

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]

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Security Notice

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

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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.]

Note
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.

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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, an organization's

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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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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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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.
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[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

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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

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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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