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Appendix

A

 **Sample COOP Plan**

The following sample COOP plan is illustrative of a completed plan. Users may copy this plan, make modifications as appropriate, and insert unique court specific section and template information. As an alternative, users may prefer to create a new COOP plan by using the blank templates in Appendix B.

CONTINUITY OF OPERATIONS PLAN

FOR THE

[INSERT COURT NAME]

[INSERT DATE]

SAMPLE COOP PLAN

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Security Notice

Disclosure of some or all of the information in this Continuity of Operations (COOP) plan could endanger the lives and/or privacy of court employees, and compromise the security of the court's essential equipment, services and systems. Distribution of this plan is limited to those individuals who need to know the information to activate and implement the COOP plan.

The decision to release or to withhold information in this plan must be approved by and coordinated with the Chief Justice/Judge of the [*insert court name*].

Signature

Title

Date

EXECUTIVE SUMMARY

This Continuity of Operations Plan (Plan) is authorized under the authority of the [name of the court] and is one of the preparedness and operations plans (e.g., IT disaster recovery, shelter-in-place, critical incident, evacuation plans) used to prevent, prepare for, respond to, and recover from a disaster.

This Plan encompasses the [name the court offices that comprise the “parent” court] and all personnel and operations of those court offices. It presents a management framework to establish operational procedures to sustain each court office and judicial essential functions if normal operations performed at the courthouse(s) or other court related buildings are not feasible. It also guides the recovery and reconstitution of the court’s operations to pre-event status, focuses on actions that must be initiated after an incident to ensure continued operations of essential functions, and provides for sustained essential functions operations, which could be 30 days or more. The plan recognizes that full recovery and reconstitution of the court’s activities may take weeks or months.

INTRODUCTION

A broad range of disruptive events have, in recent years, affected court operations and staff at the state and federal level. For this reason this court has an increased focus on emergency management, preparedness and response planning, and training.

Although the [name of court] is not required to adhere to guidance for federal or state executive branch agencies, such guidance provides a widely recognized, useful and practical foundation for the courts’ planning efforts. In particular, Federal Preparedness Circular ([FPC](#)) 65 was used as guidance for COOP planning efforts that are relevant within this court.

PURPOSE

The purpose of establishing a COOP plan within this court is to ensure that the capability exists for each court office and the court as a whole to respond effectively to a broad array of potential operational disruptions. The key purposes of this COOP plan are to:

- Ensure continuous performance of essential functions and operations, whether in the courthouse, at an alternate site, by telecommuting, or some other electronic means.
- Protect court facilities, equipment, records, and other assets.
- Reduce or mitigate disruptions to operations.
- Identify and designate principals and staff to serve as the Emergency Response Team (ERT) to be relocated to alternate facilities or assigned to the primary court facility to perform essential functions.

- Train and cross-train all key personnel responsible for the execution of this plan.

APPLICABILITY AND SCOPE

The plan applies to all court operations and personnel in the [insert court name] and is designed to help court offices respond to any threat, disaster, or emergency that may affect court operations. A broad array of disruption or emergencies may occur within or near the [court name] as a result of natural hazards, human-induced hazards or terrorism incidents such as those listed in Figure1.

Figure 1: Potential Threats That May Require an Emergency Management Response

Natural Threats	Manmade Threats	Terrorist Threats
√ Pandemic flu	√ Explosions	√ Conventional weapons
√ Hurricanes	√ Hazardous materials	√ Incendiary devices
√ Floods	√ Transportation accidents or incidents	√ Biological and chemical devices
√ Fire	√ Arson	√ Cyber-terrorism
√ Tornadoes	√ Assaults/acts of violence	√ Weapons of mass destruction
√ Ice storms	√ Power grid failure	

HOW TO USE THIS PLAN

Appendix A is organized into two sections:

- **Section 1:** COOP Plan Implementation
- **Section 2:** COOP Plan Templates Overview

This appendix also underscores the importance of a robust and defined training program, for without it, there is no assurance the COOP plan is viable

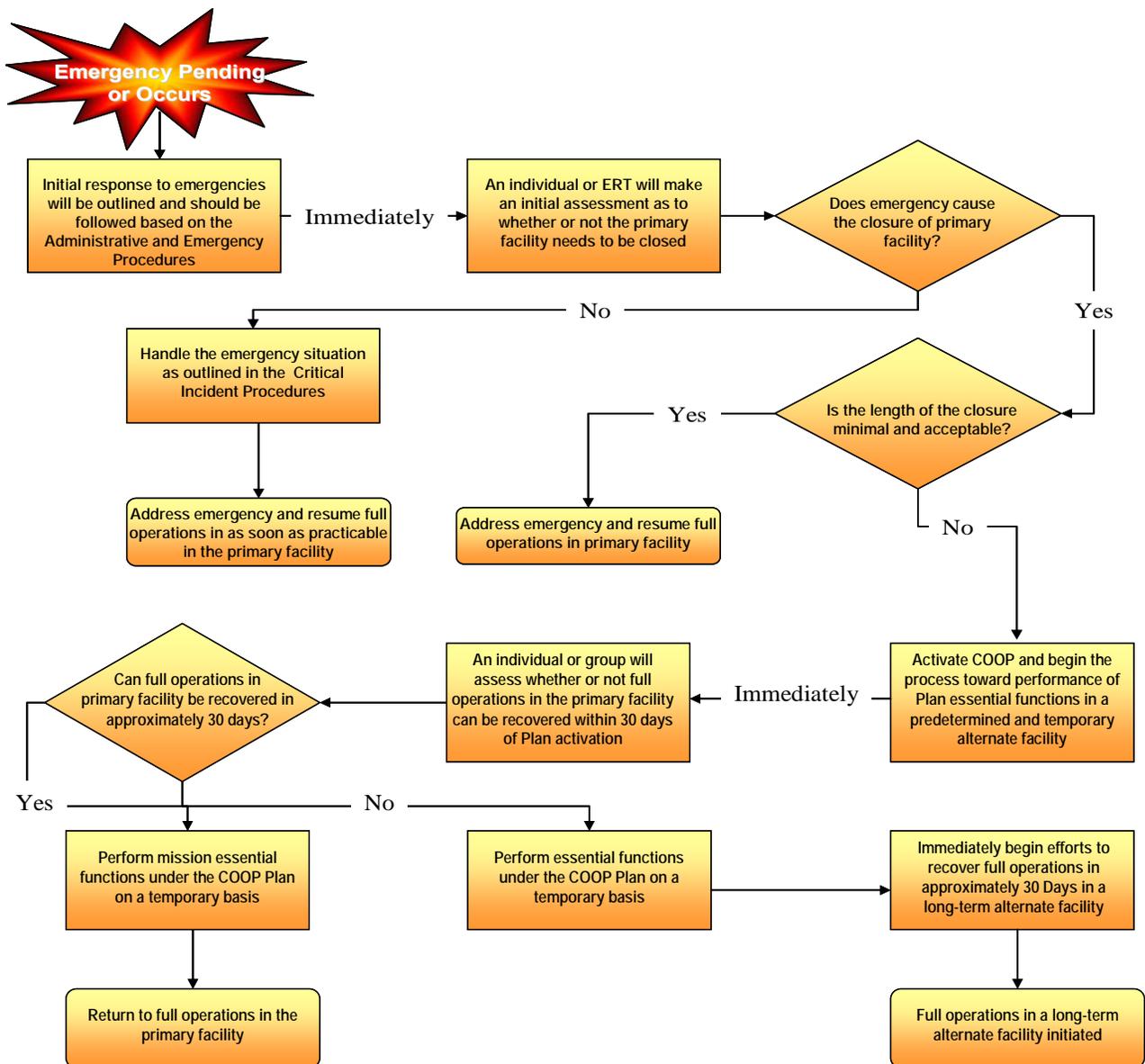
Appendix B contains the blank COOP plan templates for the court as a whole and each court office covered by this plan.

Accompanying appendices offer references such as a glossary, checklists, maps to alternate sites, memoranda of understanding, draft orders and scripted messages.

SECTION 1 - COOP PLAN IMPLEMENTATION (CONCEPT OF OPERATIONS)

This section provides an overview of the framework to implement the COOP Plan. It includes high-level information particular to [court name] operations and the essential functions of each court office required to be performed in a disaster or other disruption. It also provides the framework and decision process for how the court will implement the plan and how it will address each of the 11 COOP Plan elements. Figure 2 graphically illustrates the COOP Plan activation decision and response process.

Figure 2: Sample Decision and Response Flow Chart*



*Courtesy Florida Supreme Court Workgroup on Emergency Preparedness.

Decision Process

A sudden emergency, such as an explosion, fire, act of violence, or prisoner incident, may require the evacuation of a courthouse with little or no advance notice. Courthouse evacuation and response to other critical incidents will be accomplished in accordance with existing critical incident, evacuation, and other emergency procedures for the building.

The COOP is not an evacuation plan; rather, it is a deliberate and pre-planned movement of designated staff (Emergency Response Team) to an alternate site. In the event of a pandemic, only the Emergency Response Team likely will remain in the court facility to ensure delivery of essential functions. The outline that follows provides an overview of the sequence of events for the *[insert court]* COOP plan activation and execution.

An Emergency Response Team (ERT), comprised of *[insert name of positions e.g., the chief justice/judge and court leadership]* serves as the leadership group. This team is comprised of an Advance Team responsible for preparing and maintaining the alternate site(s) for the arrival of the leadership group and the Essential Functions Team. The Essential Functions Team is responsible for the performance of the prioritized essential functions identified in this plan.

Court Emergency Response Team

Team	Team Members	Responsibilities
Advance	[enter names/position/court office]	<ul style="list-style-type: none"> Initiate alert and notification system Deploy to alternate site Set-up IT and communications at alternate site
Leadership	[enter name and title]	<ul style="list-style-type: none"> Make decisions
Essential Functions	[enter name/position/court office]	<ul style="list-style-type: none"> Perform prioritized essential functions by court office

Emergency Team Roster

Court Office/ Chambers	Position	Person	Alternate	Contact Numbers Home/office/ cell/alternate	Email/home and office

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Following an incident so severe that the courthouse [*courthouse location*] is rendered unusable or inaccessible, or if such an event appears imminent, the [*insert name of position e.g., chief justice/judge*] will direct the [*insert name of court executive position e.g., court administrator*] to activate the COOP Plan. The [*insert name of position e.g., court administrator*] will notify the [*insert name of position e.g., court administrator*] in each court office that the plan is to be executed.

Following a decision to activate the court COOP plan, the [*insert name of position of court executive*] and designee will ensure that all judges and office managers are notified, and that office managers execute their respective internal alert and notification plans. Simultaneously the [*insert name e.g., justices'/judges*] chambers will execute their internal alert and notification plans.

The [*insert name of court executive*] has the responsibility for the [*insert court name*] COOP Plan execution which includes:

- Phase I–Activation and Relocation
- Phase II–Alternate Site Operations
- Phase III–Recovery and Reconstitution

Based on alternate site capacity, it is unlikely that all judicial officers and the Emergency Response Team will move to the same relocation site. Some [*justices/judges*] and court personnel may be relocated to multiple alternate sites or they may perform the functions from home.

Court personnel who are not part of the Emergency Response Team may be directed to remain at home pending further instructions.

Planning Assumptions

This plan assumes four basic scenarios that may cause a disruption of normal court operations. Examples of these scenarios are contained in Figure 3. The scenarios are:

- Courthouse only is affected
- Courthouse and immediate vicinity are affected
- Geographic region is affected
- Pandemic Influenza

Figure 3: Examples of Planning Scenarios

Scenario	Circumstances
Courthouse Only	Building fire
Courthouse and Immediate Vicinity	Gas main explosion that affects areas

	near and around the court facility
Geographic Region	Heavy regional floods
Pandemic Influenza	State-wide impact (world-wide)

Building on these planning scenarios, the plan incorporates the following assumptions:

- The worst-case scenario is the loss of access to [*insert court location*].
- Supreme Court, Courts of Appeal, and the Trial Court COOP Plans will be coordinated if the courts are co-located in one alternate site.
- The Emergency Response Team will be available to provide leadership, and continue court office essential functions.
- The sheriff's office will provide security to the judges, staff, and court facilities.
- Once relocated to an alternate site(s), judges will adjust their dockets to assume matters from others who may not have survived or are unavailable.
- Activation of the COOP plan may be required at any time e.g., business hours or non-business hours. Following activation, the Emergency Response Team members may be required to travel from their home or other non-duty location(s) directly to an alternate site.
- Some or all information and communications systems may be degraded or unavailable
- COOP activation does not affect the pay or benefits of court personnel.

COOP Plan Phases

Phase I - Activation

The COOP plan is activated by a significant event or by the receipt of information regarding a credible threat that jeopardizes the safe and continuous operations of the court and/or the court's ability to continue to perform essential functions at the primary facility. The extent to which activation will be possible depends on the warning received, whether personnel are at the court or another location, and the extent of damage to the affected court facility and surrounding areas.

The following positions, in order of priority, are each authorized to direct responses to emergencies including evacuation (partial or total), and closing of court operations: [*insert names of positions e.g., Chief Justice/Judge, court administrator, clerk of court, sheriff, building manager.*]

- Chief Justice/judge
- Court Administrator

- Sheriff
- Building manager

The positions listed above are referred collectively as the “Leadership Group.” They will report to [*insert pre-designated location*] as they learn of an emergency which may require any evacuation or activation of the COOP plan. The team should first report to [*insert location*]; if that site is unavailable the second location is [*insert location*]; and the third location is [*insert location*].

If the disruption or crisis event occurs during office hours and the COOP plan is activated, all court personnel will be alerted and notified by [*insert position/IT system*], and the Emergency Response Team will be directed by the [*court executive*] to relocate immediately to an alternate site. Non-essential personnel may be directed to go home or move to other designated location(s) to await further instructions. Each court manager must account for personnel within his/her court office.

If the event occurs during non-office hours, most court personnel will be located at home, which also requires alert, notification, and accountability procedures.

The [*court leader*] is responsible for communicating with staff so they know what to do, where to go, and what to expect. Emergency notification may be communicated through a variety of means including:

- Public announcement system
- Court website(s) [www.]
- Electronic mail (email)
- Recorded telephone messages [telephone #]
- Public [1 -800 -xxx-xxxx]
- Announcements on local radio and television outlets.
- During an emergency, the [*court leaders*] will continue to keep court personnel and the public informed on specific topics using a variety of the mechanisms.

Initial Actions Following Emergency Notification are as follows:

- [*Court leader*] verifies the availability of a selected alternate site, and notifies the host site to expect the arrival of the Emergency Response Team.
- The team ensures that Go Kits are accessible, complete, (pre-positioned when possible) with current documents, supplies, and equipment.
- The team gathers documents required for the performance of essential functions, including checklists.
- Personnel and the IT team coordinate the immediate transfer of the most recent version of essential documents, databases to online system(s) to be accessed from the alternate sites. Essential files may also be

transferred to removable storage media (flash drive, CDs) or transported in hardcopy.

- Each court office secures the vacated work areas in the main court facility if possible.
- The sheriff should take appropriate measures to ensure security of staff, courthouses, and equipment or records remaining in the courthouse.
- If a trial is in progress during an emergency, it may be necessary to relocate all individuals, including the jury.

The [Court] COOP plan has [*list number of facilities*] relocation sites from which essential court operations may be conducted. Because space and support capabilities at these sites are limited, the number of personnel to be relocated must be restricted to the Emergency Response Team. Some personnel may move to another site to continue to support essential functions, while others may be asked to work from home. As the crisis situation stabilizes, additional essential functions and personnel to support them will be acquired.

The order in which the Emergency Response Team will relocate to an alternate site is as follows:

- Advance Team
- Leadership Group
- Essential Function Team

Phase II – Alternate Site Operations

Upon arrival at the relocation site, the [*name position*] will evaluate the capabilities and take appropriate action to correct deficiencies and prepare the facility/facilities for the arrival of leadership and the essential functions team. The [*name position*] disseminates administrative and logistics information to arriving court members, who will then move to designated spaces and commence essential operations. As appropriate, court members begin to retrieve pre-positioned information and data and activate information, data systems, and equipment.

During COOP plan activation, it is expected that the working hours of the Emergency Response Team most will be similar to normal non-emergency periods. Some support operations may be required on a 24-hour-per-day, seven-day-per-week basis and work schedules will be adjusted accordingly.

The performance of essential functions is the key focus for operations at the alternate site. It is important to establish priorities prior to an emergency to enable the Essential Functions Team to perform essential functions. To make certain that essential functions continue as soon as possible, each court office has identified and prioritized the essential functions, and designated those who will perform the functions. Tasks deemed not essential will be deferred until normal operations are feasible. Resource and staffing requirements, critical data, and systems necessary

for conducting the essential functions were identified and integrated so that essential functions can be performed seamlessly.

Phase III – Recovery/Reconstitution

Depending on the nature of the emergency or disaster, there may be loss of life and/or destruction of physical property, and it may be necessary to rebuild or reconstitute the court. The options include:

- Continue to operate from the current alternate site(s)
- Begin an orderly phased return to the [courthouse] and pre-event status
- Begin to establish a reconstituted court at another location in [courthouse location]

A recovery and reconstitution procedure commences when the [name position] confirms that the emergency has ended and is unlikely to recur. It is the responsibility of the [name position] to ensure coordination of recovery and reconstitution decisions with appropriate state and local authorities.

SECTION 2 - COOP PLAN TEMPLATES

This section provides a description of operational actions for activation and recovery activities. The templates form the completed COOP Plan that provides a combination of detailed and operational information critical to the successful implementation of the Plan.

COOP Plan Elements

1. Alert and Notification

This Element sets forth policies and procedures for the formal emergency notification to employees through a system or variety of systems that an incident may or has occurred. The alert and notification system also provides response directions to employees and external stakeholders regarding acquisition of future information. The systems may include, but are not limited to, an organization's emergency telephone notification system; public announcement system; broadcast email; automated telephone messaging; call trees; in person contacts; or use of contracted alert and notification services.

2. Essential Functions

Essential functions are those court functions that, if not performed, would result in failure of the court or court unit's mission. When considering which functions are essential, they should be prioritized according to their impact on

life, death, and freedom (vis-à-vis detention), and those that are required to maintain civil authority and public safety. Each court office/department should identify and prioritize its essential functions, and essential functions team including alternates.

3. Order of Succession

Order of succession ensures a seamless court command structure so that all internal and external stakeholders always know who is in charge. While Order of Succession and delegations of authority are often closely linked and are considered vital records of the court because they identify the leadership or 'next-in-command' structure, and provide for specific authorities, they do not serve duplicate purposes and should be treated separately. For example, the successors, who most often are in decision making positions and effect policy, may not be the same person delegated authority to address administrative matters such as payroll or procurement. Orders of Succession should be written and are in effect only until the primary command structure is resumed.

4. Delegations of Authority

Ensures seamless transfer of leadership decision-making, administrative approval, and procurement powers and are limited to the period of COOP Plan activation. To facilitate an immediate response to an emergency situation, the courts should pre-delegate authority for making administrative decisions at all organizational levels, but particularly at the procurement and human resource levels. Delegations should be written and be effective only until the primary authority is resumed.

5. Alternate Facilities

With the exception of a pandemic, essential court functions may be relocated to pre-screened and pre-approved alternate facilities because the primary facility is unavailable. Where necessary, memoranda of understanding should be executed with the alternate site managers and updated annually.

6. Communications

Notification of COOP Plan activation must be conveyed to external agencies, e.g., the public, bar, state, local and federal authorities. Internal communications involve notifying employees that activation of the COOP Plan occurred. Procedures must be established to gather and verify information (situational awareness) to ensure that judicial officers and court leadership have credible information on which to base decisions. A designated person(s) should be assigned to disseminate information to employees and external constituents to ensure the continuity of message.

7. Interoperable Communications

The ability to communicate with internal (court personnel) and external stakeholders (e.g., law enforcement, first responders, emergency management agencies) is imperative. Multiple and redundant technologies should be employed when possible because communications failures are inevitable in a disaster.

8. Vital Records, Databases, and Information Systems

The protection and availability of vital records, databases, and information systems such as orders of succession, delegations of authority, financial, budget, personnel, case files, and property and procurement records required to support the court's essential functions.

9. Human Capital

This Element addresses the plans and procedures that apply to court staff who are not directly involved with emergency response teams or operations particularly at an alternate facility. It also addresses available crisis management services and any court sponsored network of services for employees and their families.

10. Devolution

Element 10 ensures that the capability exists to transfer authority and responsibility for essential functions from a specific court office and primary work locations to other court personnel in another court or at an alternate facility to sustain that court office's operational capability for an extended period of time if the primary office and/or personnel are unavailable or incapacitated.

11. Recovery/Reconstitution

The element lists the steps to return operations to pre-event status. This may include a phased activation of HVAC systems, voice and data systems, mail services, personnel, and operational and administrative activities.

Training

Training encompasses tests of plans and emergency operating procedures, simulated and scenario based exercises to rehearse the response plans, and training and education of all staff and the ERT. Training, testing and exercising COOP plan capabilities are necessary activities to identify gaps, improve the ability of

the court to execute its essential functions, train all personnel to create a culture of preparedness, and rehearse plan activation through simulated disaster exercises.

Training

To maintain a viable COOP plan, court staff will be trained to perform designated essential functions at an acceptable level of proficiency, particularly if the essential function is not the person's primary, routine function. Proficiency in COOP plan activities is achieved by selecting and training key individuals; then by training the group that will be involved in COOP plan activation; and finally, by training the court as a whole. Training and educating the entire staff about response plans and precautionary activities such as those that relate to security and a pandemic are important and help create a culture of preparedness. The training portion of the program includes:

- An emergency preparedness (including a pandemic) and COOP plan awareness workshop for all court staff
- A COOP plan senior leadership orientation
- A comprehensive readiness program to ensure the preparedness of court personnel assigned to carry out essential functions during COOP plan activation.

Tests

The court will conduct regularly scheduled testing of the court's plans and procedures, equipment and information systems that will support the essential functions during COOP plan activation to identify and correct gaps and weaknesses. The testing portion of the program provides the following:

- Quarterly evaluations of "alert systems," including instructions for relocation to pre-designated facilities, with and without warning, and during business and non-business hours.
- Evaluations of the court's ability to access vital records, information systems, and the data management software and equipment necessary to perform essential functions.
- Evaluations of Alert and Notification and communication systems.
- Evaluations of the support services at the alternate site (e.g., water, electrical power, IT infrastructure, and HVAC) at the alternate facility(s).

Exercises

Exercises are a variety of simulated disasters designed to keep the COOP plan viable and to improve the ability of court staff to execute the plan. The exercise portion of the TT&E program includes:

- Bi-annual activation of the COOP plan requiring notification and verbal walk-through of the activation procedures
- Annual activation of the court COOP plan for physical relocation to an alternate facility
- Annual tabletop exercises for the court staff which also may include select external stakeholders

Multi-Year Strategic Plan

This long range plan is designed to ensure that adequate resources (e.g., people and equipment) necessary to build and strengthen essential functions capabilities are identified and obtained. The plan also sets forth the annual COOP plan maintenance schedule to ensure the plan remains viable. Figure 4 sets forth the maintenance schedule.

Figure 4: COOP Maintenance Schedule

Action	Cost	Tasks	Responsible Position	Frequency
Update and certify the Plan		<ul style="list-style-type: none"> • Review entire plan for accuracy • Incorporate lessons learned from real-life activations of the plan and from testing and exercises • Incorporate changes in policy and philosophy • Manage distribution 	[Name/ Position responsible]	Annually
Maintain and update Orders of Succession and Delegations of Authority		<ul style="list-style-type: none"> • Obtain current incumbents • Update rosters and contact information 	[Name/ Position]	Semi-Annually
Revise checklists and contact information for Emergency Relocation Team members		<ul style="list-style-type: none"> • Update and revise checklists • Confirm/update information for members of the Emergency Relocation Team 	All Court Offices	Annually
Appoint new members to the Emergency Relocation Team		<ul style="list-style-type: none"> • Train new members on their responsibilities • Integrate new members into team training 	[Name/ Position]	As needed
Maintain alternate facility readiness		<ul style="list-style-type: none"> • Check all systems • Verify accessibility • Cycle supplies and equipment, as necessary 	[Name/ Position]	Monthly
Monitor and maintain vital records management program		<ul style="list-style-type: none"> • Monitor volume of materials • Assist court staff with updating/removing files 	All Court Offices	Ongoing
Train new court staff		<ul style="list-style-type: none"> • Include in new employee orientation 	[Name Position]	Within 30 days of appointment
Orient new policy officials and senior leadership		<ul style="list-style-type: none"> • Brief officials on existence and concepts of the COOP plan • Brief officials on their responsibilities under the COOP plan 	[Name Position]	Within 30 days of appointment
Plan and conduct exercises		<ul style="list-style-type: none"> • Conduct internal COOP exercises • Conduct joint exercises with other courts • Conduct joint exercises with judges and staff 	[Name Position]	Semi-annually As needed

COOP Plan Templates

1. Alert and Notification

This template identifies the specific means to alert and notify staff that a crisis or disaster is about to occur, or has occurred, and that the COOP plan was activated.

Name the person(s), and their position, responsible for initiating the alert and notification process and the processes used. (Note: this could be a public information officer or information technology officer, upon direction from the chief justice, coordinating the activation of an automatic or electronic messaging system.) Pre-scripted messages are helpful in crisis situations because they disseminate the same information and directions to all staff.

One person should be responsible for the alert and notification activities to ensure consistency of information. Messages should provide information about the event and instructions to staff and the response teams. Electronic alert and notification systems should be coordinated with the IT staff. If call trees are used, provide detailed information about who initiates the call, the cascade order, and contact information. Similarly, if a combination of methods is used, check that box and describe the combination system in a brief narrative.

One template may be completed for the overall plan if there is only one Alert and Notification system for the entire court (all court offices). If each court office has a separate system, a template should be completed by each office and incorporated into the overall plan.

Template 1 Sample
Court Office: Family Court

Person/ Position Responsible	Alternate Responsible Persons/ Position	Telephone Messaging/ Office	Telephone Messaging/ Remote Phone Numbers	Email Broadcast/ Office	Email Broadcast/ Remote Addresses	Call Tree	Combination
John Jones, Automation Specialist	Mary Smith, automation specialist	X	X	X	X		X
Name Each court office supervisor	Name Supervisor designees					X	X

2. Essential Functions

Essential functions are those tasks, functions or activities that, if not performed, would result in the court failing to meet its legal and constitution requirements. Each court office completes an essential function template. For a pandemic, sufficient alternates should be identified and trained to perform the essential functions and entered into the template because of anticipated high absenteeism (perhaps 40% over 18-24 months).

Each court office should decide how soon after COOP plan activation (also known as recovery time objective) each prioritized essential functions should be available. Essential functions must be ranked according to their priority so the Emergency Response Team knows how to prioritize response efforts. For example, the court offices could categorize essential functions according to priority levels with recovery time objectives that are practical for each court's unique situation: For example, those functions classified as one, may be those that impact life, death, safety, and freedom. The chart below illustrates five priority levels:

Priority	Recovery Time Objective
1	0 - 24 hours
2	24 - 48 hours
3	3 - 5 days
4	5 - 30 days
5	Indefinite

**Template 2 Sample
Essential Functions
Court Office: Family Court**

Priority	Recovery Time Objective	Essential Function	Location 1	Location 2	Location 3
1	24 hours	Hearings - Includes Preliminary Exams/Arraignments/ Detention Hearings	Courthouse B	Courthouse C	Law School
2	48 hours	Mail Services	same	same	same
3	5 days	Authorize and process bench warrants	same	same	same

**Template 2 Sample
Essential Functions Team
Court Office: Family Court**

Essential Function	Primary	Alternate 1	Alternate 2	Alternate 3
Hearings - Includes Preliminary Exams/Arraignments/ Detention Hearings	Mary Jones Family Court Title/Position Contact Info	John Smith Family Court Title/Position Contact Info		
Mail Services				
Authorize and process bench warrants				

3. Order of Succession

Each court unit completes this template to ensure a continuous leadership structure. Orders of Succession should be deep enough to respond to the impact of a pandemic where high absenteeism and mortality rates are expected. The order should be written and revert to the original leadership when conditions return to the pre-event status. When feasible, court offices and judicial officers should consider successors located in other geographical areas to avoid successors being affected by the same disastrous event.

**Template 3 Sample
Order of Succession
Court Office: Clerk's Office**

Primary contact	Contact information	Alternate1 contact	Alternate1 contact information	Alternate2 Contact	Alternate2 Contact information
A.B. See, Clerk of Court	Cell: Office: Home: Out of Area:	X.Y. Zee, Deputy Clerk of Court	Cell: Office: Home: Out of Area:	Elameno Pea, Budget Director	Cell: Office: Home: Out of Area:

4. Delegations of Authority

Each court office completes this template to ensure administrative matters are accomplished seamlessly. Delegations should be deep enough to respond to a pandemic. Contact information should include cell phone, home phone, contact information outside the area, home email, and work email and phone information. Delegations should be written and revert to the original designee as soon as possible following the event.

**Template 4 Sample
Delegations of Authority
Court Office: Clerk's Office**

Delegated Authority (function)	Primary/contact information	Alternate/contact information	Alternate/contact information
Payroll certification	A.B. Jones, Payroll clerk Home: 555-1212 Cell: 555-1234 Alt#: 555-1235 Email: primary and secondary	C.D. Smith, assistant payroll clerk Home: 555-1111 Cell: 555-2222 Alt#: 555-3333 Email: primary and secondary	E.F. Miller, Budget Analyst Home: 555-1235 Cell: 555-3333 Alt#: 555-3444- Email: primary and secondary
New Emergency Case Filing			
Funds Disbursement			

5. Alternate Site(s)

At least three alternate sites should be identified. When possible, two of the sites should be located outside the geographical area of the primary facility. The court should develop a list of criteria required for suitable alternate sites (see Tables 1 and 2 in Appendix C), and identify the location and logistics of each. Maps to each site should be provided to the Emergency Response Team, and where required, Memoranda of Understanding (MOUs) should be executed and remain current.

Template 5 Sample

Alternate Sites

Court Office: Court of Appeals/Trial Court

Priority	Essential Functions	Primary Operating Site	Scenario I: Building Only	Scenario II: Local Area	Scenario III: Regional Area
Court of Appeals					
1	Emergency appeals	Courthouse 1	Courthouse 2	Law School	Law School
1	Detention order appeals (Juvenile/Adult)	Courthouse 1	Courthouse 2	Law School	Law School
1	Motions to Stay (resuscitation; transfusions)	Courthouse 1	Courthouse 2	Law School	Law School
1	Appeal from commitment orders	Courthouse 1	Courthouse 2	Law School	Law School
Trial Court Essential Functions					
1	Hearings - Includes Preliminary Exams/Arraignments; Detention Hearings. Needs to include court room clerks, interpreters, and staffing.	Courthouse	Sheriff's Office	Federal Court	Law School
1	Communications with sheriff's office and law enforcement agencies	Courthouse			
Trial Court Essential Functions					
1	Maintain Internal and External Communications (judges, staff, administrative office, other agencies and courts; and public, media, local, state, and federal partners)	Courthouse			
1	Temporary emergency shelter	Courthouse	Leased space		Law Schools
1	Juvenile intake/conduct interviews/investigation				

6. Communications

The overall purpose of the communications and public information effort is twofold: (1) to provide consistent, timely, accurate, and easy-to-understand information to employees, lawyers and litigants, building tenants, other courts and external

agencies, and to the general public during an emergency; and (2) to gather, analyze, and disseminate event information to the court's decision makers. Communications objectives are to achieve the following:

- Provide up-to-date information about the impact of the disaster or emergency on court operations
- Provide current information on revised or amended court processes and procedures
- Instill confidence that the courts will continue to function
- Inform the public on the execution of the court's activities
- Respond to unsubstantiated rumors with accurate information

A single point-of-contact should be designated to disseminate information to the Emergency Response Team, all employees, the media, public, and external stakeholders. The following templates may be used to capture internal, media, and external contact information.

**Template 6 Sample
Court Contact List**

Department	Contact	Emergency Number
- Media Contact		
- Telecommunications/IT		
- Jury Office		

**Template 6 Sample
Media Contact List**

Medium	Telephone	Other Contact Info
Radio		
Television		
Newspapers		

**Template 6 Sample
External Communications Contact List**

Audience	Name/Title	Telephone Number
City Local Level		
• Police Department		
• Fire Department		
• Emergency Management Agency		
• Department of Public Safety		
• Public Defender Service		
• Prosecutors Office		
• Health Department		

The following template may be used to provide staff with resources available to obtain information during an emergency, disaster, or disruption.

**Template 6 Sample
Communications Options for Court Staff**

Target Audience	Warning/Notification of Initial incident	Resumption of services/ directions for accessing them
The Public	Media (local – TV and radio) Court Web Site: Radio /TV News Public Address System	Media (local - TV and radio) Court Web Site:
Judicial Officers and Court Employees	Court Web Site Email Broadcast Internal Contact List Media Cell Phones Satellite Phone Nextel-type Phone/Radios PDA Court Emergency Information Line (e.g., 1-800 number)	Court Web Site Internal Contact List Media Cell Phones Court Information Line

7. Interoperable Communications

During an emergency and the activation of the COOP plan, communications with external agencies and stakeholders will be necessary but may not be available through regular means. Redundancy of communications equipment is essential. Therefore, it is imperative that communications devices be interoperable and redundant, internally as well as externally, pre-programmed with the phone numbers of key internal and external contacts, and that back-up interoperable systems are available. Members of the Emergency Response Team must know how to use the devices and store them away from the court facility. This template provides the court with a means to list each device, to whom it is assigned, and with whom it is compatible.

**Template 7 Sample
Interoperable Communication Devices**

Device	Assigned To	Location of Device	Agency Compatible
Satellite phone #12345	Judge 1	Judge's home	Police, Fire, Rescue
Blackberry #6789	Judge 1	On person	N/A

8. Vital Records, Databases, and Information Systems

The court should take steps to secure and to ensure access to authorized persons of vital records, databases, and information systems including, but not limited to:

- Emergency Operating Records - COOP Plans and procedures for response teams
- Legal and Financial Records - personnel, payroll, contact, and vendor lists
- Classified or sensitive data necessary to perform essential functions and activities and reconstitute operations

This template should capture all information about each court office's vital records, databases, and information systems, and it should be integrated with the IT department's disaster recovery plan.

Template 8 Sample
Vital Records/Critical Systems/Databases
Court Office: Family Court

Office	Document Name	Document Description	Supporting Application and/or Information System	Medium	Storage Location	Medium of Backup	Storage Location of Backup	Frequency of Backup
Family Court	Intake Form 1	New case activation	CA-Sys	Server X	Courthouse	Relay/disc	Bank vault	Nightly

9. Human Capital (No Template)

List and describe in narrative form personnel policies and procedures that impact the emergency response team as well as non-essential personnel (e.g., compensation) and how personnel information will be conveyed to staff before and during an emergency. Also provide information about employee assistance programs available in the wake of a disaster and any response team support networks.

To reduce the conflict between family and emergency response team roles and responsibilities, the court might consider developing a support network for response team families. The emergency response team members should also be encouraged to develop a family support plan. Programs should also be in place to help staff return to the court following a disruption.

10. Devolution

Devolution is the process to ensure the capability exists to transfer authority and responsibility for essential functions from one court office to another (or one chambers to another) in the event the primary office/chambers is unavailable. In this section, describe the process and procedures of how and to whom each court

office/judicial officer essential functions will devolve. As soon as a catastrophic event renders court facilities and personnel incapacitated, the devolution plan should address the essential functions that must automatically be transferred to a pre-determined office or chambers.

If a court office or chambers operations are not feasible because of the loss of personnel, temporary leadership of the court office or chambers should be passed to a pre-designated court office or chambers. The devolution office and personnel must be capable of supporting all the COOP essential functions and activities of the devolving court office.

**Template 10 Sample
Court Office: All**

Primary Office	Devolution Office
Clerk's Office/Criminal Division	Clerk's Office/Civil Division
Juvenile Court	Adult Court
Chambers 'A'	Chambers 'B'

11. Recovery/Reconstitution (No Template)

Identify in narrative form the procedures to resume operations and administration to pre-event status such as:

- IT Systems
- Voice and Data Communications
- Business Operations
- Mail Service
- Personnel

In this section the court creates a plan to transition from COOP to pre-event status after the threat or disruption subsides or ends. Where relocation to an alternate(s) was necessary, the procedures should ensure a smooth transition from the relocation site to the original or new court facility.

Appendix

B

 **COOP Plan Templates**

The following blank COOP plan templates are designed for users to complete each section of the plan through a series of instruction prompts. Unlike the Sample COOP Plan in Appendix A, all information in the blank templates must be entered by the user.

CONTINUITY OF OPERATIONS PLAN

FOR THE

[INSERT COURT NAME]

[INSERT DATE]

[Insert Court Logo]

[Enter header if desired]

TABLE OF CONTENTS

[Enter TOC for COOP Plan]

[Enter footer if desired]

[Enter page number]

[Enter header if desired]

Security Notice

[Insert the court's policy for authorized distribution of the COOP plan.]

[Enter footer if desired]

[Enter page number]

[Enter header if desired]

1.0 Executive Summary

[Insert a brief summary of who or what entity authorized the development of the COOP plan, the court offices covered by the plan, and its general purpose.]

1.1 Introduction

[Insert a statement as to why the plan was developed and what, if any, guidance was used in its preparation.]

1.2 Purpose

[Insert the purpose of the COOP plan, e.g., goals and objectives.]

1.3 Applicability and Scope

[Insert the court offices and entities covered by the plan and how the plan is to be applied.]

1.4 How to Use this Plan

[Insert how the COOP plan is organized and what is covered in each section.]

2.0 COOP Plan Implementation (Concept of Operations)

[Insert an overview of the framework to implement the COOP plan.]

<i>Note</i>
This is high-level information particular to court operations, and the essential functions of each court office required to be performed in a disaster. It also provides the framework and decision process for how the court will implement the COOP Plan and how it will address each of the eleven COOP Plan elements.

[Enter header if desired]

3.0 Decision Process

[Insert detailed information about the leadership structure and the response team composition.]

Note
Describe how leadership and the response team will make decisions about when and under what circumstances to execute the COOP plan. Address the three execution phases: Phase I—Activation and Relocation Phase II—Alternate Site Operations Phase III—Recovery and Reconstitution Provide information about who will relocate to what alternate site(s) and in what order this will occur; and address the policies that impact non-essential personnel and means and methods to communicate with essential and non-essential personnel.

3.1 Planning Assumptions

[Insert information about the four basic planning scenario assumptions.]

Note
<ul style="list-style-type: none">• Courthouse only is affected• Courthouse and immediate vicinity are affected• Geographic region is affected• Pandemic Influenza (state-wide/world-wide)

3.2 COOP Plan Phases

[Insert detailed information about how each of the three COOP plan phases will be executed.]

Note
Phase I—Activation and Relocation Phase II—Alternate Site Operations Phase III—Recovery and Reconstitution

4.0 Eleven Core COOP Plan Elements

[Insert definitions such as those below for each element.]

Alert and Notification - sets forth policies and procedures for the formal emergency notification to employees through a system or variety of systems that an incident may occur or has occurred. The alert and notification system also provides response directions to employees and external stakeholders regarding acquisition of future information. The systems may include, but are not limited to,

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[Enter header if desired]

an organization's emergency telephone notification system; public announcement system; broadcast email; automated telephone messaging; call trees; in person contacts; or use of contracted alert and notification services.

Essential Functions - court functions that if not performed, would result in failure of the court or court unit's mission. When considering which functions are essential, they should be prioritized according to their impact on life, death, and freedom (vis-à-vis detention), and those that are required to maintain civil authority and public safety.

Order of Succession - establishes a seamless transfer of leadership and decision-making authority for the period of the COOP Plan activation.

Delegations of Authority - establishes successive lines of administrative approval and procurement authority for the period of COOP Plan activation.

Alternate Facilities - pre-screened and pre-approved alternate facilities to be used in the event the primary facility is unavailable. Where necessary, memoranda of understanding should be executed with the alternate site managers and updated annually.

Communications - procedures to gather, verify, and disseminate information to decision-makers, all personnel, law enforcement, external stakeholders, and the public.

Interoperable Communications - communication devices that provide the ability to communicate with internal and external stakeholders.

Vital Records, Databases, and Information Systems - the identification, protection and availability of vital records, databases, and information systems to support essential functions.

Human Capital - plans and procedures that apply to court staff not directly involved with emergency response teams or operations particularly at an alternate facility. It also addresses available crisis management services and any court sponsored network of services for employees and their families.

Devolution - ensures that the capability exists to transfer authority and responsibility for essential functions from a specific court office and primary work location to other court personnel in another court or at an alternate facility to sustain that court office's operational capability for an extended period of time if the primary office and/or personnel are unavailable or incapacitated.

Recovery/Reconstitution - steps to return operations to pre-event status.

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4.1 COOP Plan Core Element Templates

Following are the blank COOP plan templates that can be used as is or modified for each court's specific needs.¹

¹ The National Center for State Courts (NCSC) is grateful to the Bureau of Justice Assistance, Office of Justice Programs, for providing funding to the NCSC for the development of a continuity of operations plan guide and templates. Through this grant, the NCSC established a 20 person coalition of nationally recognized court and emergency preparedness officials to develop the guide and templates, with a pandemic emphasis, that will be available in 2007. Some of the information contained in Part II of the [Strategic Plan for a Comprehensive Emergency Management Program](#) will be modified to coincide with the Bureau of Justice Assistance guidance and templates upon completion of the coalition's work.

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COOP PLAN TEMPLATE 1: ALERT AND NOTIFICATION

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

Insert details about the specific means to alert and notify staff that the COOP Plan was activated. Name the person(s) responsible for initiating the alert and notification process and the processes used. In addition to the template, include a narrative description of the alert and notification process steps. If more than one court office has an alert and notification system, each court office should complete a template for inclusion in the final court plan.

[Insert Court Office]

Person Responsible	Alternate Responsible Persons	Telephone Messaging/ Office	Telephone Messaging/remote phone numbers	Email Broadcast/ Office	Email Broadcast/ Remote Addresses	Call Tree	Combination

[Insert narrative description of process]

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COOP PLAN TEMPLATE 2: ESSENTIAL FUNCTIONS

[Delete instructions if desired: Highlight Instructions box, click “Table” in Toolbar, then “Delete Table”]

Instructions

Each court office completes an essential functions template. Do not mingle court office essential functions. For a pandemic, sufficient alternates should be identified and trained to perform the essential functions and entered into the template because of anticipated high absenteeism.

Essential functions must be ranked according to their priority so the Emergency Response Team knows when to activate which functional capabilities and in what order. For example, the court offices could list essential functions according to the five priority levels identified below with recovery time objectives (RTO) that are practical for each court’s unique situation:

Priority	Recovery Time
1	0 – 24 hours
2	24 – 48 hours
3	3 – 5 days
4	5 – 30 days
5	Indefinite

[Insert Court Office Name]

Priority	Recovery Time Objective	Essential Function	Location 1	Location 2	Location 3

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[Enter header if desired]

Essential Functions Team
[Insert Court Office Name]

Essential Function	Primary Name Contact Information	Alternate 1 Name Contact Information	Alternate 2 Name Contact Information	Alternate 3 Name Contact Information

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COOP PLAN TEMPLATE 3: ORDER OF SUCCESSION

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

Judicial officers and each court office complete a separate template. Insert the name, position, and contact information for the primary and alternate persons with leadership and decision making authority that ensures a seamless command structure.

[Insert Court Office Name]

Primary Contact Information	Secondary Contact Information	Alternate contact information	Alternate contact information	Alternate contact information
Name:				
Cell:				
Home:				
Office:				
Alternate #:				
Email 1:				
Email 2:				
Address:				

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COOP PLAN TEMPLATE 4: DELEGATIONS OF AUTHORITY

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

Each court office completes this template. Insert the name, position contact information and alternates for those delegated administrative authority for functions such as human resources, budget and finance, and procurement. Delegations should be authorized in writing and revert to the original designee as soon as possible following the event. Attach written delegation to appendix.

[Insert Court Office Name]

Delegated Authority (function)	Primary/contact information	Secondary/contact information	Alternate contact information	Alternate contact information
	Name: Cell: Home: Office: Email 1 Email2			

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[Enter page number]

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COOP PLAN TEMPLATE 5: ALTERNATE SITES

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions	Each court office should complete this template then merge the information into a consolidated template. Identify at least three alternate sites geographically and when possible, two of the sites should be located outside the geographical area of the primary facility. As required, Memoranda of Understanding (MOUs) should be executed and updated accordingly for alternate sites.
---------------------	---

[Insert Court Name]

Priority	Essential Functions	Primary Operating Site	Scenario I: Building Only	Scenario II: Local Area	Scenario III: Regional Area
[Insert Court Office Name]					
[Insert Court Office Name]					
[Insert Court Office Name]					

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COOP PLAN TEMPLATE 6: COMMUNICATIONS

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

Designate a single point-of-contact and alternates to disseminate information to the Emergency Response Team, all employees, the media, public, and external stakeholders.

Internal Court Contact List

Public Affairs Officer	Court Office	Contact #	Emergency Number

Media Contact List

Medium	Telephone	Other Contact Info
Radio		
Television		

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External Communications

Agency	Name/Title	Telephone Number
City Local Level		
• Sheriff's Office		
• Police Department		
• Fire Department		
• Emergency Management Agency		
• Department of Public Safety		
• Public Defender Service		
• Prosecutors Office		
• Health Department		

[The following table provides resources available for court staff to obtain information during a disruption.]

Communications Options for Court Staff

Target Audience	Warning/Notification of Initial incident	Resumption of services/ directions for accessing them
The Public	Media (local - TV and radio) Court Web Site: Radio /TV News Public Address System	Media (local - TV and radio) Court Web Site:
Judicial Officers and Court Employees	Court Web Site Email Broadcast Internal Contact List Media Cell Phones Satellite Phone Nextel Phone/Radios PDA Court Emergency Information Line (e.g., 1-800 number)	Court Web Site Internal Contact List Media Cell Phones Court Information Line

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COOP PLAN TEMPLATE 7: INTEROPERABLE COMMUNICATIONS

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

List all communications devices; to whom they were assigned (name and position); where they are located and with whom they are interoperable.

Interoperable Communication Devices

Device	Assigned To (name and position)	Date Assigned	Location of Device	Agency Compatible

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COOP PLAN TEMPLATE 8: VITAL RECORDS, DATABASES AND INFORMATION SYSTEMS

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

Record all information about each court office's vital records, databases, and information systems. This information must be integrated with the IT department's Disaster Recovery Plan (DRP).

Vital Records/Critical Systems/Databases Template

Court Office	Document Name	Document Description	Supporting Application and/or Information System	Medium	Storage Location	Medium of Backup	Storage Location of Backup	Frequency of Backup

[Enter footer if desired]

[Enter page number]

[Enter header if desired]

COOP PLAN TEMPLATE 9: HUMAN CAPITAL

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

This is a narrative section. List and describe personnel policies and procedures that impact the Emergency Response Team as well as non-essential personnel (e.g., compensation) and how personnel information will be conveyed to staff before and during an emergency. Also provide information about employee assistance programs available in the wake of a disruption and any response team support networks. To reduce the conflict between family and emergency response team roles and responsibilities, the court might consider developing a support network for response team families. The Emergency Response Team members should also be encouraged to develop a family support plan. Assistance should be provided to help employees transfer from emergency operating status to normal operating status.

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COOP PLAN TEMPLATE 10: DEVOLUTION

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

Describe the process and procedures in a narrative of how and to whom each court office's/judicial officer essential functions will devolve. List the primary and devolved office.

Primary Court Office	Devolved Office

[Enter footer if desired]

[Enter page number]

[Enter header if desired]

COOP PLAN TEMPLATE 11: RECOVERY/RECONSTITUTION

[Delete instructions if desired: Highlight Instructions box, click "Table" in Toolbar, then "Delete Table"]

Instructions

Identify, in narrative format, the procedures to resume operations and administration to pre-event status such as:

- IT Systems
- Voice and Data Communications
- Business Operations
- Mail Service
- Personnel

Describe the plan to transition from activation status to a pre-event status. Events will necessitate unique sequential recovery activities but the plan should provide guidance as to how recovery and reconstitution will occur.

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APPENDICES

Insert:

- Alternate site memoranda of understanding
- Maps to alternate sites
- Checklists
- Draft operational orders
- Judicial correspondence/orders
- Glossary
- Acronyms
- References

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Appendix

C



[Sample Memoranda of Understanding](#)



[Sample Judicial Correspondence](#)



[Sample COOP Plan Activation Checklist](#)



[Sample Alternate Site Checklists](#)

**MEMORANDUM OF UNDERSTANDING BETWEEN
THE DISTRICT OF COLUMBIA COURTS AND U.S. DISTRICT COURT²**

**Memorandum of Understanding for
Support of Continuity of Operations (COOP) Activities
Between the U.S. District Court for the District of Columbia
And the District of Columbia Courts
(March 3, 2004)**

I. Purpose

This mutual aid agreement between the U.S. District Court for the District of Columbia (USDC-DC) and the District of Columbia Courts provides a framework for cooperation between the two parties in the event of an emergency or unforeseen event that results in access or suitability problems to the work sites of key officials. Under this agreement, each organization will assist the other with space, telecommunications, information management, security, and other administrative support for individuals with responsibility for essential functions.

II. Definitions

Host Organization – the organization providing space and other assistance/support.

User Organization – the organization requiring space and other assistance/support.

III. Scope

- A. This agreement provides, but is not limited to, the identified assistance in cases where the host organization is not significantly affected by the incident or event requiring activation of the agreement.
- B. The time period of host organization support is not expected to last more than seven working days, during which the user organization is to

² Inserted with permission from the District of Columbia Courts

acquire other space and support or negotiate an extended support arrangement with the host organization.

IV. Procedures

A. Availability of Space and Support

1. Each party to this agreement will work cooperatively to identify space, telecommunications, information management, security, and other administrative support necessary to support the temporary relocation of staff necessary to conduct essential functions. Such space and other support requirements will be documented in the attachment to this agreement and will be reviewed at least annually for accuracy and suitability. Attachments may be added at any time during the term of the COOP upon the mutual agreement of the parties
2. The Executive Officer of the District of Columbia Courts will immediately notify the USDC-DC Emergency Preparedness Coordinator (name deleted) of any situation that would significantly reduce the capabilities of the District of Columbia Courts to support the COOP, including the ability to fulfill requirements detailed in Attachment 1
3. The Clerk of the Court for the USDC-DC will immediately notify the Executive Officer of the District of Columbia Courts of any situation that would significantly reduce the capabilities of the federal Courthouse to support the COOP.

B. Activation of Space/Support

1. The USDC-DC Emergency Preparedness Coordinator (name deleted) or designee will promptly notify the Executive Officer of the District of Columbia Courts in the event that space is needed for USDC-DC COOP operations.
2. The Executive Officer of the District of Columbia Courts will promptly notify USDC-DC Emergency Preparedness Coordinator (name deleted) or designee in the event that space is needed for the District of Columbia Courts COOP operations.

3. During the period of activation, the host organization will provide good faith support to the user organization based on the requirements outlined in the attachment. However, modifications to those requirements are to be expected based on the particular circumstances of the incident or event.

C. Reimbursement of Costs

1. No exchange of funds in advance of activation of support requirements will take place.
2. The user organization is responsible for reimbursing the host for reasonable costs associated with actual COOP operations. Such costs are to be limited to extraordinary expenses of the host organization, such as supplies, equipment, personnel costs above normal salaries and benefits, security, and utilities. The host organization is to provide the user organization with appropriate cost codes and other billing information as soon as practicable. Due to the highly variable circumstances under which support may be needed, calculation of cost estimates for this agreement is not practical.

V. Terms

- A. This agreement will be effective on the date of the last signature thereto and will continue until rescinded, upon 30 days written notice, by either party.
- B. The attachments outlining specific space, telecommunications, information management, and other administrative support is to be reviewed and renewed annually on the anniversary date of the agreement by the parties. The Executive Officer of the District of Columbia Courts and the Clerk of Court for the USDC-DC shall be responsible for that annual review.

For the US District Court for
the
District of Columbia

For the District of Columbia Courts

Signature

Signature

Title

Title

Date

Date

Attachment 1

In the event of Court relocation, the U.S. District Court for the District of Columbia needs the following space, telecommunications, and support to conduct essential functions for a seven-day period.

- One office or conference room to establish a Command Center for the Emergency Relocation Team.
 - Power for several computers, printer, and fax machine.
 - Access to the Internet.

- One office for the Chief Judge and Clerk of Court to share.

- One courtroom with electronic equipment support.

Attachment 2

In the event of Court relocation, the District of Columbia Courts needs the following space, telecommunications, and support to conduct essential functions for a seven-day period:

- One office or conference room to establish a Command Center for the Emergency Relocation Team.
 - Power for several computers, printer, and fax machine
 - Access to the Internet

- One office for the Chief Judges, Executive Officer and Clerks of the Court to share

- Two courtrooms with electronic equipment support

SAMPLE ALTERNATE SITE MEMORANDA OF UNDERSTANDING**SAMPLE MEMORANDUM OF UNDERSTANDING BETWEEN
THE _____ (court) AND _____****Memorandum of Understanding for Emergency
Alternate Facility Space****Between the _____ (court)****And the _____ (court)****(Date) _____****I. Purpose**

This agreement between the _____ (court) and the _____ (court) provides a framework for cooperation between the parties in the event an emergency or disaster results in the inability to access court facilities. Pursuant to this agreement, each organization will assist the other with space, furnishings, telecommunications, information technology, security, and administrative support for the Emergency Response Team (e.g., advance team and those that perform essential functions).

II. Definitions

Host Court – the court that provides space and other support services.

Guest Court – the court/court office that requires space and other support services.

III. Scope of Agreement

- A. This agreement provides, but is not limited to, the identified assistance in cases where the host court is not affected by the emergency that precipitates the activation of this agreement.
- B. The time period of time the host court support is expected to last is less than _____ business days during which time the guest court will seek to acquire other more permanent facilities, or return to their original facility, or negotiate an extended support arrangement with the host court.

IV. Procedures

- A. Availability of Space and Support

1. The parties agree to work cooperatively to identify space, telecommunications, information technology services and equipment, security, and other services necessary to support the temporary relocation of the Emergency Response Team to perform essential functions. Space and other support requirements will be documented in an attachment to this agreement and will be reviewed and updated annually. The attachments may be modified at any time during the activation of this agreement and upon the mutual agreement of the parties.
 2. The [court administrator] of the host court will immediately notify _____ of the guest court of any situation that may reduce the guest court's ability or capabilities to support the COOP plan activation of the guest court.
- B. Activation of Space/Support
1. _____ of the guest court will promptly notify the [court administrator] of the _____ (host court) that the COOP plan was activated and alternate facilities are required.
 2. During the period of COOP plan activation, the host court will provide support to the guest court based on the requirements outlined in the attachment. However, modifications to those requirements are to be expected based on the particular circumstances of the incident or event.
- C. Reimbursement of Costs
1. No exchange of funds in advance of activation of support requirements will take place.
 2. The guest court is responsible for reimbursing the host for reasonable costs associated with actual COOP operations. Such costs are to be limited to extraordinary expenses of the host organization, such as supplies, equipment, personnel costs above normal salaries and benefits, security, and utilities. The host court is to provide the guest court with appropriate cost codes and other billing information as soon as practicable.

V. Terms

- A. This agreement will be effective on the date of the last signature thereto and will continue until rescinded, upon 30 days written notice, by either party.
- B. The attachments outlining specific space, telecommunications, information management, and other administrative support is to be reviewed and renewed annually on the anniversary date of the agreement by the parties. The [name the position of the court representative] of the _____ (court) and the [name the position of the court representative] for the _____ (court) shall be responsible for that annual review.

For the _____ (court)

For the _____ (court)

Date: _____

JUDICIAL LEADERSHIP COMMITMENT
SAMPLE MEMORANDUM

TO: Stakeholders

FROM: Chief Justice /Chief Judge

RE: Emergency Management Program

DATE:

In accordance with recommendations for the design and development of a Comprehensive Emergency management Program for the _____ and the regional offices, I asked (insert name), State Court Administrator, to form and lead a Emergency management Advisory Council (Council). (Insert name) will be responsible to ensure that the following steps are taken immediately, and that a draft program is submitted to me (Judicial Council) on or before _____, 2007:

1. Constitute an Emergency management Advisory Council (Council) comprised of key personnel/stakeholders from each court entity to serve as permanent members responsible for the development and maintenance of the program. The Council must define and publicize its mission; authority to operate; organizational structure, assignment of tasks, and timelines.
2. The program must contain prevention plans; preparation plans including individual court entity Continuity of Operations Plans (COOP plans); Response Plans; Recovery Plans; a Multi-year Strategy; and a Training Program.
3. Establish a mechanism to formally interface and communicate with state and local emergency management, law enforcement and first responder agencies, community members, the bar and public defender representatives.

JUDICIAL LEADERSHIP COMMITMENT

SAMPLE LETTER FROM CHIEF JUSTICE/CHIEF JUDGE TO STAKEHOLDERS

Dear Colleagues:

(Insert name), at our/my request, has taken steps to strengthen our emergency management capacity to ensure our readiness to prevent, prepare for, respond to, and recover from a broad array of emergencies or disasters that would significantly disrupt court operations (name specific court).

It is important for the judiciary to have the capability to perform essential activities and functions without interruptions under all hazards and circumstances including those that are man-made, natural, or technological. It is also critically important that we coordinate efforts and plans within the court(s) and with the local community to ensure successful plan execution and personnel safety.

To help in these efforts, we hired the National Center for State Courts because of their expertise in state court emergency and security planning, critical infrastructure protection, and continuity of operations planning.

Beginning (insert date), we will assess resource requirements, the status of our business continuity plans, develop continuity of operations plans, receive training, and establish a strategy to implement a comprehensive emergency management program.

Shortly, (insert name) will contact key stakeholders to plan and prepare for the kick-off meeting and subsequent interviews. Many of you will have a critical role in the success of this very important initiative and we ask that you give (insert name) your full cooperation and support. Also, because time is limited, we ask that you adhere to the interview schedule prepared by (insert name). In the interim, should you have questions, please contact (insert name) at (insert phone number and email address.)

Sincerely yours,

Chief Justice/ Judge

JUDICIAL LEADERSHIP COMMITMENT
LETTER FROM CHIEF JUDGE TO ALL KEY STAKEHOLDERS

Dear Colleagues,

(Enter court administrator name), at my request, has taken steps to strengthen our emergency management capacity to ensure the court provides essential services during an emergency or catastrophic event, and to recover operations and return to normal as soon as possible. It is important for the judiciary to have the capability to perform essential activities and functions without unacceptable interruption under all circumstances and situations, including those that are human-caused, natural, or technological in nature. It also is critically important that we coordinate the efforts and plans within our courts.

Beginning in _____, 2007, and continuing through (____) we will establish a strategy to implement a comprehensive continuity of operations program, assess resource requirements, the status of our business continuity plans, develop continuity of operations plans, and develop and deliver a testing, training, and exercise program.

Shortly (court administrator name) will contact key stakeholders to plan and prepare for the kick-off meeting and subsequent interviews. Many of you will have a role in the success of this very important initiative and I ask that you give (court administrator) your full cooperation and support.

Sincerely yours,

Chief Justice/Judge

Sample COOP Plan Activation Checklist

Action (Sample Information)	√
Alert and Notification	
Upon receipt of a relocation alert from court security and following consultation with the chief justice/judge, the court administrator initiates appropriate notification by contacting the leadership of each court office. Notification may be via personal contact, telephone, email, or a combination thereof.	
Persons notified by the court administrator will, in turn, contact the members of their court components or office using their internal notification procedures e.g., broadcast email and or phone messages.	
The court administrator notifies local authorities that an emergency relocation is anticipated or is in progress.	
Post Alert & Notification	
Emergency Response Team ensures Go Kits are complete with current documents and equipment, and are ready to be moved to the alternate facilities.	
Documents required for the performance of essential functions will be readied for movement.	
All court offices immediately transfer the most current essential automated databases to the relocation site. To facilitate reconstitution, backup copies of all databases should be used for COOP plan activation operations	
All court offices implement normal physical security procedures for area(s) being evacuated.	
The sheriff's office takes appropriate measures to ensure security of the courthouse, equipment, or records remaining in the building and provide for judicial officer safety.	
Emergency Response Team	
The chief justice/judge or court administrator directs the deployment of the Emergency Response Team which consists of the Advance Team, the Leadership Group, and the Essential Function Team, and coordinates judicial officer safety with the sheriff's office.	
Members of these teams will have their Go Kits ready for movement at all times (or they are pre-positioned).	
Non-Emergency Response Team Personnel	
In the absence of guidance to the contrary, non- emergency response personnel present at the courthouse (or affected court facility) at the time of an emergency notification will be directed to proceed home or to other facilities to await further instructions.	

Sample COOP Plan Activation Checklist (Pg. 2)

Action (Sample Information)	√
Emergency Response Team at Alternate Site(s)	
Following arrival at the alternate facility, the court administrator or his/her designee orders the cessation of operations at the courthouse (or affected court facility).	
The court administrator will notify appropriate authorities that court operations shifted to the alternate facility.	
Upon arrival at the alternate facilities, the Emergency Response Team checks-in and receives further instructions from the court administrator/designee.	
The court administrator disseminates administrative and logistics information to the Emergency Response Team upon arrival.	
If the situation is expected to persist for an extended period, the court administrator/clerk of court requests the U.S. Postal Service (USPS) to forward mail to the alternate facility(s).	
Following activation and deployment of the Emergency Response Team, the court leadership may request additional personnel at the alternate facility or at other relocation facilities if necessary.	
Vital Records are accessible at the alternate site.	
Telecommunications and information systems support personnel shall maintain all necessary and up-to-date files, documents, computer software, and databases required to carry out essential functions.	
Go Kits: Office heads are responsible for providing guidance to their members on the contents of these kits, which may include items such as hard copy forms and documents, software, databases, publications, laptop computers, battery operated tape recorder, batteries, and communication devices.	
Go Kits should be pre-positioned at the alternate facilities and maintained at team members' residences because the Emergency Response Team may be at home when the activation order is received and access to the Go Kits may be difficult or impossible if they are stored at the courthouse or other court buildings.	
Telecommuting: the court administrator/clerk of court is encouraged to consider providing a capability for computer connectivity between personal residences of Non-Court Relocation Group members and the Emergency Response Team at the alternate facility when appropriate and/or feasible during COOP plan activation.	



Sample Alternate Site Checklists

Table 1 provides the court a means to identify locations, site managers, and assess the suitability of the alternate site(s).

Table 1: Alternate Site Assessment

Alternate Site Contact	
Name:	
Address:	
Office Phone:	
Fax Number:	
Advantages	Limitations

Table 2 may be helpful when visiting and assessing possible alternate sites.

Table 2: Illustrative Site Selection Criteria

Selection Criteria	Comments
1. Space required by Emergency Response Team	
2. Space needed for judicial officers	
3. Number of courtrooms	
4. Accessibility to public transportation	
5. Availability of and proximity to hotel accommodations	
6. Proximity to restaurants, grocery stores, banks, vendors, etc.	
7. Support availability (e.g., custodial, technical, subject matter experts)	
8. Site agreements or MOU required	
9. Activation timeframe relocation (e.g., 12 hours?)	
10. Budget requirements (e.g., costs for space, communications, utilities)	
11. Floor plans available	
12. Condition of facility (mechanical, structural, etc.)	
13. Physical security available	
14. Utilities (water, electric, gas, etc.) acceptable	
15. Handicap accessibility	
16. Furniture and furnishings availability	
17. Storage space available	

18.	Employee and public parking available	
19.	Renovations needed to space/cost?	

Appendix

D

 **Sample Evacuation and Critical Incident Plan (GSA OEP Guide and eForms)**

<http://www.9-11summit.org/materials9-11/911/acrobat/27/P3%26C10EmergencyPreparednessPlans/GSAOccupantEmergencyProgram.pdf>

<http://www.gsa.gov/Portal/gsa/ep/formslibrary.do?viewType=DETAIL&formId=2847FBCF6DBB682285256A730010BD43>

 **Sample Shelter in Place Plans (Red Cross and OSHA)**

<http://www.redcross.org/services/disaster/beprepared/shelterinplace.html>

<http://www.osha.gov/SLTC/etools/evacuation/shelterinplace.html>

 **ATF Bomb Threat Checklist**

http://www.state.tn.us/homelandsecurity/bomb_checklist.pdf

The above documents and resources are also cited in Appendix E - Bibliography.

Appendix

E

References

 [Glossary](#)

[ABC Acronyms](#)

 [Bibliography](#)



Developed in conjunction with:



Glossary

A

ACTIVATION: The implementation of business continuity capabilities, procedures, activities, and plans in response to an emergency or disaster declaration; the execution of the recovery plan. Similar terms: Declaration, Invocation.

ADVANCE TEAM: The Advance Team consists of representatives from each Court office that has a COOP plan mission. This is the immediate response element that has primary responsibility for the implementation of the deployment phase of the COOP plan, and establishment of communications connectivity between officials and the Alternate Facility. The Advance Team's duties may include reporting immediately to its normal place of duty or to the Alternate Facility and making it operationally ready to receive the full COOP plan Emergency Relocation Team as soon as possible.

ALTERNATE FACILITY: A facility other than the regular Courthouse, to which designated judge(s), chambers staff (secretary, law clerks), and clerk's office staff move to continue essential court missions and functions in the event the regular courthouse is threatened or incapacitated

ALERT: Notification that a potential disaster situation exists or has occurred; direction for recipient to stand by for possible activation of disaster recovery plan. A formal notification that an incident has occurred, which may develop into a disaster.

ALTERNATE SITE: An alternate operating location to be used by business functions when the primary facilities are inaccessible. 1) Another location, computer center or work area designated for recovery. 2) Location, other than the main facility, that can be used to conduct business functions. 3) A location, other than the normal facility, used to process data and/or conduct critical business functions in the event of a disaster. Related Terms: Cold Site, Hot Site, Interim Site, Internal Hot site, Recovery Site, Warm Site.

ALTERNATE WORK AREA: Office recovery environment complete with necessary office infrastructure (desk, telephone, workstation, and associated hardware, communications, etc.); also referred to as Work Space or Alternative work site.

APPLICATION RECOVERY: The component of Disaster Recovery that deals specifically with the restoration of business system software and data after the processing platform has been restored or replaced. **SIMILAR TERMS:** Business System Recovery.

ASSEMBLY AREA: The designated area at which employees, visitors, and contractors assemble when evacuated from their building/site.

ASSET: An item of property and/or component of a business activity/process owned by an organization. There are three types of assets: physical assets (e.g. buildings and equipment), financial assets (e.g. currency, bank deposits and shares) and non-tangible assets (e.g. goodwill, reputation)

AUDIT: The process by which procedures and/or documentation are measured against pre-agreed standards.

ASSOCIATE BUSINESS CONTINUITY INSTITUTE (ABCI): BCI Membership for entry-level professionals who are currently in the business continuity or related profession.

ASSOCIATE BUSINESS CONTINUITY PROFESSIONAL (ABCP): DRI International, a non-profit corporation, certifies professionals and promotes credibility and professionalism in the business continuity industry. This is the entry level of certifications and achievable by a passing grade on an exam and approved application. Associated terms: Certified Business Continuity Professional (CBCP), Master Business Continuity Professional (MBCP).

ASYNCHRONOUS REPLICATION: Data replication or mirror in which the application is allowed to continue while the data is mirrored to another site. In this case, the application data can represent a prior state of the application. It is critical to use ordered asynchronous mirroring for real-time applications. This means that each write is applied in the same order at the second or backup site as it was written in the primary site, even if the network has re-ordered the arrival of the data. Associated term: synchronous replication.

ANNUAL LOSS EXPOSURE/EXPECTANCY (ALE): A risk management method of calculating loss based on a value and level of frequency.

B

BACKLOG: a) The amount of work that accumulates when a system or process is unavailable for a long period of time. This work needs to be processed once the

system or process is available and may take a considerable amount of time to process. b) A situation whereby a backlog of work requires more time to action than is available through normal working patterns. In extreme circumstances, the backlog may become so marked that the backlog cannot be cleared.

BACKUP (Data): A process by which data, electronic or paper based, is copied in some form so as to be available and used if the original data from which it originated is lost, destroyed or corrupted.

BACKUP GENERATOR: An independent source of power, usually fueled by diesel or natural gas.

BUSINESS CONTINUITY: The ability of an organization to provide service and support for its customers and to maintain its viability before, during, and after a business continuity event.

BUSINESS CONTINUITY COORDINATOR: Designated individual responsible for preparing and coordinating the business continuity process. **SIMILAR TERMS:** disaster recovery coordinator, business recovery coordinator.

BUSINESS CONTINUITY MANAGEMENT (BCM): A holistic management process that identifies potential impacts that threaten an organization and provides a framework for building resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value creating activities. The management of recovery or continuity in the event of a disaster. Also the management of the overall program through training, rehearsals, and reviews, to ensure the plan stays current and up to date.

BUSINESS CONTINUITY PLAN ADMINISTRATOR: The designated individual responsible for plan documentation, maintenance, and distribution.

BUSINESS CONTINUITY MANAGEMENT PROCESS: The Business Continuity Institute's BCM process (also known as the BC Life Cycle) combines 6 key elements: 1) Understanding Your Business 2) Continuity Strategies 3) Developing a BCM Response 4) Establishing a Continuity Culture 5) Exercising, Rehearsal & Testing 6) The BCM Management Process.

BUSINESS CONTINUITY MANAGEMENT PROGRAM: An ongoing management and governance process supported by senior management and resourced to ensure that the necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies and plans, and ensure continuity of products/services through exercising, rehearsal, testing, training, maintenance and assurance.

BUSINESS CONTINUITY MANAGEMENT TEAM: A group of individuals functionally responsible for directing the development and execution of the business continuity plan, as well as responsible for declaring a disaster and providing direction during the recovery process, both pre-disaster and post-disaster. **SIMILAR TERMS:** disaster recovery management team, business recovery management team. Associated terms: crisis management team.

BUSINESS CONTINUITY PLAN (BCP): Process of developing and documenting arrangements and procedures that enable an organization to respond to an event

that lasts for an unacceptable period of time and return to performing its critical functions after an interruption. **SIMILAR TERMS:** business resumption plan, continuity plan, contingency plan, disaster recovery plan, recovery plan.

BUSINESS CONTINUITY STEERING COMMITTEE: A committee of decision makers, process owners, technology experts and continuity professionals, tasked with making strategic recovery and continuity planning decisions for the organization.

BUSINESS CONTINUITY STRATEGY: An approach by an organization that will ensure its recovery and continuity in the face of a disaster or other major outage. Plans and methodologies are determined by the organizations strategy. There may be more than one solution to fulfill an organization's strategy. Examples: Internal or external hot-site, or cold-site, Alternate Work Area reciprocal agreement, Mobile Recovery, Quick Ship / Drop Ship, Consortium-based solutions, etc.

BUSINESS CONTINUITY TEAM: Designated individuals responsible for developing, execution, rehearsals, and maintenance of the business continuity plan, including the processes and procedures. **SIMILAR TERMS:** disaster recovery team, business recovery team, and recovery team. Associated term: crisis response team.

BUSINESS IMPACT ANALYSIS (BIA): A process designed to prioritize business functions by assessing the potential quantitative (financial) and qualitative (non-financial) impact that might result if an organization was to experience a business continuity event.

BUSINESS INTERRUPTION: Any event, whether anticipated (i.e., public service strike) or unanticipated (i.e., blackout) which disrupts the normal course of business operations at an organization's location. **SIMILAR TERMS:** outage, service interruption. Associated terms: business interruption costs, business interruption insurance.

BUSINESS INTERRUPTION COSTS: The impact to the business caused by different types of outages, normally measured by revenue lost. Associated terms: business interruption, business interruption insurance.

BUSINESS INTERRUPTION INSURANCE: Insurance coverage for disaster related expenses that may be incurred until operations are fully recovered after a disaster. Business interruption insurance generally provides reimbursement for necessary ongoing expenses during this shutdown, plus loss of net profits that would have been earned during the period of interruption, within the limits of the policy. Associated terms: business interruption, business interruption costs.

BUSINESS RECOVERY COORDINATOR: An individual or group designated to coordinate or control designated recovery processes or testing. **SIMILAR TERMS:** Disaster Recovery Coordinator.

BUSINESS RECOVERY TIMELINE: The chronological sequence of recovery activities, or critical path that must be followed to resume an acceptable level of

operations following a business interruption. This timeline may range from minutes to weeks, depending upon the recovery requirements and methodology.

BUSINESS RESUMPTION PLANNING (BRP): TERM Currently Being Reworked
- SIMILAR TERMS: Business Continuity Planning, Disaster Recovery Planning.

BUSINESS RECOVERY TEAM: A group of individuals responsible for maintaining the business recovery procedures and coordinating the recovery of business functions and processes. SIMILAR TERMS: Disaster Recovery Team.

BUSINESS UNIT RECOVERY: The component of Disaster Recovery which deals specifically with the relocation of a key function or department in the event of a disaster, including personnel, essential records, equipment supplies, work space, communication facilities, work station computer processing capability, fax, copy machines, mail services, etc. SIMILAR TERMS: Work Group Recovery.

C

CALL TREE: A document that graphically depicts the calling responsibilities and the calling order used to contact management, employees, customers, vendors, and other key contacts in the event of an emergency, disaster, or severe outage situation.

CERTIFIED BUSINESS CONTINUITY PROFESSIONAL (CBCP): The Disaster Recovery Institute International (DRI International), a not-for-profit corporation, certifies CBCP's and promotes credibility and professionalism in the business continuity industry. Also offers MBCP (Master Business Continuity Professional) and ABCP (Associate Business Continuity Professional).

CHECKLIST: a) Tool to remind and /or validate that tasks have been completed and resources are available, to report on the status of recovery. b) A list of items (names or tasks etc.) to be checked or consulted.

CHECKLIST EXERCISE: A method used to exercise a completed disaster recovery plan. This type of exercise is used to determine if the information such as phone numbers, manuals, equipment, etc. in the plan is accurate and current.

COLD SITE: An alternate facility that already has in place the environmental infrastructure required to recover critical business functions or information systems, but does not have any pre-installed computer hardware, telecommunications equipment, communication lines, etc. These must be provisioned at time of disaster. Related Terms: Alternate Site, Hot Site, Interim Site, Internal Hot Site, Recovery Site, and Warm Site.

COMMAND CENTER: A physical or virtual facility located outside of the affected area used to gather, assess, and disseminate information and to make decisions to affect recovery.

COMMUNICATIONS RECOVERY: The component of Disaster Recovery which deals with the restoration or rerouting of an organization's telecommunication network, or its components, in the event of loss. **SIMILAR TERMS:** Telecommunications Recovery, Data Communications Recovery.

COMPUTER RECOVERY TEAM: A group of individuals responsible for assessing damage to the original system, processing data in the interim, and setting up the new system.

CONSORTIUM AGREEMENT: An agreement made by a group of organizations to share processing facilities and/or office facilities, if one member of the group suffers a disaster. **SIMILAR TERMS:** Reciprocal Agreement.

CONTINUITY OF OPERATIONS (COOP) PLAN: An action plan that provides for the uninterrupted execution of essential missions and functions of an organization in the event an emergency prevents occupancy of its primary headquarters building.

CONTACT LIST: A list of team members and/or key players to be contacted including their backups. The list will include the necessary contact information (i.e. home phone, pager, cell, etc.) and in most cases be considered confidential.

CONTINGENCY PLAN: A plan used by an organization or business unit to respond to a specific systems failure or disruption of operations. A contingency plan may use any number of resources including workaround procedures, an alternate work area, a reciprocal agreement, or replacement resources.

CONTINGENCY PLANNING: Process of developing advance arrangements and procedures that enable an organization to respond to an event that could occur by chance or unforeseen circumstances.

CONTINUITY OF OPERATIONS PLAN (COOP): A COOP provides guidance on the system restoration for emergencies, disasters, mobilization, and for maintaining a state of readiness to provide the necessary level of information processing support commensurate with the mission requirements/priorities identified by the respective functional proponent. The Federal Government and its supporting agencies traditionally use this term to describe activities otherwise known as Disaster Recovery, Business Continuity, Business Resumption, or Contingency Planning.

CRATE & SHIP: A strategy for providing alternate processing capability in a disaster, via contractual arrangements with an equipment supplier, to ship replacement hardware within a specified time period. **SIMILAR TERMS:** Guaranteed Replacement, Drop Ship, Quick Ship.

CRISIS: A critical event, which, if not handled in an appropriate manner, may dramatically impact an organization's profitability, reputation, or ability to operate. Or, an occurrence and/or perception that threatens the operations, staff, shareholder value, stakeholders, brand, reputation, trust and/or strategic/business goals of an organization. See: Event and Incident.

CRISIS MANAGEMENT: The overall coordination of an organization's response to a crisis, in an effective, timely manner, with the goal of avoiding or minimizing damage to the organization's profitability, reputation, or ability to operate.

CRISIS MANAGEMENT TEAM: A crisis management team will consist of key executives as well as key role players (i.e. media representative, legal counsel, facilities manager, disaster recovery coordinator, etc.) and the appropriate business owners of critical organization functions who are responsible for recovery operations during a crisis.

CRISIS SIMULATION: The process of testing an organization's ability to respond to a crisis in a coordinated, timely, and effective manner by simulating the occurrence of a specific crisis.

CRITICAL FUNCTIONS: See: Mission Critical Activities.

CRITICAL INFRASTRUCTURE: Systems whose incapacity or destruction would have a debilitating impact on the economic security of an organization, community, nation, etc.

CRITICAL RECORDS: Records or documents that, if damaged or destroyed, would cause considerable inconvenience and/or require replacement or recreation at considerable expense.

D

DAMAGE ASSESSMENT: The process of assessing damage, following a disaster, to computer hardware, vital records, office facilities, etc. and determining what can be salvaged or restored and what must be replaced.

DATA BACKUPS: The back up of system, application, program and/or production files to media that can be stored both on and/or offsite. Data backups can be used to restore corrupted or lost data or to recover entire systems and databases in the event of a disaster. Data backups should be considered confidential and should be kept secure from physical damage and theft.

DATA BACKUP STRATEGIES: Those actions and backup processes determined by an organization to be necessary to meet its data recovery and restoration objectives. Data backup strategies will determine the timeframes, technologies, media and offsite storage of the backups, and will ensure that recovery point and time objectives can be met.

DATA CENTER RECOVERY: The component of Disaster Recovery which deals with the restoration, at an alternate location, of data center services and computer processing capabilities. **SIMILAR TERMS:** Mainframe Recovery, Technology Recovery.

DATA RECOVERY: The restoration of computer files from backup media to restore programs and production data to the state that existed at the time of the last safe backup.

DATABASE REPLICATION: The partial or full duplication of data from a source database to one or more destination databases. Replication may use any of a

number of methodologies including mirroring or shadowing, and may be performed synchronous, asynchronous, or point-in-time depending on the technologies used, recovery point requirements, distance and connectivity to the source database, etc. Replication can if performed remotely, function as a backup for disasters and other major outages. (SIMILAR TERMS: File Shadowing, Disk Mirroring).

DECLARATION: A formal announcement by pre-authorized personnel that a disaster or severe outage is predicted or has occurred and that triggers pre-arranged mitigating actions (e.g., a move to an alternate site.) SIMILAR TERMS: Invocation.

DECLARATION FEE: A one-time fee, charged by an Alternate Facility provider, to a customer who declares a disaster. NOTE: Some recovery vendors apply the declaration fee against the first few days of recovery. 1) An initial fee or charge for implementing the terms of a recovery agreement or contract. SIMILAR TERMS: Notification Fee.

DEPENDENCY: The reliance, directly or indirectly, of one activity or process upon another. See: Mission Critical Activity.

DESK CHECK: One method of validating a specific component of a plan. Typically, the owner of the component reviews it for accuracy and completeness and signs off.

DESKTOP EXERCISE: See: Table Top Exercise.

DISASTER: A sudden, unplanned calamitous event causing great damage or loss as defined or determined by a risk assessment and BIA; 1) Any event that creates an inability on an organization's part to provide critical business functions for some predetermined period of time. 2) In the business environment, any event that creates an inability on an organization's part to provide the critical business functions for some predetermined period of time. 3) The period when company management decides to divert from normal production responses and exercises its disaster recovery plan. Typically signifies the beginning of a move from a primary to an alternate location. SIMILAR TERMS: Business Interruption; Outage; Catastrophe.

DISASTER RECOVERY: Activities and programs designed to return the entity to an acceptable condition. The ability to respond to an interruption in services by implementing a disaster recovery plan to restore an organization's critical business functions.

DISASTER RECOVERY OR BUSINESS CONTINUITY COORDINATOR: A role of the BCM program that coordinates planning and implementation for overall recovery of an organization or unit(s). SIMILAR ROLES: Business Recovery Coordinator, Business Recovery Planner, Disaster Recovery Planner, and Disaster Recovery Administrator.

DISASTER RECOVERY INSTITUTE INTERNATIONAL (DRI INTERNATIONAL): A not-for-profit organization that offers certification and educational offerings for business continuity professionals.

DISASTER RECOVERY PLAN: The management-approved document that defines the resources, actions, tasks and data required to manage the recovery effort. Usually refers to the technology recovery effort.

DISASTER RECOVERY PLANNING: The technological aspect of business continuity planning. The advance planning and preparation that is necessary to minimize loss and ensure continuity of the critical business functions of an organization in the event of disaster. **SIMILAR TERMS:** Contingency Planning; Business Resumption Planning; Corporate Contingency Planning; Business Interruption Planning; Disaster Preparedness.

DISASTER RECOVERY SOFTWARE: An application program developed to assist an organization in writing a comprehensive disaster recovery plan.

DISASTER RECOVERY TEAMS (Business Recovery Teams): A structured group of teams ready to take control of the recovery operations if a disaster should occur.

DISK MIRRORING: Disk mirroring is the duplication of data on separate disks in real time to ensure its continuous availability, currency and accuracy. Disk mirroring can function as a disaster recovery solution by performing the mirroring remotely. True mirroring will enable a zero recovery point objective. Depending on the technologies used, mirroring can be performed synchronously, asynchronously, semi-synchronously, or point-in-time. **SIMILAR TERMS:** data mirroring, data replication, file shadowing, and journaling.

DROP SHIP: A strategy for **a)** Delivering equipment, supplies, and materials at the time of a business continuity event or exercise. **b)** Providing replacement hardware within a specified time period via prearranged contractual arrangements with an equipment supplier at the time of a business continuity event. **SIMILAR TERM:** quick ship.

E

ELECTRONIC VAULTING: Electronically forwarding backup data to an offsite server or storage facility. Vaulting eliminates the need for tape shipment and therefore significantly shortens the time required to move the data offsite. **SIMILAR TERMS:** vaulting, electronic backup. Associated terms: electronic journaling.

EMERGENCY: An unexpected or impending situation that may cause injury, loss of life, destruction of property, or cause the interference, loss, or disruption of an organization's normal business operations to such an extent that it poses a threat.

EMERGENCY COORDINATOR: The person assigned the role of coordinating the activities of the evacuation of a site and/or building with the statutory and/or emergency services.

EMERGENCY OPERATIONS CENTER (EOC): A site from which response teams/officials (municipal, county, state and federal) exercise direction and control in an emergency or disaster. Associated term: command center.

EMERGENCY PREPAREDNESS: The discipline that ensures an organization or community's readiness to respond to an emergency in a coordinated, timely, and effective manner to prevent the loss of life and minimize injury and property damage.

EMERGENCY PROCEDURES: A plan of action to commence immediately to prevent the loss of life and minimize injury and property damage.

EMERGENCY RELOCATION SITE: The Emergency Relocation Site (referred to in this plan as Alternate Facility) contains the Court's COOP plan operating facility that is located outside a prime target area to which all or part of the court's essential functions may be moved in a specified disaster situation. An Alternate Facility has the minimum essential communications and information systems to enable the headquarters to continue performing essential missions and functions.

EMERGENCY RELOCATION TEAM: The Emergency Relocation Team consists of representatives from each court office that has a COOP plan. The primary Emergency Relocation Team responsibility is to help the court sustain essential functions while at the Alternate Facility. The Emergency Relocation Team also coordinates with the Alternate Facility, other COOP support teams and key agency officials during an emergency.

EMERGENCY RESPONSE PROCEDURES: The initial response to any event and is focused upon protecting human life and the organization's assets.

EMERGENCY RESPONSE TEAM (ERT): Teams of individuals who have been trained to provide rapid response to all type of emergencies and to provide assistance and act as a contact to responding outside agencies. Associated term: medical emergency response team (MERT).

ENVIRONMENT RESTORATION: Recreation of the critical business operations in an alternate location, including people, equipment and communications capability.

ENTERPRISE WIDE PLANNING: Enterprise Wide Planning is the development and implementation of a plan document to facilitate the resumption of critical business functions, (including, but not limited to, Human Resources, Facilities, Information Technology, Finance, Security, Engineering, and Sales and Marketing), to the extent that the incident causing plan activation is transparent to the organization's customers. This Enterprise Wide Planning process involves the coordination, prioritization, resource allocation, and implementation of critical business function strategies to resume normal operating capabilities.

ESCALATION: The process by which event related information is communicated upwards through an organization's Business Continuity and/or risk management reporting process.

ESSENTIAL FUNCTIONS: Essential functions are those functions, stated or implied, which are required to be performed by statute or other order, or other functions deemed essential by the chief judges and clerk of court that should not be interrupted or deferred by an emergency situation.

ESSENTIAL SERVICE: A service without which a building would be 'disabled'. Often applied to the utilities (water, gas, electricity, etc.) it may also include standby power systems, environmental control systems or communication networks.

EVACUATION: The movement of employees, visitors and contractors from a site and/or building to a safe place (assembly area) in a controlled and monitored manner at time of an event.

EVENT: Any occurrence that may lead to a business continuity incident. See: Crisis and Incident.

EXECUTIVE / MANAGEMENT SUCCESSION: A predetermined plan for ensuring the continuity of authority, decision-making, and communication in the event that key members of senior management suddenly become incapacitated, or in the event that a crisis occurs while key members of senior management are unavailable.

EXERCISE: A people focused activity designed to execute business continuity plans and evaluate the individual and/or organization performance against approved standards or objectives. Exercises can be announced or unannounced, and are performed for the purpose of training and conditioning team members, and validating the business continuity plan.

Exercise results identify plan gaps and limitations and are used to improve and revise the Business Continuity Plans. Types of exercises include: Table Top Exercise, Simulation Exercise, Operational Exercise, Mock Disaster, Desktop Exercise, and Full Rehearsal.

EXERCISE AUDITOR: An appointed role that is assigned to assess whether the exercise aims / objectives are being met and to measure whether activities are occurring at the right time and involve the correct people to facilitate their achievement. The exercise auditor is not responsible for the mechanics of the exercise. This independent role is crucial in the subsequent debriefing.

EXERCISE CONTROLLER: See Exercise Owner.

EXERCISE COORDINATOR: They are responsible for the mechanics of running the exercise. The Coordinator must lead the exercise and keep it focused within the predefined scope and objectives of the exercise as well as on the disaster scenario. The Coordinator must be objective and not influence the outcome. They perform the coordination to make sure appropriate exercise participants have been identified and that exercise scripts have been prepared before, utilized during, and updated after the exercise. SIMILAR TERMS: Exercise Facilitator, Exercise Director.

EXERCISE OBSERVER: An exercise observer has no active role within the exercise but is present for awareness and training purposes. An exercise observer might make recommendations for procedural improvements.

EXERCISE OWNER: An appointed role that has total management oversight and control of the exercise and has the authority to alter the exercise plan. This includes early termination of the exercise for reasons of safety or the aims / objectives of the exercise cannot be met due to an unforeseen or other internal or external influence.

EXERCISE PLAN: A plan designed to periodically evaluate tasks, teams, and procedures that are documented in business continuity plans to ensure the plan's viability. This can include all or part of the BC plan, but should include mission critical components.

EXPOSURE: The potential susceptibility to loss; the vulnerability to a particular risk.

EXTRA EXPENSE: The extra cost necessary to implement a recovery strategy and/or mitigate a loss. An example is the cost to transfer inventory to an alternate location to protect it from further damage, cost of reconfiguring lines, overtime costs, etc. Typically reviewed during BIA and is a consideration during insurance evaluation.

F

FELLOW BUSINESS CONTINUITY INSTITUTE (FBCI): Membership accreditation from the Business Continuity Institute for a senior, professional working practitioner with five years of full-time employment who currently works in the business continuity related profession and a member of the BCI for two years.

FILE SHADOWING: The asynchronous duplication of the production database on separate media to ensure data availability, currency and accuracy. File shadowing can be used as a disaster recovery solution if performed remotely, to improve both the recovery time and recovery point objectives. **SIMILAR TERMS:** Data Replication, Journaling, Disk Mirroring.

FLOOR WARDEN: Person responsible for ensuring that all employees, visitors and contractors evacuate a floor within a specific site.

FORWARD RECOVERY: The process of recovering a database to the point of failure by applying active journal or log data to the current backup files of the database.

FULL REHEARSAL: An exercise that simulates a Business Continuity event where the organization or some of its component parts are suspended until the exercise is completed. See: Exercise

G

GAP ANALYSIS: A detailed examination to identify risks associated with the differences between Business/Operations requirements and the current available recovery capabilities.

H

HAZARD OR THREAT IDENTIFICATION: The process of identifying situations or conditions that has the potential to cause injury to people, damage to property, or damage to the environment.

HEALTH AND SAFETY: The process by which the well being of all employees, contractors, visitors and the public is safeguarded. All business continuity plans and planning must be cognizant of H&S statutory and regulatory requirements and legislation. Health and Safety considerations should be reviewed during the Risk Assessment.

HIGH AVAILABILITY: Systems or applications requiring a very high level of reliability and availability. High availability systems typically operate 24x7 and usually require built-in redundancy to minimize the risk of downtime due to hardware and/or telecommunication failures.

HIGH-RISK AREAS: Areas identified during the risk assessment that are highly susceptible to a disaster situation or might be the cause of a significant disaster.

HOTSITE: An alternate facility that already has in place the computer, telecommunications, and environmental infrastructure required to recover critical business functions or information systems. Related Terms: Alternate Site, Cold Site, and Warm Site.

HUMAN THREATS: Possible disruptions in operations resulting from human actions. (e.g., disgruntled employee, terrorism, blackmail, job actions, riots, etc.).

I

IMPACT: The effect, acceptable or unacceptable, of an event on an organization. The types of business impact are usually described as financial and non-financial and are further divided into specific types of impact. See: Business Impact Analysis.

INCIDENT: An event which is not part of a standard operating business, which may impact or interrupt services, and in some cases, may lead to disaster. See: Crisis and Event.

INCIDENT COMMAND SYSTEM (ICS): Combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure with responsibility for management of assigned resources to effectively direct and control the response to an incident. Intended to expand, as situation requires larger resources, without requiring new, reorganized command structure. (FEMA Term).

INCIDENT MANAGEMENT: The process by which an organization responds to and controls an incident using Emergency Response Procedures. See: Emergency Response Procedures.

INCIDENT MANAGER: Commands the local EOC reporting up to senior management on the recovery progress. Has the authority to invoke the local recovery plan.

INCIDENT RESPONSE: The response of an organization to a disaster or other significant event that may significantly impact the organization, its people, or its ability to function productively. An incident response may include evacuation of a facility, initiating a disaster recovery plan, performing damage assessment, and any other measures necessary to bring an organization to a more stable status.

INFORMATION SECURITY: The securing or safeguarding of all sensitive information, electronic or otherwise, which is owned by an organization. See: BS 7799 and ISO 17799.

INFRASTRUCTURE: The underlying foundation, basic framework, or interconnecting structural elements that support an organization.

INTEGRATED EXERCISE: An exercise conducted on multiple interrelated components of a Business Continuity Plan, typically under simulated operating conditions. Examples of interrelated components may include interdependent departments or interfaced systems.

INTEGRATED TEST: See integrated exercise.

INTERIM SITE: A temporary location used to continue performing business functions after vacating a recovery site and before the original or new home site can be occupied. Move to an interim site may be necessary if ongoing stay at the recovery site is not feasible for the period of time needed or if the recovery site is located far from the normal business site that was impacted by the disaster. An interim site move is planned and scheduled in advance to minimize disruption of business processes; equal care must be given to transferring critical functions from the interim site back to the normal business site. See Alternate Site, Cold Site, Hot site, Internal Hot Site, Recovery Site, Warm site.

INTERNAL HOTSITE: A fully equipped alternate processing site owned and operated by the organization.

INVOCATION: The act by which a Business Continuity Management or Crisis Management process is formally started. The term is often used to refer to the act of using a service such as work area recovery as offered by a commercial or third party provider. See: Activation and Declaration.

J

JOURNALING: The process of logging changes or updates to a database since the last full backup. Journals can be used to recover previous versions of a file before updates were made, or to facilitate disaster recovery, if performed remotely, by applying changes to the last safe backup. **SIMILAR TERMS:** File Shadowing, Data Replication, Disk Mirroring.

K

KEY STAFF: Key staff members are those personnel from particular offices designated by their organizational element as critical to the conduct of COOP plan operations. The loss of these key staff personnel during a crisis would result in actions to replace them.

KEY TASKS: Priority procedures and actions in a Business Continuity Plan that must be executed within the first few minutes/hours of the plan invocation.

L

LEAD TIME: The time it takes for a supplier to make equipment, services, or supplies available after receiving an order. Business continuity plans should try to minimize lead time by creating service level agreements (SLA) with suppliers or alternate suppliers in advance of a Business Continuity event rather than relying on the suppliers' best efforts. See: Service Level Agreement.

LOGISTICS/TRANSPORTATION TEAM: A team comprised of various members representing departments associated with supply acquisition and material transportation, responsible for ensuring the most effective acquisition and mobilization of hardware, supplies, and support materials. This team is also responsible for transporting and supporting staff.

LOSS: Unrecoverable resources that are redirected or removed as a result of a Business Continuity event. Such losses may be loss of life, revenue, market share, competitive stature, public image, facilities, or operational capability.

LOSS ADJUSTER: Designated position activated at the time of a Business Continuity event to assist in managing the financial implications of the event and should be involved as part of the management team where possible.

LOSS REDUCTION: The technique of instituting mechanisms to lessen the exposure to a particular risk. Loss reduction involves planning for, and reacting to,

an event to limit its impact. Examples of loss reduction include sprinkler systems, insurance policies, and evacuation procedures.

LOST TRANSACTION RECOVERY: Recovery of data (paper within the work area and/or system entries) destroyed or lost at the time of the disaster or interruption. Paper documents may need to be requested or re-acquired from original sources. Data for system entries may need to be recreated or reentered.

M

MANUAL PROCEDURES: An alternative method of working following a loss of IT systems. As working practices rely more and more on computerized activities, the ability of an organization to fallback to manual alternatives lessens. However, temporary measures and methods of working can help mitigate the impact of a business continuity event and give staff a feeling of doing something.

MISSION-CRITICAL ACTIVITIES: The critical operational and/or business support activities (either provided internally or outsourced) required by the organization to achieve its objective(s) i.e. services and/or products. See Critical Service.

MISSION-CRITICAL APPLICATION: An application that is essential to the organization's ability to perform necessary business functions. Loss of the mission-critical application would have a negative impact on the business, as well as legal or regulatory impacts.

MOBILE RECOVERY: A mobilized resource purchased or contracted for the purpose of business recovery. The mobile recovery center might include: computers, workstations, telephone, electrical power, etc.

MOCK DISASTER: One method of exercising teams in which participants are challenged to determine the actions they would take in the event of a specific disaster scenario. Mock disasters usually involve all, or most, of the applicable teams. Under the guidance of exercise coordinators, the teams walk through the actions they would take per their plans, or simulate performance of these actions. Teams may be at a single exercise location, or at multiple locations, with communication between teams simulating actual 'disaster mode' communications. A mock disaster will typically operate on a compressed timeframe representing many hours, or even days.

N

N + 1: A fault tolerant strategy that includes multiple systems or components protected by one backup system or component. (Many-to-one relationship).

NETWORK OUTAGE: An interruption of voice, data, or IP network communications.

O

OFF-SITE STORAGE: Any place physically located a significant distance away from the primary site, where duplicated and vital records (hard copy or electronic and/or equipment) may be stored for use during recovery.

OPERATIONAL EXERCISE: See: Exercise.

OPERATIONAL RISK: The risk of loss resulting from inadequate or failed procedures and controls. This includes loss from events related to technology and infrastructure, failure, business interruptions, staff related problems, and from external events such as regulatory changes.

OUTAGE: The interruption of automated processing systems, infrastructure, support services, or essential business operations, which may result, in the organizations inability to provide services for some period of time.

P

PEER REVIEW: One method of testing a specific component of a plan. Typically, personnel (other than the owner or author) with appropriate technical or business knowledge review the component for accuracy and completeness.

PLAN ADMINISTRATOR: The individual responsible for documenting recovery activities and tracking recovery progress.

PLAN MAINTENANCE: The management process of keeping an organization's Business continuity management plans up to date and effective. Maintenance procedures are a part of this process for the review and update of the BC plans on a defined schedule. Maintenance procedures are a part of this process.

PRE-POSITIONED ITEMS: Pre-positioned items include critical resources and unique items of equipment (e.g., computer and paper files or databases, special supplies, etc.) that can be duplicated and stored at the Alternate Facility.

PREVENTATIVE MEASURES: Controls aimed at deterring or mitigating undesirable events from taking place.

PRIORITIZATION: The ordering of critical activities and their dependencies are established during the BIA and Strategic-planning phase. The business continuity plans will be implemented in the order necessary at the time of the event.

Q

QUALITATIVE ASSESSMENT: The process for evaluating a business function based on observations and does not involve measures or numbers. Instead, it uses descriptive categories such as customer service, regulatory requirements, etc to allow for refinement of the quantitative assessment. This is normally done during the BIA phase of planning.

QUANTITATIVE ASSESSMENT: The process for placing value on a business function for risk purposes. It is a systematic method that evaluates possible financial impact for losing the ability to perform a business function. It uses numeric values to allow for prioritizations. This is normally done during the BIA phase of planning.

QUICK SHIP: See Drop Ship.

R

RECIPROCAL AGREEMENT: Agreement between two organizations (or two internal business groups) with similar equipment/environment that allows each one to recover at the other's location.

RECONSTITUTION: Also known as recovery, the transition process involving the conclusion of continuity of operations efforts and the resumption of normal operations.

RECOVERABLE LOSS: Financial losses due to an event that may be reclaimed in the future, e.g. through insurance or litigation. This is normally identified in the Risk Assessment or BIA.

RECOVERY: Implementing the prioritized actions required to return the processes and support functions to operational stability following an interruption or disaster.

RECOVERY MANAGEMENT TEAM: See: Business Continuity Management (BCM) Team.

RECOVERY PERIOD: The time period between a disaster and a return to normal functions, during which the disaster recovery plan is employed.

RECOVERY POINT OBJECTIVE (RPO): From a business perspective RPO is the maximum amount of data loss the business can incur in an event. The targeted point in time to which systems and data must be recovered after an outage as determined by the business unit.

RECOVERY SERVICES AGREEMENT / CONTRACT: A contract with an external organization guaranteeing the provision of specified equipment, facilities, or services, usually within a specified time period, in the event of a business interruption. A typical contract will specify a monthly subscription fee, a declaration

fee, usage costs, method of performance, amount of test time, termination options, penalties and liabilities, etc.

RECOVERY SITE: A designated site for the recovery of business unit, technology, or other operations, which are critical to the enterprise. Related Terms: Alternate Site, Cold Site, Hot Site, Interim Site, Internal Hot Site, and Warm Site.

RECOVERY STRATEGY: See business continuity strategy.

RECOVERY TEAM: See: Business Continuity Team.

RECOVERY TIME OBJECTIVE (RTO): The period of time within which systems, applications, or functions must be recovered after an outage (e.g. one business day). RTO's are often used as the basis for the development of recovery strategies, and as a determinant as to whether or not to implement the recovery strategies during a disaster situation. SIMILAR TERMS: Maximum Allowable Downtime.

RECOVERY TIMELINE: The sequence of recovery activities, or critical path, which must be followed to resume an acceptable level of operation following a business interruption. The timeline may range from minutes to weeks, depending upon the recovery requirements and methodology.

RELOCATION: Relocation is the movement of a deployed team from a specified location to an Alternate Facility.

RESILIENCE: The ability of an organization to absorb the impact of a business interruption, and continue to provide a minimum acceptable level of service.

RESPONSE: The reaction to an incident or emergency to assess the damage or impact and to ascertain the level of containment and control activity required. In addition to addressing matters of life safety and evacuation, Response also addresses the policies, procedures and actions to be followed in the event of an emergency. SIMILAR TERMS: Emergency Response, Disaster Response, Immediate Response, and Damage Assessment.

RESTORATION: Process of planning for and/or implementing procedures for the repair of hardware, relocation of the primary site and its contents, and returning to normal operations at the permanent operational location.

RESUMPTION: The process of planning for and/or implementing the restarting of defined business processes and operations following a disaster. This process commonly addresses the most critical business functions within BIA specified timeframes.

RISK: Potential for exposure to loss. Risks, either man-made or natural, are constant. The potential is usually measured by its probability in years.

RISK ASSESSMENT / ANALYSIS: The process of identifying the risks to an organization, assessing the critical functions necessary for an organization to continue business operations, defining the controls in place to reduce organization exposure and evaluating the cost for such controls. Risk analysis often involves an evaluation of the probabilities of a particular event.

RISK CATEGORIES: Risks of similar types are grouped together under key headings, otherwise known as ‘risk categories’. These categories include reputation, strategy, financial, investments, operational infrastructure, business, regulatory compliance, outsourcing, people, technology and knowledge.

RISK MITIGATION: The implementation of measures to deter specific threats to the continuity of business operations, and/or respond to any occurrence of such threats in a timely and appropriate manner.

S

SALVAGE & RESTORATION: The act of performing a coordinated assessment to determine the appropriate actions to be performed on impacted assets. The assessment can be coordinated with insurance adjusters, facilities personnel, or other involved parties. Appropriate actions may include: disposal, replacement, reclamation, refurbishment, recovery or receiving compensation for unrecoverable organizational assets.

SCENARIO: A pre-defined set of Business Continuity events and conditions that describe, for planning purposes, an interruption, disruption, or loss related to some aspect(s) of an organization’s business operations to support conducting a BIA, developing a continuity strategy, and developing continuity and exercise plans.

Note: Scenarios are neither predictions nor forecasts.

SECURITY REVIEW: A periodic review of policies, procedures, and operational practices maintained by an organization to ensure that they are followed and effective.

SELF INSURANCE: The pre-planned assumption of risk in which a decision is made to bear losses that could result from a Business Continuity event rather than purchasing insurance to cover those potential losses.

SERVICE LEVEL AGREEMENT (SLA): A formal agreement between a service provider (whether internal or external) and their client (whether internal or external), which covers the nature, quality, availability, scope and response of the service provider. The SLA should cover day-to-day situations and disaster situations, as the need for the service may vary in a disaster.

SERVICE LEVEL MANAGEMENT (SLM): The process of defining, agreeing, documenting and managing the levels of any type of services provided by service providers whether internal or external that are required and cost justified.

SIMULATION EXERCISE: One method of exercising teams in which participants perform some or all of the actions they would take in the event of plan activation. Simulation exercises, which may involve one or more teams, are performed under conditions that at least partially simulate ‘disaster mode’. They may or may not be

performed at the designated alternate location, and typically use only a partial recovery configuration.

SINGLE POINT OF FAILURE: (SPOF) A unique pathway or source of a service, activity, and/or process. Typically, there is no alternative and a loss of that element could lead to a failure of a critical function.

STAND DOWN: Formal notification that the response to a Business Continuity event is no longer required or has been concluded.

STANDALONE TEST: A test conducted on a specific component of a plan in isolation from other components to validate component functionality, typically under simulated operating conditions.

STRUCTURED WALKTHROUGH: Types of exercise in which team members physically implement the business continuity plans and verbally review each step to assess its effectiveness, identify enhancements, constraints and deficiencies. See: Exercise.

SUBSCRIPTION: See: Recovery Services Agreement \ Contract.

SUPPLY CHAIN: All suppliers, manufacturing facilities, distribution centers, warehouses, customers, raw materials, work-in-process inventory, finished goods, and all related information and resources involved in meeting customer and organizational requirements.

SYSTEM: Set of related technology components that work together to support a business process or provide a service.

SYSTEM RECOVERY: The procedures for rebuilding a computer system and network to the condition where it is ready to accept data and applications, and facilitate network communications.

SYSTEM RESTORE: The procedures necessary to return a system to an operable state using all available data including data captured by alternate means during the outage. System restore depends upon having a live, recovered system available.

T

TABLE TOP EXERCISE: One method of exercising plans in which participants review and discuss the actions they would take without actually performing the actions. Representatives of a single team, or multiple teams, may participate in the exercise typically under the guidance of exercise facilitators.

TASK LIST: Defined mandatory and discretionary tasks allocated to teams and/or individual roles within a Business Continuity Plan.

TEST: A pass/fail evaluation of infrastructure (example-computers, cabling, devices, hardware) and/or physical plant infrastructure (example-building systems, generators, utilities) to demonstrate the anticipated operation of the components and

system. Tests are often performed as part of normal operations and maintenance. Tests are often included within exercises.

THREAT: A combination of the risk, the consequence of that risk, and the likelihood that the negative event will take place. Associated term: risk. Example Threats: Natural, Man-made, Technological, and Political disasters).

TRAUMA COUNSELING: The provisioning of counseling assistance by trained individuals to employees, customers and others who have suffered mental or physical injury as the result of an event.

TRAUMA MANAGEMENT: The process of helping employees deal with trauma in a systematic way following an event by providing trained counselors, support systems, and coping strategies with the objective of restoring employees psychological well being.

U

UNEXPECTED LOSS: The worst-case financial loss or impact that a business could incur due to a particular loss event or risk. The unexpected loss is calculated as the expected loss plus the potential adverse volatility in this value. It can be thought of as the worst financial loss that could occur in a year over the next 20 years.

UNINTERRUPTIBLE POWER SUPPLY (UPS): A backup supply that provides continuous power to critical equipment in the event that commercial power is lost.

V

VALIDATION SCRIPT: A set of procedures within the Business Continuity Plan to validate the proper function of a system or process before returning it to production operation.

VITAL RECORD: A record that must be preserved and available for retrieval if needed.

W

WARM SITE: An alternate processing site which is equipped with some hardware, and communications interfaces, electrical and environmental conditioning which is only capable of providing backup after additional provisioning, software or customization is performed.

WORKAROUND PROCEDURES: Interim procedures that may be used by a business unit to enable it to continue to perform its critical functions during temporary unavailability of specific application systems, electronic or hard copy data, voice or data communication systems, specialized equipment, office facilities, personnel, or external services. **SIMILAR TERMS:** Interim Contingencies.

ABC Acronyms

The following acronyms are used in this document and are commonly encountered in COOP planning and execution.

BIA	Business Impact Analysis
COOP	Continuity of Operations
CFR	Code of Federal Regulations
DOC	Department of Corrections
DRP	Disaster Recovery Plan (IT)
EO	Executive Order
FEMA	Federal Emergency Management Agency
FPC	Federal Preparedness Circular
HSAS	Homeland Security Advisory System
HSC	Homeland Security Council
HSPD	Homeland Security Presidential Directive
IT	Information Technology
MOU	Memorandum of Understanding
NARA	National Archives & Records Administration
NIMS	National Incident Management System
NIST	National Institute of Standards and Technology
PDD	Presidential Decision Directive
POC	Point of Contact
TT&E	Tests, Training, and Exercises

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Department of Health and Human Services, Centers for Disease Control and Prevention

<<http://www.cdc.gov/>>

Department of Homeland Security, Emergencies and

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Emergency Management Accreditation Program <<http://www.emaponline.org/>>

Federal Emergency Management Association (FEMA) <<http://www.fema.gov/index.shtm>>

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V. Recovery

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