

Notes	Layer / Category	Definition
	Business Layer	<i>Defines how the court achieves its purposes through organization, operations, services, functionality and continuity.</i>
<ul style="list-style-type: none"> <li>1) Ensure continuous performance of court's essential functions</li> <li>2) Reduce disruptions to court operations</li> <li>3) Timely and orderly recovery from the emergency</li> <li>4) Resumption of normal court operations</li> </ul>	Strategy	<i>Defines the mission statement and sets forth the purpose of the enterprise; describes the goals, a state of being that the domain business units are attempting to achieve in pursuit of the mission; establishes objectives, specific program initiatives created to achieve goals. Identifies short-rang, long-range, and business continuity plans that the domain and business units will undertake to achieve the mission, goals and objectives. Guidance examples: <a href="#">NCSC Resource Guide: Strategic Planning and Court Trends</a> and <a href="#">IT Strategic Planning</a></i>
<p>Business Continuity Planning (BCP) needs to be a component of the overall IT strategy. Specifically a BC methodology should be selected. Disaster Recovery (DR) is a subset of the greater BCP and could be accommodated by the overall BCP. However, key infrastructure requirements for DR could also be considered at a strategic level.</p>		
<ul style="list-style-type: none"> <li>1) Establish minimum acceptable downtime</li> <li>2) Establish alternative service delivery sites</li> <li>3) Identify emergency management team</li> <li>4) Identify emergency assessment team</li> <li>5) Identify essential I function team</li> <li>6) Identify reconstruction team</li> <li>7) Identify orders of succession</li> </ul>	Governance	<i>Establishes the formal structure for decision making within the domain and between the domain and external entities. Formal structures have both a degree of permanency and dynamics in terms of positional membership in the <del>decision</del> making decision-making structures. IT Governance is very much a part of the formal decision making process. Guidance examples: <a href="#">Key Elements of An Effective Rule of Court on the Role of Presiding Judges in the Trial Courts</a> and <a href="#">The NCSC Court IT Governance Model</a></i>
<p>IT leadership should be a part of the COOP governance and would work closely with the COOP coordinator and development of COOP plans.</p>		
<ul style="list-style-type: none"> <li>1) Create emergency recovery site</li> <li>2) Reestablish critical business functionality</li> <li>3) Reestablish communication capability</li> <li>4) Establish alert and notification procedures</li> </ul>	Capability	<i>Describes the types of business services rendered by the domain, the method of delivery of those services, and the business continuity plans to ensure consistent delivery of services. Defines functions of the business units in terms of specific business processes and identifies IT service components that support those processes, to include business continuity and disaster recovery requirements. Guidance examples: <a href="#">Consolidated Case Management Functional Standards</a>,</i>

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BC plans for specific services and capabilities should be described when defining services. The Capability category may also be the appropriate time to prioritize services for BC purposes. DR requirements may begin to become clear during the definition of services.		<a href="#">Technology Standards</a>
1) Identify essential court functions 2) Suspend nonessential court functions	Culture	<i>Describes the psychology, attitudes, experiences, beliefs and values of the domain. In courts, it has been referred to as “local legal culture” – the prevailing norms and personal motivations of judges, attorneys, court personnel and other stakeholders. Guidance examples: <a href="#">Court Cultures and Their Consequences</a> and <a href="#">Trial Courts as Organizations by Ostrom et al.</a></i>
1. Declaration of emergency 2. Implementation of notification procedures 3. Dispatch of emergency recovery team 4. Evaluation of extent of emergency 5. Establishment of alternative service delivery site 6. Establish essential court functions	Performance	<i>Measures success to which the domain and its business units are operating effectively (indicators of quality and outcomes) and efficiently (indicators of quantity and economics, i.e., cost per case). Guidance: <a href="#">High Performance Courts</a>, <a href="#">CourTools</a>, <a href="#">Trial Court Performance Standards</a>, <a href="#">Court Performance Measures in Child Abuse and Neglect Cases</a></i>

Notes	Applications Layer	<i>Defines software applications to support business functions and manage data, including standards and best practices relating to application design and information sharing.</i>
1) Identify user interface requirements for essential court functions 2) Identify telecommunications requirements 3) Identify application server requirements 4) Identify hardware acquisition and installation 5) Identify software acquisition and deployment 6) Identify data recovery and reinstatement BC/DR requirements should be identified during the application design phase.	Component Design	<i>The organization of applications into logical components that each support a specific business function and are able to communicate with other components in a manner that promotes reuse and reduces complexity of applications.</i>
1. Reestablish systems capability to pre-disaster level 2. Capture court activity performed during system downtime 3. Enter activity into court record 4. Reestablish non-critical business process Aspects of data sharing may be a component of BC/DR requirements.	Internal Data Sharing	<i>Defines methods and standards used to achieve interaction between applications and application components.</i>
1. Establish external communication pathways 2. Establish procedures to transmit information to external partners 3. Establish procedures to receive information from external exchange partners Aspects of data sharing may be a component of BC/DR requirements.	External Data Sharing	<i>Defines methods and standards to implement information sharing with justice system partners, the public and other stakeholders requiring access to court data.</i>

Notes	Data Management Layer	<i>Defines the development and execution of architectures, policies, practices and procedures that properly manage the full data lifecycle.</i>
BC/DR requirements should be identified during logical data modeling. May apply to data redundancy, data back-up, replication, off-site storage, etc.	Logical Data Model	<i>Defines a representation of a court's data, organized in terms of a particular data management technology.</i>
	Categorization	<i>The classification of stored data for its most effective and efficient use. Data can be classified according to value or how often it needs to be accessed.</i>
Data access and sharing considerations may be a component of BC/DR requirements and planning.	Access / Sharing	<i>Identifies the security of access to a court's data. Who is qualified to access, update and modify court data. Issues of privacy are generally addressed in this aspect of data management.</i>
1) Capture court activity conducted between loss and reinstatement of data service	Quality / Integrity	<i>Defines the state of completeness, validity, consistency, timeliness and accuracy of court data for a specific use.</i>

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Notes	Technology Infrastructure Layer	<i>Defines the technologies designed by a court to the support business functions. This includes hardware, software and network standards, as well as considerations for security facilities management, and disaster recovery.</i>
1. User interface 2. Application servers 3. Data base servers 4. Telecommunications Hardware surplus, pre-staged equipment at external facilities could be aspects of an overall BC/DR plan.	Hardware	<i>Identifies all of the physical components of a computer system.</i>
1. Operating system 2. Data base management system 3. Application server 4. Application development stack 5. Backup systems	Systems Software	<i>Defines the computer software that manages and controls the computer hardware supporting data management and application functions.</i>
1. Telecommunications provider 2. Network protocols 3. Network access points 4. Router 5. Switches 6. Firewall Network redundancy could be considered at this point.	Network	<i>The grouping of two or more computer systems linked together through a interconnected network. This would include Internet, Wide Area Network, Local Area Network and wireless.</i>
1. Primary and secondary data center 2. Secure off-site storage 3. Telecommunications demark External facilities for BC/DR may be a part of the overall BC/DR strategy.	Facilities	<i>The physical property a computer system and associated components are housed. It generally includes redundant or backup power, network connections and security devices.</i>

### **Other Considerations**

- Service layer - Business Continuity integration into the framework is hampered by the lack of a clearly defined service layer. The addition of a service layer would allow for the incorporation of definitions for a service desk. From an IT perspective, the IT service desk may be the single most important aspect of BC planning.
- Communications – A communication layer or category is not specifically identified in the CTF. Communication systems and planning is critical for BC/DR contingencies. Consider adding a specific category for communications. Communications could be considered in infrastructure and may also be a component of the business layer.

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