plans and shall submit a quarterly report to the Executive Office of Public Safety detailing the actions taken to implement these plans.

Section 3: Each agency within the executive department shall conduct activities on a quarterly basis that support the implementation of its Continuity of Operations plan and shall submit a quarterly report to the Executive Office of Public Safety detailing the actions taken to implement such plan.

Section 4: Each secretariat within the executive department shall regularly, and in no event less than once per calendar year, conduct trainings and exercises to put into practice its submitted Continuity of Government and Continuity of Operations plans.

Section 5: Each agency within the executive department shall regularly, and in no event less than once per calendar year, conduct trainings and exercises to put into practice its submitted Continuity of Operations plan.


Section 6: These trainings and exercises shall be designed to simulate emergency situations which may arise, and shall be designed to test the effectiveness of the various components of the Continuity of Government and Continuity of Operations plans. These exercises must, at a minimum, include transfer of command functions to an emergency relocation site and the use of emergency communication systems.

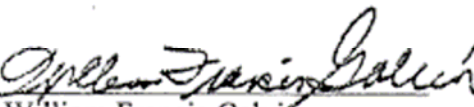
Section 7: Each secretariat within the executive department shall incorporate findings from these trainings and exercises into its Continuity of Government and Continuity of Operations plans, and based on these findings, shall regularly, and in no event less than once per calendar year, update these plans. Likewise, each agency within the executive department shall incorporate findings from these trainings and exercises into its Continuity of Operations plan, and based on these findings, shall regularly, and in no event less than once per calendar year, update its Continuity of Operations plan. These plans shall be submitted to and remain on file with the Massachusetts Emergency Management Agency. In addition, the Executive Office for Administration and Finance shall submit a quarterly report to the Executive Office of Public Safety on the status of its review of executive department communication and information systems.

Section 8: The Executive Office of Public Safety shall submit an annual report to the Office of the Governor regarding the status of the Continuity of Government plan of each secretariat within the executive department, and the status of the Continuity of Operations plan of each secretariat and agency within the executive department.



Given at the Executive Chamber in Boston this 3rd day of January in the year of our Lord two thousand and seven and of the Independence of the United States, two hundred and thirty.


Mitt Romney, Governor
Commonwealth of Massachusetts


William Francis Galvin
Secretary of the Commonwealth

GOD SAVE THE COMMONWEALTH OF MASSACHUSETTS



DEVAL L. PATRICK
GOVERNOR

TIMOTHY P. MURRAY
LIEUTENANT GOVERNOR

THE COMMONWEALTH OF MASSACHUSETTS
EXECUTIVE DEPARTMENT

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By His Excellency

DEVAL L. PATRICK
GOVERNOR

EXECUTIVE ORDER NO. 490

**Mandating Preparation, Review, Updating, and
Electronic Management of Continuity of Government and
Continuity of Operations Plans**

Revoking and Superseding Executive Order No. 475

WHEREAS, the security and well-being of the people of the Commonwealth depend on our ability to ensure continuity of government;

WHEREAS, effective preparedness planning requires the identification of functions that must be performed during an emergency and the assignment of responsibility for developing and implementing plans for performing those functions;

WHEREAS, to accomplish these aims each secretariat within the executive department was directed to develop a Continuity of Government plan identifying an official line of succession for vital positions, prioritizing essential functions, designating alternate command sites, and establishing procedures for safeguarding personnel and resources; and each secretariat and agency within the executive department was directed to develop a Continuity of Operations Plan establishing emergency operating procedures, delegating specific emergency authority to key personnel, establishing reliable, interoperable communications, and providing for the safekeeping of critical systems, records, and databases;

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WHEREAS, Continuity of Government and Continuity of Operations plans have been developed by the Office of the Governor and every secretariat and agency within the executive department and all one hundred and two of these plans are currently stored in paper form at the Massachusetts Emergency Management Agency;

WHEREAS, to achieve a maximum state of readiness, these plans should be incorporated into the daily operations of every secretariat and agency in the executive department, and should be reviewed on a regular basis and, with respect to agencies supplying services critical in times of emergency, exercised regularly;

WHEREAS, to allow greater access to these plans, ensure their security and sustainability, and encourage more active participation and review by the secretariats and agencies, they should be maintained on a secure online database; and

WHEREAS, the Executive Office of Public Safety and Security and Massachusetts Emergency Management Agency are collaborating with the Information Technology Department to develop an online tool and database to maintain these Continuity of Government and Continuity of Operations plans;

NOW, THEREFORE, I, Deval L. Patrick, Governor of the Commonwealth of Massachusetts, by virtue of the authority vested in me by the Constitution, Part 2, c. 2, § 1, Art. I, do hereby revoke Executive Order 475 and order as follows:

Section 1. Each secretariat and agency within the executive department shall continue to consider emergency preparedness functions in the conduct of its regular operations, particularly those functions which would be critical in a time of emergency.

Section 2. The Secretary of Public Safety and Security (hereinafter, "the Secretary"), in his discretion, shall designate secretariats and agencies as either critical or non-critical for the purpose of determining the detail, frequency of submission, and testing of Continuity of Government and Continuity of Operations plans.

Section 3. The Secretary shall notify all secretariats and agencies of the completion of the online Continuity of Operation / Continuity of Government tool and database (hereinafter, "the online tool"). Within 120 days of notification of completion of the online tool, each secretariat and agency shall submit, via the online tool, the appropriate Continuity of Government plan and/or Continuity of Operations plan based upon its critical or non-critical designation.

Section 4. If the Secretary designates a secretariat or agency as critical, then that secretariat or agency shall regularly, and in no event less than once per calendar year, conduct trainings and exercises to put into practice its submitted Continuity of Government and Continuity of Operations plans.

Section 5. These trainings and exercises shall be designed to simulate emergency situations which may arise, and shall be designed to test the effectiveness of the various components of the Continuity of Government and Continuity of Operations plans. These exercises must, at a minimum, include transfer of command functions to an emergency relocation site and the use of emergency communication systems.

Section 6. Each designated critical secretariat within the executive department shall incorporate findings from these trainings and exercises into its Continuity of Government and Continuity of Operations plans, and based on these findings, shall regularly, and in no event less than once per calendar year, update these plans using the online tool. Likewise, each designated critical agency within the executive department shall incorporate findings from these trainings and exercises into its Continuity of Operations plan, and based on these findings, shall regularly, and in no event less than once per calendar year, update its Continuity of Operations plan using the online tool. In addition, each critical secretariat and agency shall submit an annual report to the Executive Office of Public Safety and Security detailing the trainings and exercises conducted and the actions taken to incorporate the findings of such trainings and exercises into updated Continuity of Government and Continuity of Operations plans.

Section 7. Each non-critical agency within the executive department shall conduct activities on an annual basis that support the implementation of its Continuity of Operations plan, including but not limited to ensuring that the plan is current and viable, and shall regularly, and in no event less than once per calendar year, update these plans using the online tool. In addition, each non-critical agency shall submit an annual report to the Executive Office of Public Safety and Security detailing the actions taken to implement such plan.

Section 8. The Executive Office of Public Safety and Security shall submit an annual report to the Office of the Governor regarding the status of the Continuity of Government plan of each secretariat within the executive department, and the status of the Continuity of Operations plan of each secretariat and agency within the executive department.

Section 9. This Executive Office shall continue in effect until amended, superseded, or revoked by subsequent Executive Order.



Given at the Executive Chamber in Boston this 26th day of September in the year of our Lord two thousand and seven, and of the Independence of the United States of America two hundred and thirty-one.

A handwritten signature in black ink, appearing to read "Deval Patrick", written over a horizontal line.

DEVAL L. PATRICK
GOVERNOR
Commonwealth of Massachusetts

A handwritten signature in black ink, appearing to read "William Francis Galvin", written over a horizontal line.

WILLIAM FRANCIS GALVIN
Secretary of the Commonwealth

GOD SAVE THE COMMONWEALTH OF MASSACHUSETTS

Continuity Planning Criteria

The goal of this document is to provide a guideline for planning and establishing a business continuity process to ensure necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies and plans, and ensure continuity of products/services through exercises, rehearsals, tests, training, and maintenance.

Continuity planning efforts will determine an organization's business readiness to recover from an emergency or interruption to normal business processing. These efforts require the creation and maintenance of a documented Business Continuity Plan (BCP) to ensure effective and efficient recovery and restoration of business functions or services – including paper documents, electronic data, technology components, and telecommunications recovery. The BCP must detail all processes, procedures, activities and responsibilities executed during a disaster, or emergency, or an interruption to the organization's products or services.

Our evaluation criteria is a compilation of the above Standards, Guidelines and Objectives developed by the following recognized organizations:

- Contingency Planning & Management (CP&M - National Organization)
- DRII Disaster Recovery Institute International (DRII - International Organization)
<http://www.drii.org/DRII>
- IT Governance Institutes' Control Objectives for Information [related] Technology (COBIT); Control Objectives Document, Delivery & Support Section (DS4).
- Department of Homeland Security - Continuity Of Operations Project Guidance documents (COOP).
- [Presidential Decision Directive-67](#) (requires all Federal agencies to have viable COOP Capabilities) and Comm. Of Mass. Executive Order No. [144](#) from Governor Michael S. Dukakis in 1978 (requires all state agencies to prepare for emergencies/disasters, and to Provide liaisons to Massachusetts Emergency Management Agency for coordinating Resources, training, testing and operations), and
- Comm. Of Mass. Executive Order No [475](#) from Governor Mitt Romney in 2007, and
- Comm. Of Mass. Executive Order No [490](#) from Governor Deval L. Patrick in 2007.

Our criteria is summarized in the following items:

1. Creation of a Business Continuity Plan and Business Continuity Team, comprised of a Business Continuity Manager (BCM), and alternate, for managing the Continuity Program (creation, modifications, updates, test exercises, etc.); Team Leaders, and alternates (from each business unit) to coordinate all continuity aspects for their particular areas of business.
2. Awareness Continuity Training should be given to all employees (minimum of twice annually).
3. Identification and prioritization of all critical/essential business functions (called Risk Analysis, and Business Impact Analysis). A Risk Analysis assigns a criticality level. A Business Impact Analysis identifies the Recovery Time Objective (RTO) - when the applications/systems restoration is needed - most important for critical/essential functions. Analyses should be

documented within the BCP. Executive Management must review and sign-off on: analyses, BCP, and test exercise results.

4. Offsite Storage Program - protection of critical data, materials, or media. Document location address and contact name (during business and off hours). Identify authorized individual(s) to retrieve offsite data. Offsite access procedures.
5. Identify all resources to support critical business functions, alternate site, technology, software, applications, data, personnel, access, transportation, and vendors needed. Workload swaps, split operations, work at home, employee family (need) services.
6. Name(s) authorize to declare a disaster and execution of BCP, and establish. Command Center, Assembly/Holding Areas, Fire/Police/Rescue notification, Site Emergency Personnel (Fire Marshals, security, building evacuations, EMT).
7. Notification Lists and Procedures (employees, legal, Pub. Relations, support groups, vendors, clients).
8. Establish a strategy for communicating with all affected parties (release of approved and timely information, Senior manager, Officer-in-charge, Media, and company representative).
9. Document a plan for coordinating with interdependent departments (SLA).
10. Implement a plan to recover and restore agency's functions (for RTO, RPO) – at least, yearly test exercises.
11. Document a plan for reestablishing normal business operations (back to original site).