

# **A Comprehensive Emergency Management Program**

**A Model for State & Territorial Courts  
2007**



**NATIONAL CENTER FOR STATE COURTS  
COURT CONSULTING SERVICES  
707 SEVENTEENTH STREET, SUITE 2900  
DENVER, CO 80202**

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PART II - APPENDICES<sup>1</sup>

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<sup>1</sup> This document is intended primarily for online access and distribution. The appendices will be updated and supplemented on a recurring basis and, as such, a table of contents was not constructed for Part II.

## PREFACE

This Comprehensive Emergency Management Program is rooted in commonly accepted standard practices of entities such as the United States Department of Homeland Security and, in particular, the Federal Emergency Management Agency. The goal is to provide judicial officers and court managers a step by step approach for the design, development, and implementation of a robust and full service emergency management program that helps courts prevent, prepare for, and respond to a broad array of disruptions.

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 this 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.

The NCSC is also grateful to the District of Columbia Courts for graciously agreeing to share an example of their alternate site memorandum of understanding.

**A COMPREHENSIVE EMERGENCY  
MANAGEMENT PROGRAM  
2007**



# INTRODUCTION TO AN EMERGENCY MANAGEMENT PROGRAM

## BACKGROUND

Since September 11, 2001, federal and state governments have taken steps to ensure the continuity of government, at all levels, in the event of a disaster. While the judicial branch is not generally required to comply with executive branch policies, many of the policies, programs, and approaches to emergency management and preparedness can be very helpful to courts' emergency planning efforts.

For example, the U.S. Department of Homeland Security requires states and territories that seek funding to assume an all-hazards approach to the development of capabilities to prevent, prepare for, respond to, and recover from a broad array of disruptions.<sup>2</sup> Additional federal policy provides pandemic influenza preparedness guidance to federal agencies, and state, territorial, and tribal governments.<sup>3</sup> In November 2005, the President, through the Homeland Security Council, released the National Strategy for Pandemic Influenza, and in May 2006 the companion Implementation Plan was released.

Therefore, it is imperative that the judicial branch understand and apply, where appropriate, these policies and procedures as well as those that are unique to each state and territory such as pandemic related quarantine and isolation policies and public health laws.

Since 2005, breaches of security at court facilities and attacks on court staff, judicial officers and even their families, have compelled courts to revisit and enhance critical incident and security procedures to ensure the protection of court assets: people, facilities, and records. Similarly, the profound and devastating effects of Hurricane Katrina underscored the necessity for courts to ensure that essential functions are sustained in the event of a broad array of disruptions and disasters.

## PURPOSE

The purpose of establishing an emergency management program within the courts is to ensure that the capability exists to respond effectively to a broad array of potential operational interruptions such as those identified in Figure 1. Disruptive events have, in

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<sup>2</sup> [Homeland Security Presidential Directive 8 \(HSPD-8\)](#), effective December 17, 2003, established policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies. [HSPD-8](#) established the National Preparedness Goal and expands prevention, preparedness, response, recovery, and training, testing and exercise capability requirements; and [FPC 65](#) Federal Executive Branch established Continuity of Operations (COOP), June 15, 2004; also see [FEMA-COOP Plan Templates and Instructions](#); [HSPD-5](#) refines assistance to states and local governments.

<sup>3</sup> [National Strategy for Pandemic Influenza](#) (November 1, 2005) and [National Strategy for Pandemic Influenza: Implementation Plan](#) (May 2006).

recent years, affected court operations and staff at the state and federal levels. For this reason there is an increased focus on emergency management, prevention, preparedness, and training within the judiciary.

**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	

This document serves as a strategy for state and territorial judicial officers and court administrators to guide efforts to develop and maintain a comprehensive emergency management program, and it is intended to help court leaders plan to prevent, prepare for, respond to, and recover from disruptions. The document is divided into two parts:

**Part I – An Overview of an Emergency Management Program**

The emergency management model described in Part I provides guidance that is flexible and can be applied to any size court or organizational structure.

Part I discusses four preparedness plans:

1. COOP (with a pandemic annex)
2. IT disaster recovery
3. Evacuation (with a shelter in place annex), and
4. Critical incident procedures such as a bomb threat or suspicious mail.

Particular emphasis is given to COOP planning because courts generally have security and critical incident procedures, but preparations for the continuity of court operations, when faced with a broad array of disastrous disruptions, often is lacking.

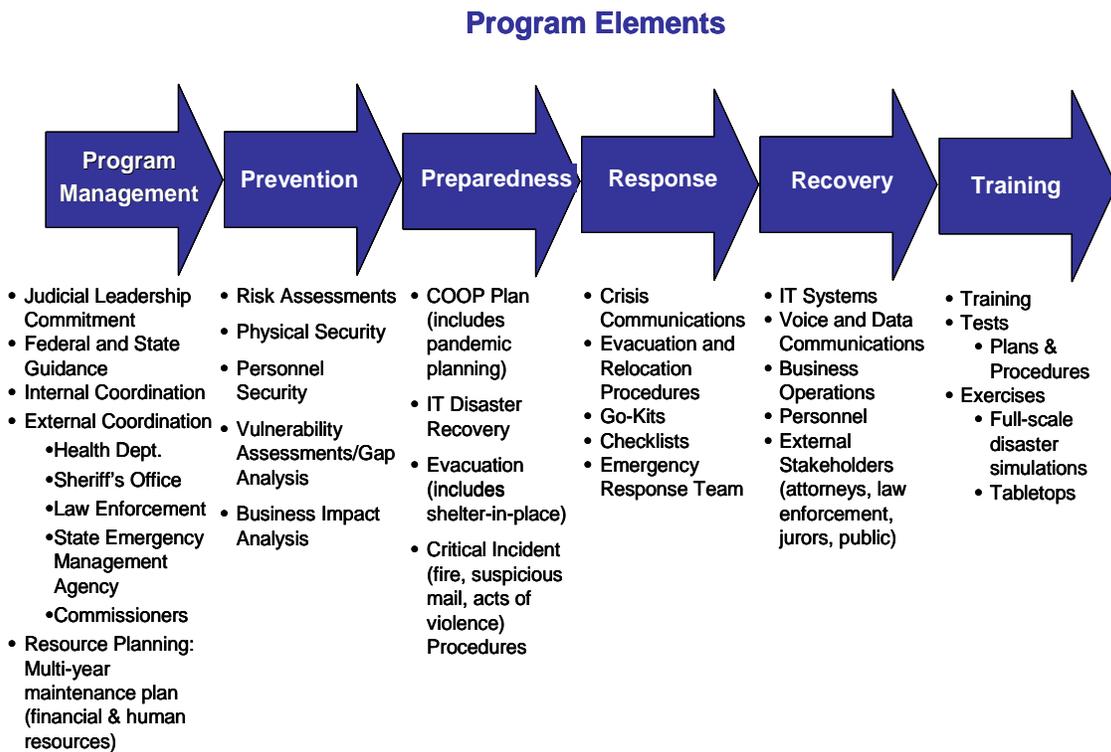
**Part II – Provides a sample COOP plan, COOP plan templates that are modifiable, sample judicial correspondence and alternate site memoranda of understanding, a glossary, list of acronyms, and other references.**

# PART I

## OVERVIEW OF AN EMERGENCY MANAGEMENT PROGRAM

A typical emergency management program encompasses 1) the full range of leadership and governance structures designed to prevent, prepare for, respond to, and recover from any threat, emergency, or disaster, including a pandemic, that could disrupt operations; 2) policies, procedures, plans, internal and external outreach strategies; and 3) multi-year strategic planning. The model in Figure 2 illustrates six elements of this emergency management model: Program Management, Prevention, Preparedness, Response, Recovery (sometimes called Reconstitution), and Training.

**Figure 2: Six Elements of an Emergency Management Program**



To be effective, court emergency management programs should be multi-disciplined, both internally and externally. This means courts should interface with external agencies, such as the state and local justice and emergency management agencies, the health department, law enforcement e.g., the sheriff's office, and incorporate all facets of court operations, including administration, automation, finance and budget, security, human resources, and facilities management.

It is imperative that stakeholders view emergency management as a shared responsibility. The decentralized nature of many state courts and the fact that courts often depend on

executive branch agencies for funding, space, and various aspects of security and risk management, necessitates continuous careful planning, coordination, and communication. A comprehensive and strategic approach to emergency management for the courts should address each aspect of emergency management in an integrated fashion. The following sections provide a detailed description of the program elements.

## DEFINITION OF PROGRAM ELEMENTS

### 1. Program Management

This element, illustrated in Figure 3, provides the program framework to identify, and apply where appropriate, leadership and governance structures; laws and established and accepted standards and practices (federal, state, and local guidance); internal and external outreach activities; and a multi-year strategic plan to maintain and strengthen the program.

**Figure 3: Program Management**



#### Judicial Leadership Commitment

The development and implementation of an emergency management program will only be successful if there is demonstrated and sustained leadership commitment to the program. This begins with the chief justice/judge and the court office leaders endorsing a culture of preparedness that promotes an expectation of collaboration, cooperation, and communication within and between internal and external stakeholders. For example, the chief justice/judge might consider issuing a memorandum or order that:

- Mandates an emergency program for entities of the court that focuses on the safety of personnel and the public while ensuring continuity of essential court functions and preserving public access to the courts;
- Requires the Program to address each element of emergency management in an integrated fashion: Program Management; Prevention; Preparedness; Response; Recovery; and Training.

- Authorizes the formation of an Advisory Council (or use of an existing group, i.e., security committee) to carry-out this task and provide program oversight; and
- Sets a timeline for program implementation.
- See sample judicial correspondence in [Part II, Appendix C](#).

### **Federal and State Guidance**

Next, court leaders, the advisory group, and the emergency response team should understand federal, state, and local emergency preparedness guidance and statutes that may be relevant in a crisis such as a pandemic. For example, in November 2005, the President, through the Homeland Security Council, released the [National Strategy for Pandemic Influenza](#), and in May 2006, the companion [Implementation Plan](#) was released. It is imperative that the justice systems understand and apply where appropriate, these policies and procedures as well as those that are unique to each state and territory such as quarantine and isolation.

### **Internal Coordination**

The chief justice/judge should consider establishing an Emergency Management Advisory Council that serves as a permanent workgroup for Program development and maintenance. One individual, such as the state court administrator or court administrator, should be in charge of the Program and chair this working group. The council and its membership would encourage participation and stakeholder investment, enhance the visibility and stature of the planning process, and ensure key stakeholders are included in the planning process, such as personnel from each court entity (and perhaps the state court administrative office, where appropriate). An existing committee such as a security committee could expand its function to include preparedness planning.

To ensure ownership and investment, the council should be comprised of representatives from each court office and security personnel (e.g., sheriff's office) and its mission should be threefold:

1. Develop program policies and procedures for the “parent” court and court offices;
2. Promote cooperation, coordination, and communication between the entities of the court and vital external stakeholders such as the sheriff's office; and
3. Develop and implement a training program for all employees, the emergency response team (defined in the preparedness plans), and judicial officers.

Regardless of how a court is organized, the court should ensure that each court office is represented and involved in the Program planning, implementation, and maintenance.

The council should establish a work schedule, assign tasks, and set deadlines for the completion of the program elements. Emergency management coordinating officers and alternates, whose primary responsibility is to implement the recommendations and guidance provided by the council, should be designated and trained.

Next, the council should communicate to all employees: the purpose of the program; the scope of the program e.g., that it encompasses all offices of the court; its authority to

operate; and the organizational structure. Communications with employees should continue on an ongoing basis to keep them informed of prevention and preparedness activities and the work of the council. This can be accomplished through a variety of means such as broadcast emails, monthly newsletters, and informational posters. It is the regular distribution of this type of information that keeps personnel current on emergency management topics and creates a culture of preparedness..

### **External Coordination**

These activities are designed to convey to local organizations and external stakeholders that the court has preparedness plans and that some response activities may require external communications and cooperation. Outreach also is intended to sensitize external agencies, particularly the funding officials, law enforcement, health department, and response partners such as the sheriff's office, to the importance of the courts (the Third Branch of government) as a critical component to ensure continuity of government. The courts can also benefit from these activities because they receive vital and current information, they may be included in simulated disaster exercises, included as a partner in the state's overall emergency response plan, and be included in the state's emergency operations center.

Similarly it is important to interface with external entities when the court is developing its response plans to ensure communications and the seamless delivery of court services. To accomplish this goal, the council might consider forming a multi-disciplined working group comprised of court leaders, financing authorities, the health department, state and local law enforcement officials, state and local emergency management officials, the bar association, and the public defenders office. This group might meet regularly to discuss planning and training across organizations. This type of formalized outreach and awareness effort encourages communications under normal conditions and fosters relationships that become vital during a disaster or critical incident.

### **Multi-year Strategic Plan**

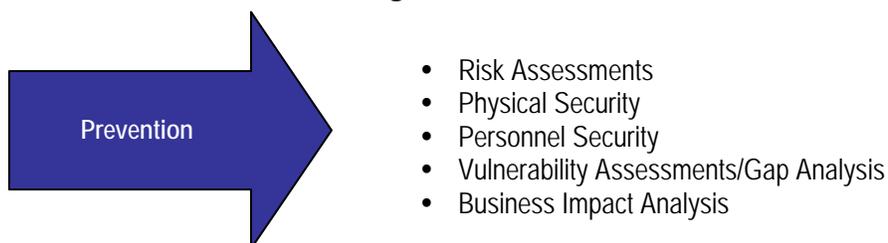
This long range plan ensures that the resources (e.g., people, supplies, and equipment) required to build and strengthen essential functions capabilities are identified and obtained. The plan also sets forth the annual training and maintenance schedule to ensure the plans remains viable. The following graphic illustrates how the court could establish a multi-year plan and training maintenance schedule that is linked to the COOP plan.

Test Activity	Frequency	COOP Plan Reference	Training Plan Reference
Test alert & notification procedures	Quarterly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Check emergency relocation site readiness	Monthly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Validate strategies to carry-out essential functions	Semi-monthly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Test interoperable communications	Monthly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Evaluate vital records	Ongoing	[Insert COOP Plan bookmark]	[Insert training plan reference]
Evaluation orders of succession	Semi-annually	[Insert COOP Plan bookmark]	[Insert training plan reference]

## 2. Prevention

This element, illustrated in Figure 4, includes activities designed to reduce risk to and loss of assets (e.g., people, vital records, facilities). This includes the identification and analysis of key assets and the development of a business impact analysis, risk assessment, and facility and perimeter vulnerability assessments to identify gaps and mitigation strategies.

**Figure 4: Prevention**



Every court facility is vulnerable to risks associated with natural disasters, acts of violence, and accidents, and it therefore is incumbent upon court leadership to take steps to identify and mitigate risks and threat. Multi-hazard prevention and mitigation

activities are intended to protect, secure, and make safe a court's key assets and should include, but not be limited to, the following:

1. Physical security assessment of the courthouse or court space which includes areas such as parking areas and structures, exterior courthouse/facility perimeter, interior space, entry/exit ways, courtrooms and chambers, court offices, public spaces and stairwells, and holding cells
2. Personnel, vendors, public, and prisoners
3. Vital records, databases, and information systems

To prevent and mitigate problems, response plans and procedures that address critical incidents must be in place, rehearsed, updated annually, key assets identified, and all personnel trained on an ongoing basis.

### **Types of Analyses**

#### **1. Risk Assessment and Management Strategies**

This type of analysis compares hazards in the geographical area of court facilities.<sup>4</sup> Once hazards are identified, they are ranked according to the overall risk and threat they present to court operations and personnel, and mitigation or management strategies should be implemented.

#### **2. Physical Security Vulnerability Assessments and Gap Analysis**

These types of analysis are designed to identify threats to and gaps in personnel and physical (facility and perimeter) security. This analysis is usually most productive when conducted in cooperation with the court staff, the sheriff's office and county or local facilities managers, and might include an evaluation of protection procedures for judicial officers and others outside the court facilities (e.g., personal residence). Vulnerabilities in infrastructure, facilities, and/or safety are gateways to key assets, and threats, risk, and gaps must be identified so that mitigation strategies can be implemented. Information gleaned from this assessment also can be used to identify capability gaps, weaknesses, and required upgrades for fiscal year and long range planning budget projections.

#### **3. Business Impact Analysis**

The purpose of this type of analysis is to determine and priority rank the essential functions; determine the maximum tolerable unavailability of the function (often referred to as Recovery Time Objective or RTO); critical linkages; financial and non-financial impact; and the recovery priority.

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<sup>4</sup> FEMA Building Design for Homeland Security, Unit V, Risk Assessment/Risk Management

## **Assessment Approach**

The assessment team should be comprised of experienced security consultants knowledgeable about court operations, performance standards, and safety and security education and training. The size and composition of the team depends on the number and size of facilities assessed, while the security assessment and gap analysis format described below is usually the same regardless of courthouse or court facility size or geographical location. The review team should observe operations, interview staff (including judicial officers) and court security personnel, test all security devices, and review critical incident plans and procedures, and floor plans.

### **Assessment and Analysis Format:**

#### **1. Preparation**

An assessment begins before the actual site visit. Pre-study information such as building floor plans, a list of security equipment, previous security reports, and copies of critical incident plans should be requested and reviewed in advance of the site visits so the team is familiar with court safety and security policies, and facility lay-out and procedures.

#### **2. Checklist**

This tool helps ensure the assessment team obtains and records complete information in a consistent format and in accordance with the generally accepted facilities standards for courthouse security audits such as the one used by the National Center for State Courts, National Sheriff's Association, and/ or U.S. Marshal's Service.

#### **3. Survey and Interviews**

To gauge employees' understanding of court security procedures and to record any concerns, the security team should ask judicial officers, employees, and court supporting agency personnel and other stakeholders to complete a security survey. The team should interview judges, court staff and court related employees to gather additional information about day-to-day safety and security practices, and clarify survey responses. This helps team members determine if existing security mechanisms and policies and procedures are consistent with nationally accepted standards and best practices. The results and analysis of the survey and interviews should be used by the team to produce the final report which contains findings and recommendations.

A critical incident reporting tool, similar to the one being developed by the Conference of State Court Administrators, is an effective way to capture local data to identify safety and security gaps, analyze threats and incidents, and support budget requests for safety and security enhancements.

#### **4. Site Observations**

A building walk-through in the company of local security officials such as sheriff's officers, court marshals or bailiffs, and/or the head of the courthouse security is an excellent way to gain first-hand experience with the security

procedures. Security devices and equipment, including duress alarms and CCTV cameras should be tested.

The team should also observe areas of the courthouse such as parking areas, loading docks, mailroom(s), tunnels and walkways, open areas outside the courthouse, exterior and interior exits and entrances, public hallways, semi-private corridors, courtrooms, judges' chambers, quasi-judicial offices, prisoner transfer areas, and public and private elevators. Other items that should be reviewed are the building design, policies and procedures, safety and security training program, and interagency cooperation and communication. Photographs of security gaps, vulnerabilities, and malfunctioning equipment are often helpful and support findings and recommendations.

### **Training Needs**

One of the most important parts of an effective security assessment is the identification and analysis of existing safety and security training programs for judges, court staff, and other stakeholders in the court system. Problems disclosed during an assessment often are the result of no or inadequate employee orientation or ongoing safety and security training.

### **Security Personnel Requirements**

Another important aspect of an assessment is determining if staffing levels required to provide safety and security are adequate and in alignment with standard accepted and best practices. This may include staffing requirements for courtrooms, court offices, detention areas, holding cells, internal prisoner transport, courtroom controls, CCTV monitoring stations, entrance screening stations, and building and grounds patrol.

### **Report Findings and Recommendations**

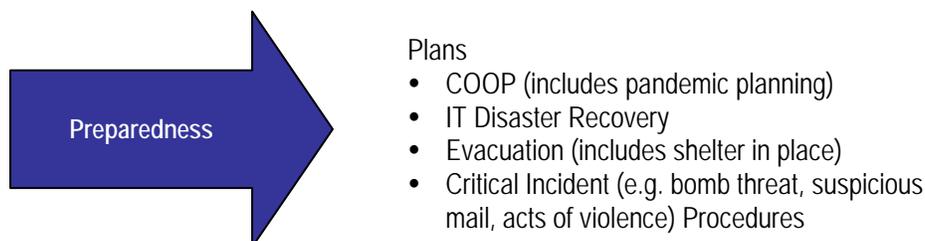
An exit interview with the chief justice, presiding judge, and/or court leadership to deliver a high level summary of the findings and recommendations usually concludes the onsite visit. A detailed written report that contains findings and recommendations with correlating best or accepted standard practices should follow this briefing.

The report typically addresses court governance, authorities and responsibilities, critical incident polices and procedures, safety and security manuals, threats and vulnerabilities, external and internal security controls, and the availability of ongoing and effective training programs. Illustrative photos of security gaps and weaknesses that support the findings and recommendations should be included in the report and all recommendations should be tied to a realistic long range plan to develop and strengthen capabilities.

### 3. Preparedness

This element, illustrated in Figure 5, includes activities such as the development of COOP, IT disaster recovery, evacuation, and critical incident plans designed to establish emergency response procedures, authorities and leadership structure, and assign resources.

**Figure 5: Preparedness**



Preparedness plans and procedures are designed to establish emergency authorities and leadership structures, assign resources, and define roles and responsibilities for the execution of the plans once an event triggers their use. While each court office should identify aspects in the plan unique to it, there should be only one overall court ('parent' court e.g., circuit court) plan comprised of integrated court office parts. For example, in an evacuation plan, each court office may specify certain individuals as evacuation coordinators, and designated rally points once outside the facility may be unique to each court office, but these should be included in the court's overall plan. Each court office should not have its own evacuation plan. Similarly, there should be one 'parent' court COOP plan comprised of information about each court office that is captured in the overall plan.

The four primary response plans, discussed more fully in Part II are:

1. Continuity of Operations Plan (COOP plan)
2. IT Disaster Recovery Plans
3. Evacuation Plans
4. Critical Incident Plans

The advisory council or designated person should also ensure that plans are created by each court office, and that any existing plans are reviewed to ensure there are no conflicts between court offices. The council should develop or endorse a template for each type of plan to ensure consistency between court offices and to prevent conflicts when the plans are integrated into the 'parent' court emergency management program, and then tested.

## 4. Response

This element, illustrated in Figure 6, includes the pre-positioning of supplies and equipment prior to an event and the implementation of plans, procedures, and tools such as Go Kits and checklists once an event triggers their use.

**Figure 6: Response**

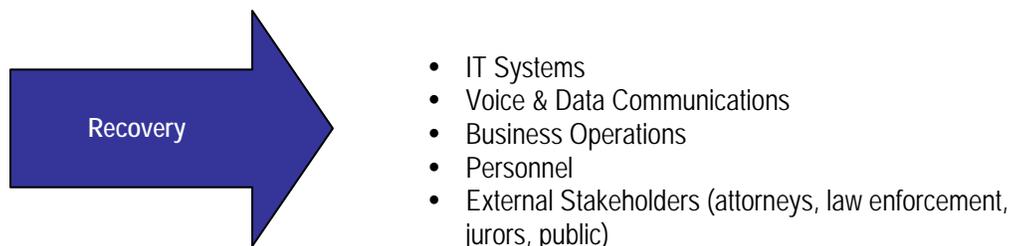


For example, information contained in a COOP plan describes how a decision is made to activate the plan; who is responsible for gathering and disseminating information e.g., public information officer; what types of communications devices are used, who has possession of them; when, where and who relocates (emergency response team), in what order, to an alternate site, and what tasks are accomplished in what order at the site. However, response activities must be practiced (see Training) prior to an event to ensure the leadership and response teams know how and when to [re]act. Because crisis situations often impact people's ability to quickly and effectively respond, the use of checklists (see [Part II Appendix A: Sample COOP Plan](#)) and pre-scripted messages help leadership and the emergency response teams accomplish their tasks and fulfill their defined roles and responsibilities.

Go Kits may be pre-positioned or maintained off-site. Typically these kits contain items such as laptop computers, power cords, printers, battery operated tape recorders and extra batteries, office supplies, manual or battery operated equipment and supplies in the event there is no power, and flashlights.

## 5. Recovery

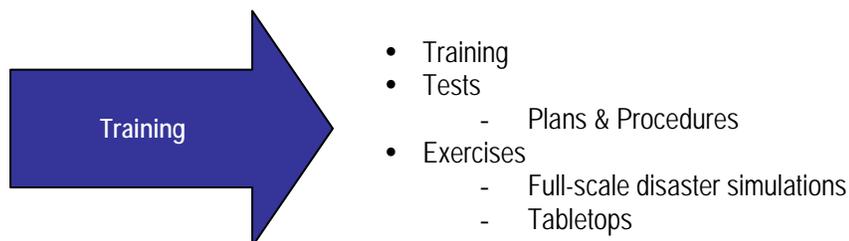
Recovery, or reconstitution as it is sometimes known, consists of activities such as those illustrated in Figure 7 which are necessary for the court to resume normal operations following a disruption either in the primary facility, or if destroyed, in a replacement facility.

**Figure 7: Recovery**

Recovery procedures typically include consideration for: utilities, facilities, infrastructure, communications, records, human resources, voice, data, and information systems, and administrative activities. Planning for recovery ensures a coherent, scalable approach to return personnel, the public, and systems to normal court operations. During a disaster, personnel operate in crisis mode, and once circumstances stabilize and begin to return to normal, the court must shift from crisis mode, perhaps transitioning operations and people from an alternate site to resume operations at the main facility. Personnel as well as the court facility must be prepared, and information disseminated to the public and external stakeholders. Moving back to a facility (or permanent relocated site) also may have emotional and operational challenges, but careful planning and communication can mitigate much of the disruption.

## 6. Training

Training, illustrated in Figure 8, is critical for all staff and judicial officers, and should be included in new employee orientation, as well as on an ongoing basis to build preparedness into the fabric of the court culture.

**Figure 8: Training**

The court should ensure that all employees are educated about the court's preparedness plans including information about a pandemic, and they should be aware of any personnel policies that impact them during an emergency or disaster e.g., compensation, benefit use and accrual.

**Continuity of Operations**

The emergency response team must be trained and cross-trained to perform the essential functions and plans should be tested at least annually to ensure procedures are workable and that employees are familiar with the plans. Simulated disaster exercises help the response teams rehearse response activities contained in the plans, and training and validation activities such as tabletop exercises are cost effective ways to test preparedness plans and examine the viability of the overall program and individual components. The court might also consider participating with the state agencies during full-scale exercises to rehearse disaster response plans in a simulated environment, and to sensitize first responders and emergency management agencies that the continuity of government requires the Judicial Branch of government to function without interruption.

**Safety and Security**

The training should include personal and courtroom safety techniques, security policies and procedures, personal safety procedures, courthouse security systems, information about the security organization structure and security officer responsibilities, critical incident and evacuation plans, pandemic awareness, after-hours procedures, and prisoner handling.

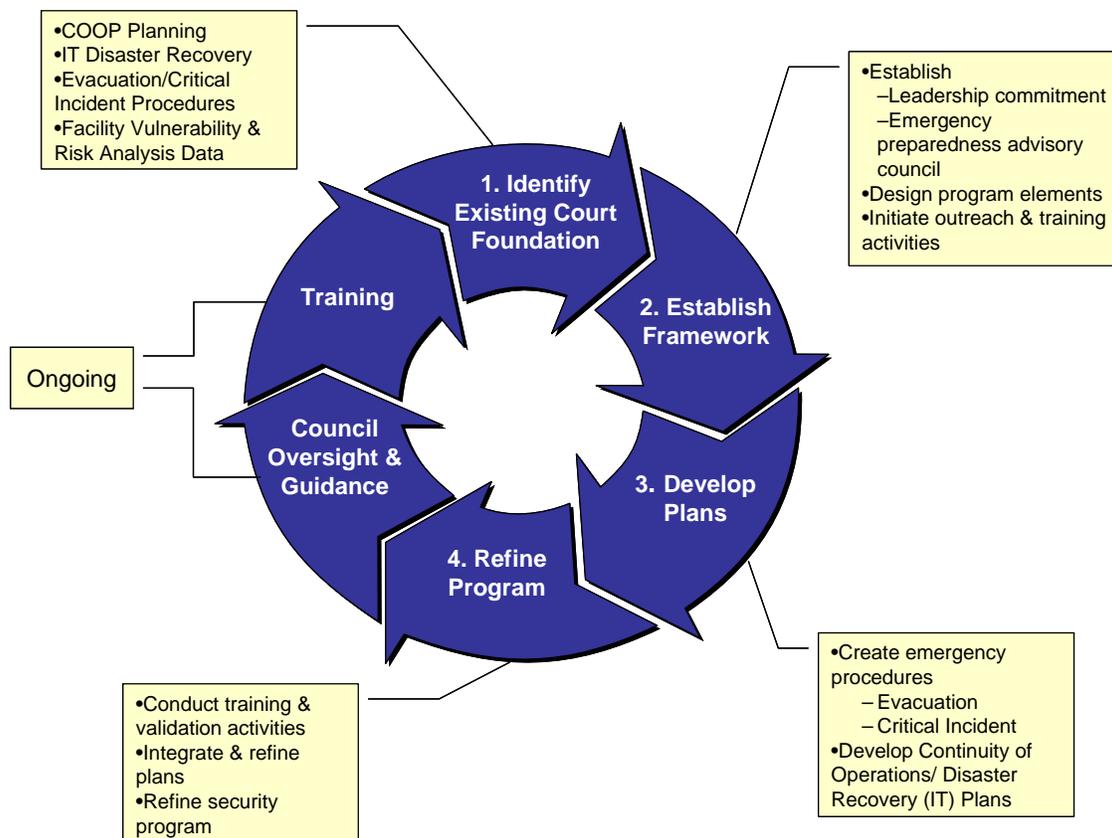
**Law Enforcement Training**

The court should make every effort to include the sheriff's office or other court security personnel in any and all court-wide training, particularly as it relates to continuity of operations, and protection of court staff, judges, public, jurors, and courtroom security. Including court security personnel sensitizes law enforcement to court needs and operations and helps to strengthen a collegial and cooperative environment. Similarly, the court should work with the sheriff's office to be included in law enforcement training to become familiar with policies regarding prisoner transport, prisoner control, and prisoner release within the courthouse.

## HOW TO BEGIN TO DEVELOP AN EMERGENCY MANAGEMENT PROGRAM (EMP)

Figure 9 illustrates an incremental approach courts might follow to develop, implement, and sustain an EMP. Timeframes to accomplish each step should be assigned to each step.

**Figure 9: Illustrative Implementation Plan**



### Step 1 - Identification of the Existing Emergency Management Foundation

This step requires an understanding of the court's security, continuity of operations and other preparedness and response policies, procedures, and programs. By identifying this starting point, the court will know what policies, plans and procedures exist; what gaps exist; and what capabilities must be developed, strengthened, and/or maintained. An existing committee or person tasked with emergency management oversight, such as a security or emergency management council or court administrator, could be used to identify the court's existing preparedness foundation.

## **Step 2 - Establish Framework and Governance Structure**

Next, the chief justice/judge should demonstrate commitment to the program development by communicating to court leadership the importance of this effort. This could be accomplished through a letter, memorandum, or administrative order (see [Part II, Appendix C](#)). The chief justice/judge should appoint an advisory council to have oversight of the program or reconstitute an existing group for this purpose. The council's role would be to design the program elements, have oversight of the program, and facilitate outreach to internal and external stakeholders.

## **Step 3 - Develop Plans**

This step calls for the development of response plans including: continuity of operations plans (COOP plan) which should include an annex for a pandemic; evacuation and critical incident plans including but not limited to shelter-in-place, bomb threats, mail handling procedures, acts of violence plans; and IT disaster recovery plans. (Samples of these plans are in [Part II, Appendix D](#)).

The council should also ensure that plans are created by each court office, and that any existing plans (e.g., COOP, evacuation and IT disaster recovery plans) are reviewed to ensure there are no conflicts between the court offices. The council should develop a template for each type of plan to ensure consistency between court offices and to prevent conflicts when the plans are integrated into the 'parent' court plans.

## **Step 4 - Refine Program**

This step focuses on integration, validation, and refinement of all plans and procedures developed in the first three phases for each court office and the parent court as a whole. The advisory council should refine each element, test plans and procedures, train staff and the emergency response team, and conduct or participate in disaster simulated exercises, and update and modify existing plans and procedures. It is essential that plans written by each court office are consistent with the overall 'parent' court plan, and elements of each plan should be coordinated to avoid conflicts and inconsistencies. When all components are integrated, the emergency management program should provide a seamless step-by-step set of instructions to prevent, prepare for, respond to, and recover from a broad array of potential disruptions.

## **Training and Council Oversight and Guidance**

Ongoing training, education, and oversight is required of all staff and the emergency response team to ensure the program remains viable and current.

## PREPAREDNESS PLANS

Part II provides a sample COOP plan ([Appendix A](#)), blank COOP plan templates ([Appendix B](#)), and examples of evacuation, critical incident, and shelter in place plans ([Appendix D](#)). A model IT disaster recovery plan template is pending development. Figure 10 illustrates the plans typically developed and maintained in this phase.

**Figure 10: Preparedness Plans and Maintenance Schedule**

Key Element	Activity	Maintenance/Frequency	Training
<b>COOP PLAN</b>	Update each component: <ul style="list-style-type: none"> <li>Alert/notification</li> <li>Essential Functions</li> <li>Orders of succession</li> <li>Delegations of authority</li> <li>Alternate facilities</li> <li>Communications</li> <li>Interoperable communications</li> <li>Vital records</li> <li>Human capital</li> <li>Devolution</li> <li>Recovery/Reconstitution</li> </ul>	Annually: <ul style="list-style-type: none"> <li>Review and update rosters, checklists, emergency response teams, and IT inventory</li> <li>Review communications procedures (internal/external)</li> <li>Ensure Go-kits are complete and contents operable</li> <li>Pre-position equipment at the alternate site</li> <li>Update leave policies for non-essential personnel</li> <li>Coordinate with other court offices/agencies to ensure communications devices are interoperable and functioning</li> </ul>	Annually: <ul style="list-style-type: none"> <li>New employee training</li> <li>Cross-training for essential functions team</li> <li>Simulations for response teams</li> <li>Test all modified plans including operations at alternate sites</li> </ul>
<b>IT Disaster Recovery</b>	Update hardware & software and coordinate with other court units	Annually	Annually
<b>Evacuation</b>	In conjunction with the sheriff's office and facilities manager, update plan	Annually	Bi-Annually
<b>Critical Incident</b>	Same as Evacuation	Annually	Bi-Annually

## 1. Continuity of Operations Plan (COOP Plan)

### *a. Overview*

A COOP plan is designed to ensure uninterrupted performance of essential functions in response to a broad array of disruptions or disasters. It provides a strategic framework for judicial officers, court managers, and justice system leaders to follow when conditions require the relocation of leadership, functions, and essential staff to an alternate work site(s) geographically removed from the courthouse or affected court facilities. A sample COOP plan is provided in [Part II, Appendix A](#).

This plan facilitates the court and court office capability to perform essential functions across a wide range of potential emergencies including natural, technological, and manmade disasters. It establishes a reliable response capability with effective processes and procedures to quickly deploy pre-designated personnel, equipment, vital records, and supporting hardware and software to an alternate site to sustain the court office's essential operations for up to and perhaps more than 30 days. The plan also designates the leadership structure to determine the best course of action for implementation of COOP procedures, response, and recovery activities.

In the event of a pandemic or world-wide outbreak of an infectious disease, the court's response activities should be addressed in the overall COOP plan. While the primary purpose of a COOP plan is to sustain essential functions at an alternate site if the court facility is unavailable or inaccessible for 30 days or more, during a pandemic the court facility most likely will be available.

However, due to large absenteeism, employee deaths, restricted public transportation, and fear, portions of the COOP plan may be activated. In a pandemic, the same COOP plan framework applies but the essential functions may not necessarily be relocated to a specific pre-arranged alternate site, but rather may be performed in the court facility, by video-conferencing, and/or by telecommuting.

The purpose of a COOP plan includes, but is not limited to:

- Continuous performance of essential functions and operations, whether in the courthouse or at an alternate site
- Protection of essential facilities, equipment, records, and other assets
- Reduction or mitigation of disruptions to operations
- Identification and designation of an emergency response team to be relocated to alternate facilities, or assigned to the primary facility to perform essential functions
- Facilitation of decision making processes
- Recovery/reconstitution and resumption of normal operations

In accordance with accepted practice, courts with a viable COOP capability:

- Maintain a high level of readiness
- Are capable of implementation both with and without warning
- May be operational no later than 12 hours after activation
- May sustain operations for 30 or more days
- Take maximum advantage of existing infrastructure

The COOP plan establishes an emergency response team usually comprised of the chief justice/judge, key court leaders from each court office, and technology and subject matter experts who will perform the essential functions and establish technological capabilities to access essential records and databases. Roles and responsibilities are defined, and plans and procedures are established for response team communications and plan activation.

For this model<sup>5</sup>, eleven key components make up the COOP plan:

1. Alert and Notification Procedures
2. Essential Functions
3. Order of Succession
4. Delegations of Authority
5. Alternate Facilities
6. Communications
7. Interoperable Communications
8. Vital Records, Databases, and Information Systems
9. Human Capital
10. Devolution
11. Recovery/Reconstitution

### ***b. COOP Plan Structure***

A COOP plan generally contains the following five sections:

Section 1 - Executive Summary

Section 2 - Plan Implementation (Concept of Operations)

Section 3 - COOP Plan Elements

Section 4 - COOP Plan Templates

Section 5 – Appendices

#### **Section 1 – Executive Summary**

The first section of a COOP plan provides a high level overview of the COOP plan purpose, scope, and objectives as well as a conceptual framework for continuity of operations planning in the court. The scope should identify the court facilities, personnel,

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<sup>5</sup> FEMA COOP Plan instructions and templates identify 10 elements.

and operations covered by the plan that will require a response to conditions or events that may trigger the activation of the plan.

## **Section 2 – COOP Plan Implementation (Concept of Operations)**

This section provides the operational framework to implement the plan once an event triggers COOP plan activation. Operational processes, decision or leadership command structures, and team structures addressed in this section are associated with continuing the court's prioritized essential functions. This section should explain how the organization will implement its COOP plan, identify the key personnel, by position, and state how the plan addresses each of the eleven COOP plan elements.

This section also should address the three COOP plan phases: 1) activation and relocation; 2) alternate site operations; and 3) recovery/reconstitution. In other words, this section describes the steps taken once the COOP plan is activated and the recovery/reconstitution steps to return operations to pre-event status.

## **Section 3 – Core COOP Plan Elements**

This section provides an overview of the eleven COOP plan components identified in this model, and the roles and responsibilities for the persons assigned to the actions once the plan is activated. Templates specifying required information are provided in [Part II, Appendix B](#).

**1. Alert and Notification** – The policies and procedures for the formal emergency alert (with notification of a pending event) and notification (event without warning) to employees through a system, or variety of systems, about an event, and provides directions to employees and external stakeholders regarding acquisition of future information. The systems may include but are not limited to a court'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** – The identification and prioritization of court functions that, if not performed, would result in failure of the court or court office'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.

**3. Order of Succession** – The identification of a continuous command structure which ensures that all internal and external stakeholders always know who is in charge. Orders of Succession should be written and are in effect only until the primary command structure is resumed.

While the 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.

**4. Delegations of Authority** – The identification of primary and alternate personnel responsible for administrative and procurement approvals limited to the period of COOP plan activation. To facilitate an immediate response to an emergency situation, the court should pre-delegate authority for making decisions at all organizational levels, but particularly at the procurement and human resources level. Delegations should be written and may need to be renewed each fiscal year.

**5. Alternate Sites** – The identification of adequate facilities that correspond to the planning scenarios. With the exception of a pandemic, essential court functions may be relocated to pre-screened and pre-approved alternate sites because the primary facility is unavailable. Where necessary, memoranda of understanding (MOU) should be executed with the alternate site managers and updated annually. During the site selection process, The IT department should ensure that alternate sites can adequately provide IT requirements necessary to support essential functions.

**6. Communications** – The procedures to convey COOP plan activation and subsequent information to external stakeholders, e.g., the public, bar, and state, local, and federal authorities. Procedures must be established to gather and verify information (situational awareness) to ensure 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 stakeholders to ensure continuity and consistency of messages.

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

**8. Vital Records, Databases, and Information Systems** – The procedures to protect and make available 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. Only case files related to the prioritized essential functions should be included.

**9. Human Capital** – Plans that apply to court staff not directly involved with emergency response teams or operations, particularly at an alternate facility. This element should also address available crisis management services and any court sponsored network of services for employees and their families. Employees may have an adjustment reaction during the recovery/reconstitution phase and steps should be planned in advance to assist employees.

**10. Devolution** – Steps to ensure that the capability exists to transfer authority and responsibility for essential functions from specific court offices and primary

work locations to other court personnel in another court or at an alternate facility, and to sustain that court offices' operational capability for an extended period of time if the primary office and/or personnel are unavailable or incapacitated.

**11. Recovery/Reconstitution** – Steps to return operations to pre-event status. This may include a phased activation of utilities, HVAC systems, voice and data systems, personnel, the public, and operational and administrative activities.

#### **Section 4 – COOP Plan Templates**

This section contains the forms specifying required information, actions, and timeframes for the eleven core elements.

#### **Section 5 – Appendices**

This section will contain memoranda of understanding, maps to alternate sites, checklists, draft operational orders, judicial correspondence/orders, and references such as a glossary and a list of acronyms.

### ***c. Planning Assumptions***

A COOP plan typically assumes one of four planning scenarios that may cause a disruption of the normal business activities within a court facility:

1. Courthouse/facility only is affected.
2. Courthouse/court facilities and the local area are affected.
3. Geographic region is affected.
4. Pandemic or public health crisis.

Building on these planning scenarios, the plan should incorporate the following assumptions:

- Loss of access to court facilities.
- Judges and staff will be available to continue essential functions.
- The sheriff's office/court security and their subcontractors will likely provide security to the judges, staff, and court facilities, including alternate sites.
- If essential functions are relocated to an alternate site, judges will assume cases for those judicial officers who are unavailable or did not survive.
- Activation of the COOP plan may be required at any time (e.g., during and after business hours). Following activation, the emergency response team may be required to travel from their homes, offices or other location immediately to an alternate site or at the court facility in the event of a pandemic.
- Information systems and communications may be degraded.
- COOP plan activation may affect the pay or benefits of court personnel.

### ***d. Planning for a Pandemic<sup>6</sup>***

A COOP plan typically assumes that a court facility is unavailable at least 30 or more days and essential functions must be performed by an emergency response team comprised of a small cadre of subject matter experts from each court office at an alternate site or sites. During a pandemic, the courthouse or other court facilities may be intact, open, and available but internal resources, e.g., personnel, and external resources (law enforcement, counsel, jurors, and vendors) are unavailable. Essential functions could be performed in the court facility, through work-at-home telecommuting arrangements (aka alternate sites), through remote access such as video conferencing, or through a combination of locations and technologies.

The overall COOP plan governance and response structures apply to any disaster, but courts should consider the following assumptions when crafting COOP plan enhancements for a pandemic:

Approximately 40 percent absentee rate at any given time due to:

- Illness
- Death
- Care for sick family members
- Schools closed and parents must stay home
- Government imposed social distancing
- Employees unable to get to work because mass transit systems are affected
- State health departments may impose quarantine or isolation orders
- Widespread regional impact/infection
- Public fear (personnel/vendor/stakeholders)
- Closing of public facilities, e.g., schools and transportation systems
- No immediate cure, e.g., vaccine
- Vaccine is not expected for the first wave of illness for at least 6-12 months
- Limited supply of anti-viral medications (e.g. Relenza and Tamiflu which must be taken within 48 hours of onset of symptoms or it does not work. It is not a cure or preventative medication, and may be distributed only to first responders, e.g., medical personnel, law enforcement)
- A pandemic may last 18 or more months and come in several waves
- The court facility likely is not damaged or inaccessible
- The first 90-120 days of outbreak may be the most deadly

Pandemic preparedness planning should also address the following:

- Development, implementation, and rehearsal of a telecommute program for the performance of essential functions

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<sup>6</sup> Information provided in this section was gathered from sources such as the U.S. Department of Health and Human Services ([www.pandemic/flu.gov](http://www.pandemic/flu.gov)); the Centers for Disease Control ([www.cdc.gov/flu/avian](http://www.cdc.gov/flu/avian)); the World Health Organization ([www.int/csr/disease/avian\\_influenza](http://www.int/csr/disease/avian_influenza)); the Disaster Recovery Journal; and the Bureau of Justice Assistance ([www.ojp.usdoj.gov/BJA/pandemic/pandemic\\_main.html](http://www.ojp.usdoj.gov/BJA/pandemic/pandemic_main.html))

- Deployment of all necessary equipment e.g., laptops, printers, fax, high speed Internet connections, essential functions applications
- Train, cross-train, and retrain personnel
- Development and dissemination of human resource policies that:
  - require sick employees to stay home (self-quarantine)
  - address admission to the court facility by sick public
  - address the state's quarantine and isolation policies
  - establish compensation policies, e.g., how long non-essential employees will be paid, sick leave, family care leave
- Expanded vendor list (vendors too will have high absentee rate)
- Pandemic awareness training and ensure all employees know and understand personnel and response policies
- Purchase of hand sanitizers, gloves, and face masks and conveniently locate them throughout each facility
- Train staff to:
  - Wash hands frequently
  - Avoid touching their faces
  - Avoid handshaking
  - Avoid face-to-face meetings
  - Stay home if sick
  - Have a home pandemic plan
  - Implement enhanced facilities cleaning practices, e.g., door handles, counters, handrails, phones, desk, keyboards.

### ***e. Training***

Training and cross-training employees, testing plans to validate their effectiveness, and conducting simulated disaster exercises are necessary to prepare for and improve the court's ability to execute its essential functions and to find and fill gaps that exist in the plan or response capabilities.

#### **Training**

To maintain a viable COOP plan, staff must be cross-trained to perform essential functions, and trained to perform at an acceptable level of proficiency. Proficiency in COOP activities is achieved by selecting and training key individuals, training the group that will be involved in any relocation to alternate facilities, and training the court personnel as a whole. The training program includes:

- COOP awareness workshop for all judges and chambers staff
- COOP senior manager training
- COOP training for all staff
- A comprehensive readiness program to ensure the preparedness of emergency response personnel assigned to carry-out essential functions during a COOP event.

Figure 11 illustrates an approach to track and schedule training requirements.

**Figure 11: Training Requirements**

Training Activity	Frequency	COOP Plan Reference	Training Plan Reference
Orientation Training	Within 30 days of hire	[Insert COOP Plan bookmark]	[Insert training plan reference]
Subject-Specific Information Broadcast (email/website)	Bi-Weekly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Essential Personnel Subject-Specific Training	Quarterly	[Insert COOP Plan bookmark]	[Insert training plan reference]

### Tests

Training includes regularly scheduled testing of equipment and information systems that support the court's essential functions during COOP plan activation. The testing provides evaluation of the following:

- Notification procedures including instructions for relocation to pre-designated facilities, with and without warning, and during business and non-business hours
- Ability to access vital records, information systems, and the data management software and equipment necessary to perform essential functions
- Communication systems
- Support services at the alternate facilities (e.g., water, electrical power, IT infrastructure, HVAC)

Figure 12 illustrates a format to ensure testing activities are performed regularly.

**Figure 12: Recommended Testing Activities**

Test Activity	Frequency	COOP Plan Reference	Training Plan Reference
Test Alert & Notification Procedures	Quarterly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Check emergency relocation site readiness	Monthly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Validate strategies to carry out essential functions	Semi-Annually	[Insert COOP Plan bookmark]	[Insert training plan reference]

Test Interoperable Communications	Monthly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Evaluate Vital Records Program	Ongoing	[Insert COOP Plan bookmark]	[Insert training plan reference]
Evaluate orders of succession	Semi-Annually	[Insert COOP Plan bookmark]	[Insert training plan reference]

### Exercises

A variety of disaster simulations are used to keep the COOP plan viable and to improve the ability of staff to execute the plan when confronted with various contingencies. The exercise portion of the training includes:

- Bi-annual activation of the COOP plan requiring notification and verbal walk-through of activation procedures
- Annual tabletop exercises for the court staff plus selected external agencies and offices
- Annual activation of the COOP plan for physical relocation to an alternate facility

Figure 13 illustrates a format to identify specific exercises and the frequency with which they should be performed.

**Figure 13: Recommended Exercise Activity**

Exercise Activity	Frequency	COOP Plan Reference	Training Plan Reference
Tabletop Exercise	Semi-Annually	[Insert COOP Plan bookmark]	[Insert training plan reference]
Drills	Quarterly	[Insert COOP Plan bookmark]	[Insert training plan reference]
Functional Exercise	Annually	[Insert COOP Plan bookmark]	[Insert training plan reference]
Full-Scale Exercise	Bi-Annually	[Insert COOP Plan bookmark]	[Insert training plan reference]

## *f. Templates*

Each court office completes the appropriate templates. This information is a combination of detailed court office and operational information within the eleven core components of the COOP plan. The templates contain information critical to the successful implementation (e.g., names, roles, contact information) of the plan and general guidance in support of COOP planning. Templates are provided in [Part II, Appendix B](#) of this document.

## **2. Information Technology (IT) Disaster Recovery Plan (DRP)**

### *a. Overview*

This plan is the information technology department's preparedness roadmap similar to the court's COOP plan, and must be consistent with the court COOP plan, particularly in the area of emergency response teams (ERT), essential functions, vital records, databases, and information systems, and alternate sites. However, the DRP may be used even when COOP plans are not activated, e.g., fire or flood confined to the computer room. The four general areas usually addressed in this plan are:

1. **Mitigation:** activities designed to prevent loss of and mitigate risk to information systems, databases, peripherals and equipment.
2. **Preparedness:** create an inventory, and document all systems, network topology, network configuration (create a network diagram), firewalls, computer equipment, printers, servers, routers, back-up and storage systems, modems, hubs, switches, software, records and databases, connectivity services, and the location of each. This step also includes the identification and prioritization of what needs to be recovered, recovery time objectives, assignment of recovery tasks, and information about how recovery will occur.
3. **Response:** activities to implement the disaster recovery plan. This segment must be coordinated with the court's COOP plan to ensure a clearly defined understanding of what constitutes vital records, information systems and databases required to perform the court's essential functions, and in what order they are needed.
4. **Recovery:** activities required to restore operations from plan activation to pre-event status. This includes the transfer of operations from perhaps a remote or alternate site back to the court facility.

### *b. Training*

Like other preparedness plans, training is critically important to ensure the response team knows how to perform their essential functions, that the plan is viable, and that relocation and activation of systems are conducted through simulated exercises for training and testing purposes.

### ***c. Response Team***

The disaster recovery plan identifies the response team, succession orders, and delegations of authority, and defines roles and responsibilities. The DRP must be synchronized with the court's COOP plan, by name, position, and contact information. The IT response or advance team usually is the first to arrive at an alternate site (advance team) or this team maintains functionality at the main court facility in a disaster.

### ***d. Tools***

Checklists are helpful to this team to ensure they accomplish all their set-up and maintenance tasks upon plan activation to shut down systems at the primary facility and activate systems at the alternate site, as are maps to the alternate sites. When possible the IT department should pre-position supplies and equipment at the alternate site, and ensure that each team member has a GO-Kit stored off-site from the main court facility.

### ***e. Alternate Site Selection***

When an alternate is selected, the IT department should be consulted to ensure the site provides the capabilities to support the court's defined essential functions which rely on the IT infrastructure. For example, is the facility large enough; is it air conditioned, is it fire and water protected, is there sufficient power; is there adequate physical security?

### ***f. Vendor List***

The IT department should develop and maintain a detailed vendor list to support operations and functions in a disaster, both at the court facility and alternate site(s). The list also should be deep enough to address the impact of a pandemic on vendors.

### ***g. Vulnerability Assessments/Risk Mitigation***

Like the court, the IT department should also conduct a risk analysis of each network component to detect systems and other vulnerabilities and gaps. The business impact analysis completed by the court focuses on court operations, but the performance of those operations often is dependant upon automation capabilities.

The National Institute for Standards, [NIST Special Publication 800-32](#), Contingency Planning Guide for Information Technology Systems (June 2002) was prepared for federal government agencies but provides extensive contingency plan guidance for the IT systems and is an excellent resource for courts.

## **3. Evacuation Plans**

These plans address how court personnel and the public evacuate a specific facility, or shelter-in-place in the event evacuation is impossible or unwise, e.g., chemical exposure, and how the court staff responds to security and safety breaches in the court facility. There usually is only one alert and notification system for the facility for evacuation e.g., fire alarm, however, there may be multiple systems for weather events and shelter-in-

place. Coordinators from each court office are typically assigned specific evacuation duties, rally point, and accountability procedures which should be captured in the evacuation plan. A sample plan is available in [Part II, Appendix D](#).

#### **4. Critical Incident Plans**

Critical incident procedures are designed to inform employees what to do when an incident occurs or when a threat is suspected. They should also provide specific information on how to react to incidents such as, but not limited to, fire, weather events, chemical spills, power outage, bomb threats, prisoner disruptions, suspicious mail or packages, and acts of violence. These procedures should be clear, easy to follow and employees must be trained. Examples of these plans are contained in [Part II, Appendix D](#).

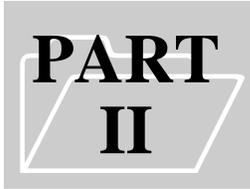
## **CONCLUSION**

The foundation for a successful emergency management program in state courts rests on two factors:

- The sustained demonstrated commitment of leadership, and
- A robust prevention, preparedness, and response training program.

The National Center for State Court's model for a comprehensive emergency management program integrates prevention activities such the conduct of security, facility and perimeter assessments, risk analysis, risk management, and business impact analysis, with the development and implementation of preparedness plans such as continuity of operations, IT disaster recovery, evacuation, and critical incidents. This model emphasizes the importance of awareness and technical training of all staff, including judicial officers, and the cross training of essential functions teams.

Part II ties together the guidance from Part I with samples and references that courts can adopt or adapt as applicable to their court's size and organizational structure.



## **APPENDICES**

### **Appendix A: Sample COOP Plan**

### **Appendix B: COOP Plan Templates**

### **Appendix C:**

- 1. Sample Memoranda of Understanding (DC and Blank)**
- 2. Sample Judicial Correspondence**
- 3. Sample COOP Plan Activation Checklist**
- 4. Sample Alternate Site Checklists**

### **Appendix D:**

- 1. Sample Evacuation and Critical Incident Plan (GSA OEP)**
- 2. Sample Shelter in Place Plans (Red Cross and OSHA)**
- 3. ATF Bomb Threat Checklist**

### **Appendix E: References**

- 1. Glossary**
- 2. Acronyms**
- 3. Bibliography**

Appendix

A

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 Sample COOP Plan

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**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*].

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Signature

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Title

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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 Figure 1.

**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

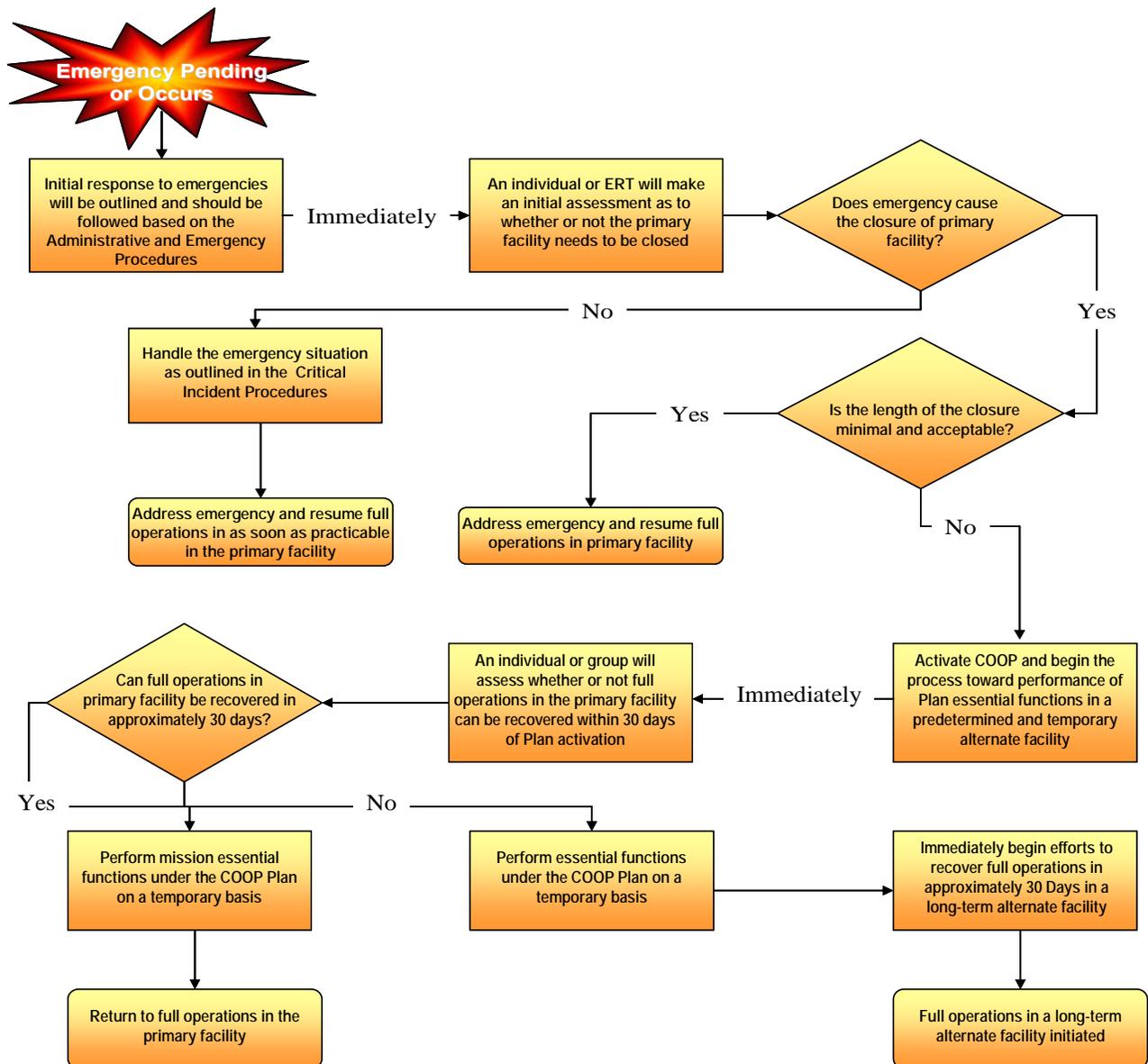
**Appendix B** contains the blank COOP plan templates for the court as a whole and each court office covered by this plan.

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

**Emergency Team Roster**

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

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

<b>Priority</b>	<b>Recovery Time Objective</b>
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**

<b>Primary contact</b>	<b>Contact information</b>	<b>Alternate1 contact</b>	<b>Alternate1 contact information</b>	<b>Alternate2 Contact</b>	<b>Alternate2 Contact information</b>
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
<b>Court of Appeals</b>					
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
<b>Trial Court Essential Functions</b>					
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			
<b>Trial Court Essential Functions</b>					
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
<b>Radio</b>		
<b>Television</b>		
<b>Newspapers</b>		

**Template 6 Sample  
External Communications Contact List**

Audience	Name/Title	Telephone Number
<b>City Local Level</b>		
• 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

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 **COOP Plan Templates**

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**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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[Enter page number]

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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.]

<b><i>Note</i></b>
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.]

<i>Note</i>
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.]

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

### 3.2 COOP Plan Phases

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

<i>Note</i>
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.<sup>1</sup>

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<sup>1</sup> 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]**

<b>Essential Function</b>	<b>Primary Name Contact Information</b>	<b>Alternate 1 Name Contact Information</b>	<b>Alternate 2 Name Contact Information</b>	<b>Alternate 3 Name Contact Information</b>

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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
	<b>Name:</b> <b>Cell:</b> <b>Home:</b> <b>Office:</b> <b>Email 1</b> <b>Email2</b>			

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## COOP PLAN TEMPLATE 5: ALTERNATE SITES

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

<b>Instructions</b>	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
<b>Radio</b>		
<b>Television</b>		

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### External Communications

Agency	Name/Title	Telephone Number
<b>City Local Level</b>		
• 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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Appendix

C



**Sample Memoranda of Understanding**



**Sample Judicial Correspondence**



**Sample COOP Plan Activation Checklist**



**Sample Alternate Site Checklists**

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**MEMORANDUM OF UNDERSTANDING BETWEEN  
THE DISTRICT OF COLUMBIA COURTS AND U.S. DISTRICT COURT<sup>2</sup>**

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

---

<sup>2</sup> Inserted with permission from the District of Columbia Courts

## 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

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Signature

---

Signature

---

Title

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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: \_\_\_\_\_

**JUDICAL 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**

<b>Action (Sample Information )</b>	√
<b>Alert and Notification</b>	
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.	
<b>Post Alert &amp; Notification</b>	
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.	
<b>Emergency Response Team</b>	
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).	
<b>Non-Emergency Response Team Personnel</b>	
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)**

<b>Action (Sample Information )</b>	√
<b>Emergency Response Team at Alternate Site(s)</b>	
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

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

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

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 **ATF Bomb Threat Checklist**

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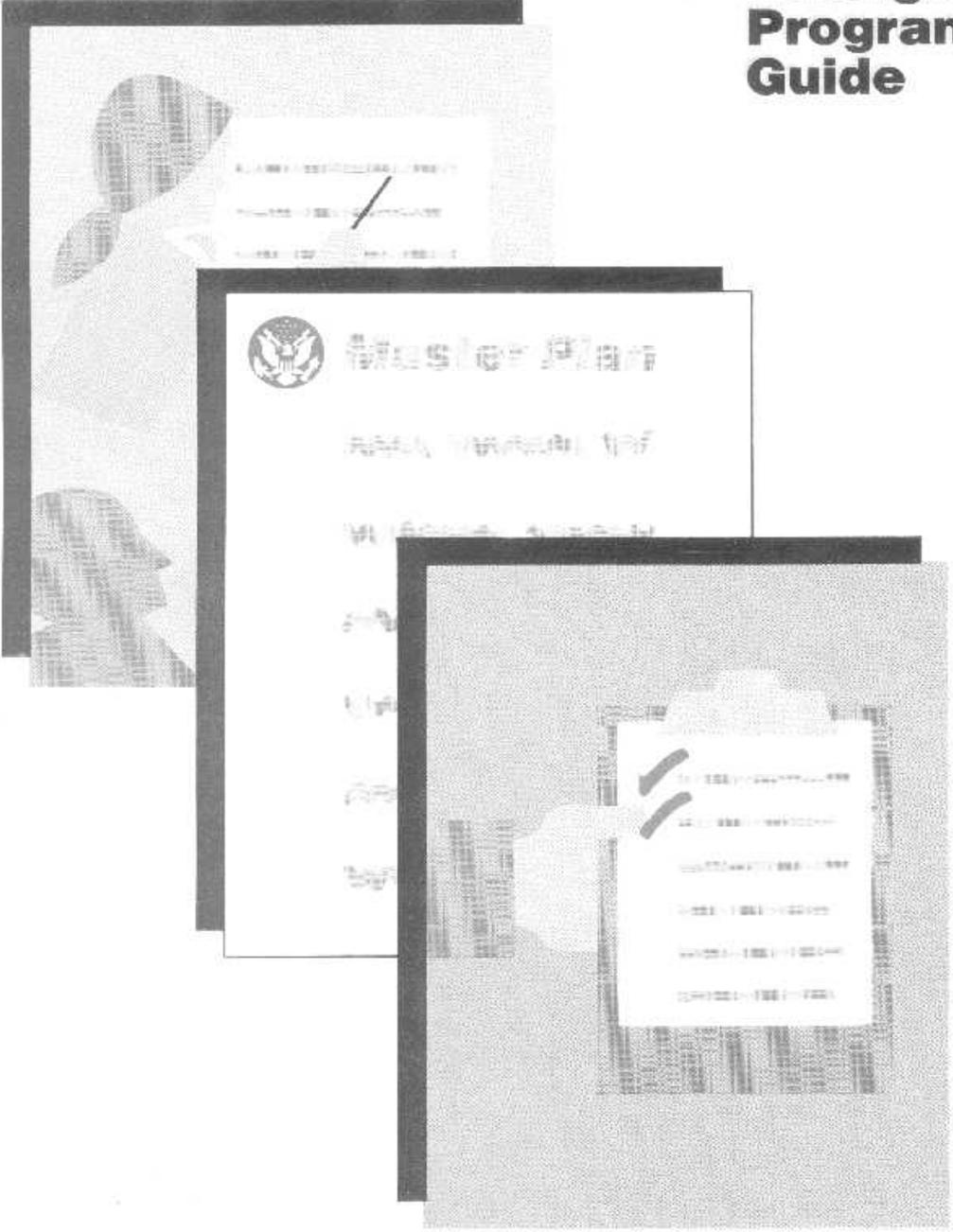
**The documents in Appendix D are also cited as on-line references in Appendix E – Bibliography.**



U.S. General Services Administration  
Public Buildings Service  
Federal Protective Service



# Occupant Emergency Program Guide



## Occupant Emergency Plans

AO Administrative Officer  
ACC Alternate Command Center  
CC Command Center  
CCT Command Center Team  
DCTC Damage Control Team Coordinator  
DO Designated Official  
FEMA Federal Emergency Management Agency  
FMR Federal Management Regulations  
FPO Federal Protective Officer  
FPS Federal Protective Service  
FTC Floor Team Coordinator  
GSA General Services Administration  
MC Medical Coordinator  
OEC Occupant Emergency Coordinator  
OEO Occupant Emergency Organization  
OEP Occupant Emergency Program  
PSS Physical Security Specialist  
TA Technical Advisor

APPENDIX A. CHAPTER 101 -FEDERAL PROPERTY MANAGEMENT REGULATIONS,  
SUBCHAPTER D—PUBLIC BUILDINGS AND SPACE

### **WORKSHEET SAMPLES**

APPENDIX B: Occupant Emergency Plan Check List  
APPENDIX C: Responsible Officials' Sign-Off Sheet  
APPENDIX D: Emergency Telephone Numbers  
APPENDIX E: Building Information Sheet  
APPENDIX F: Command Centers  
APPENDIX G: Command Center Team  
APPENDIX H: Command Center Team-Advisor's  
APPENDIX I: Command Center Team-Floor Monitor's  
APPENDIX J: Elevator Monitor(s)  
APPENDIX K: Evacuation Information  
APPENDIX L: Damage Control Team  
APPENDIX M: Occupant Information Sheet  
APPENDIX N: Notes

## **Overview: Handling Occupancy Emergencies**

### **What is an occupancy emergency?**

An occupant emergency is an event that may require you to be evacuated from your occupied space or relocated to a safer area. The emergency may include a fire, explosion, discovery of an explosive device, severe weather, earthquakes, chemical or biological exposure or threat, hostage takeover or physical threat to building occupants or visitors.

### **What preparations do I need to take?**

You need to have established these three things:

- Occupancy Emergency Plan Designated Official
- Occupancy Emergency Program
- Occupancy Emergency Organization

### **Who is the Designated Official (DO)?**

The designated official is the highest-ranking official in a Federal facility or another person agreed on by all tenant agencies. In the absence of the DO, they may designate an alternate official(s) to carry out the duties.

### **Who represents the DO after normal duty hours?**

The senior Federal official present represents the DO or alternate and handles emergencies according to the plan.

### **What is an Occupancy Emergency Program?**

It's a program establishing procedures for safeguarding lives and property in and around the facility during emergencies.

### **What is an Occupancy Emergency Organization (OEO)?**

This organization is a group of employees from your agency who carries out your emergency program. If you reside in a multi-agency building, the employees are usually selected from the largest agency.

### **What is an Occupancy Emergency Plan (OEP)?**

The emergency plan is a set of procedures to protect life and property in Federally occupied space under defined emergency conditions. We work with you to develop this plan.

### **Who establishes and maintains the OEP?**

The DO establishes, develops, applies, and maintains the plan. This person also establishes, assists in staffing, and trains the emergency organization that includes your agency's employees.

### **What is GSA's role in the OEP?**

- Help in establishing and maintaining the plans and organizations.
- Offer policy guidance about the emergency program.
- Ask the lessor, in leased space, to help develop and carry out the Occupancy Emergency Plan.
- Ensure proper administration of the program.
- Review plans and organizations annually.
- Help train employees and other people for emergencies.
- Provide technical people to operate utilities, such as generators, and protective equipment for the OEO
- Chair the Building Security Committee unless an interagency agreement or our delegation of authority says otherwise.

### **When does the DO or alternate official activate the OEP?**

The DO or alternate official(s) activates the plan if experience warrants doing so, if people or property is in immediate danger, or if the official gets advance notice of an emergency.

## Occupant Emergency Programs

Hundreds of thousands of people, work in Federally owned or leased Federal buildings and countless thousands of visitors pass through these facilities each year. The U.S. General Services Administration (GSA) is the agency responsible for ensuring the safety and security of all of these people while they are on Federal property.

The Federal Management Regulations (FMR) specifically require GSA to assist Federal agencies that occupy these facilities in establishing and maintaining an Occupant Emergency Program (OEP). The FMR defines an OEP as "... a short-term emergency response program [that] establishes procedures for safeguarding

*lives and property during emergencies in particular facilities."*

An OEP has two components.

- The **first** is the development of procedures to protect life and property in Federally occupied space under certain emergency conditions.
- The **second** is the formation of an Occupant Emergency Organization within each agency, comprised of employees designated to undertake certain responsibilities and perform the specific tasks outlined in their OEP.

**NOTE:** *The relevant sections of the FMR are contained within the Appendix of this booklet.*

### Occupant Emergency Plans

This publication provides a step-by-step guide to assist Federal agencies in meeting FMR occupant emergency requirements. As each agency completes development of an OEP, all pertinent information should be published as a directive entitled "*Occupant Emergency Plan for (Name of Facility)*" and copies distributed to all individuals responsible for action in the event of an emergency.

The published Occupant Emergency Plan directive should contain a sign-off sheet, similar to the one on this page. Verification that those responsible for managing and performing tasks during an emergency is necessary to ensure that those individuals are aware of their responsibilities.

For small, one-level facilities, emergency information (telephone numbers, responsible individuals, coordinators, etc.) may be entered on GSA Form 3415, Occupant Emergency Plan (abbreviated), {*shown on the following page*}. This form may **not** be used for facilities with **more than 500 employees**, unless the individual primarily responsible for the Occupant Emergency Program approves its use.

### Responsible Officials' Sign-Off Sheet

By their signatures below, the following officials certify that they have participated in the development of this Occupant Emergency Plan and fully understand the procedures to be followed in an emergency affecting the facility and employees for which they are responsible.

<b>Designated Official:</b>	Agency Name Signature & Date Title
<b>Building Manager:</b>	Name Signature & Date
<b>Tenant Agencies:</b>	Agency Name of Ranking Official Signature & Date
	Agency Name of Ranking Official Signature & Date
	Agency Name of Ranking Official Signature & Date
	Agency Name of Ranking Official Signature & Date
	Agency Name of Ranking Official Signature & Date
	Agency Name of Ranking Official Signature & Date
	Agency Name of Ranking Official Signature & Date
	Agency Name of Ranking Official Signature & Date
<b>Physical Security Specialist/LESO:</b>	Name Signature & Date



# The Occupant Emergency Organization

An Occupant Emergency Organization coordinates emergency response procedures in each facility. This organization generally consists of a Command Center Team (CCT), Floor Teams, and a Damage Control Team. Procedures also must be spelled out and responsibilities assigned for handling emergencies that occur during nights, weekends, and holidays. The organization's members and their titles and telephone numbers should be noted on forms such as the ones shown here.

Organization personnel should be provided with visual identifiers such as colored safety hats and/or armbands. Occupants should be familiar with these identifiers and their significance.

In setting up the organization, it may prove useful to remember a few general points:

- The organization should be limited in size. Carefully determine how many positions are needed and define their duties clearly. It's important to have enough help in an emergency, but too many people could get in the way and prevent fast, efficient action.
- The organization should consist of and use the existing hierarchy of the occupant agencies. In other words, the same officials who run the agencies on a day-to-day basis should assume leadership

positions during an emergency since they reflect an agency's greatest leadership, experience, and skill and have ultimate responsibility for the safety and well being of their employees.

- Emergency organization members usually are selected by position, not by name. This automatically allows for continuity since someone normally fills positions when the incumbent is absent. The acting official assumes the incumbent's role in the emergency organization as well. Selection by position also eliminates the need for assigning alternatives.

## The Command Center Team

The Command Center Team (CCT) directs all emergency operations from the building's Command Center (CC).

In a large facility, this team would include the Designated Official (DO), an Occupant Emergency Coordinator (OEC), a Floor Team Coordinator (FTC), a Damage Control Team Coordinator, a Medical Coordinator, an Administrative Officer, and Technical Advisors. In a small facility, some positions, such as Administrative Officer, Medical Coordinator, and FTC, may not be needed; or one person could perform several functions.

Special consideration must be made for rapid transportation of team members from their workstations to the CC and for quick notification of team members of an emergency.

Duties of the CCT members are outlined in the following paragraphs.

## GSA Form 3415

OCCUPANT EMERGENCY PLAN (Abbreviated)	
<small>(This form is provided as a template to be filled in accordance with the general instructions on the reverse side.)</small>	
OFFICE: _____ GSA: _____ UNIT: _____	ROOM: _____ NUMBER: _____ OFFICE: _____ OTHER: _____
<b>EMERGENCY ORGANIZATION INFORMATION</b> <small>(Incident, Evacuation, and Search Search Officer)</small>	
NAME: _____ TITLE: _____ OFFICE PHONE: _____ HOME PHONE: _____	NAME: _____ TITLE: _____ OFFICE PHONE: _____ HOME PHONE: _____
<b>EMERGENCY PLAN CHECKLIST</b> <small>Know Evacuation Routes Know the Plan of Action</small>	
<b>FIRE OR BOMB</b> 1. Sound alarm immediately. 2. Call for help immediately. 3. Notify Office of Emergency. 4. Notify Building Management. 5. Notify Medical Reception Service. 6. Notify Fire Department. 7. Call area emergency services (Fire, Police, etc.).	<b>BOMB THREAT</b> 1. Do not discuss the plan of action of this form. 2. Notify Office of Emergency. 3. Notify Building Management. 4. Notify Federal Bureau of Investigation. 5. Notify Building Management. 6. Do not handle mail and do not allow for mail delivery. 7. If suspicious packages or items found: a. Do not touch. b. Notify Bomb Squad. c. Evacuate area.
<b>EARTHQUAKE</b> 1. Drop, cover, and hold on. 2. Do not run outdoors.	<b>OTHER DISTURBANCES</b> 1. Notify Office of Emergency. 2. Notify Building Management. 3. Notify Fire and Police as needed. 4. Notify Building Management.
<b>SEVERE WEATHER</b> 1. Stay in place unless building: 2. Prepare to move to a safe area. 3. Stay away from trees or objects. 4. For tornado, take shelter. 5. Know location of emergency shelter and exits. 6. Stay tuned to weather reports. 7. Standby for out-of-area calls.	(This is an emergency plan. Do not use for non-emergency.) GSA Form 3415-100
GENERAL SERVICES ADMINISTRATION	

# The Occupant Emergency Organization

## **Designated Official (DO)**

- Coordinates with all tenants and develops an emergency plan.
- Selects and trains Occupant Emergency Organization members.
- Ensures that appropriate procedures are followed during emergencies.
- Identifies and establishes working relationships with Federal, State, and local agencies that might respond to an emergency in the facility.
- Initiates activities to prepare occupants for emergencies and inform them of response procedures.

## **Occupant Emergency Coordinator (OEC)**

- Assists DO.
- Acts for DO during absences.
- Performs delegated duties of the DO.
- Serves as liaison between DO and other members of the CCT.

## **Floor Team Coordinator (FTC)**

- Assists the OEC.
- Coordinates planning of occupant movement between floors during an emergency.
- Coordinates floor, wing, stairwell, elevator, and other monitor activities (see "Floor Teams").

## **Damage Control Coordinator (DCC)**

- Assists the OEC.
- Identifies utilities, alarm systems, communications equipment, and other

pertinent systems and equipment in the building.

- Make recommendations on the use of facilities and equipment.
- Maintains emergency call list for utilities and hazardous substances.
- Directs Damage Control Team activities.

## **Medical Coordinator (MC)**

- Assists the OEC.
- Identifies available medical emergency services.
- Maintains first aid equipment.
- Arranges CPR, first aid, and other paramedical training.
- Maintains list of personnel with CPR and paramedical training.

## **Administrative Officer (AO)**

- Assists the OEC.
- Records enacted emergency procedures.
- Maintains organization records and updates them monthly.
- Provides required administrative services (phones, faxes, radios, etc.) and prepares reports.

## **Technical Advisors:**

- **Building Manager (BM) (GSA or Lessor)**
  - Works with the OEC.
  - Provides information about the building and the operation of its mechanical systems.
- **Physical Security Specialist (PSS)**
  - Works with the OEC.
  - Provides advice on

security and law enforcement matters.

- Serves as liaison with Federal and local law enforcement agencies
- **Other occupants** familiar with the building's utilities and mechanical systems. **(List as many technical advisors as are available to cover all contingencies.)**

## **Floor Teams (FT)**

OEPs are, for the most part, carried out by Floor Teams (FT) assigned to each floor of a facility. A typical FT in a large facility would include a Floor Monitor, Wing or Area Monitors (one for each major area of the floor), Stairwell Monitors, Elevator Monitors (for each fl. where elevators may be captured), Monitors for the Handicapped, and Exit Monitors (for street and ground level). Small or single-story facilities may not need all of these monitors. Duties of the Floor Team members are outlined below.

## **Floor Monitors (FM)**

- Assist the FTC. Maintain communication with CC during an emergency; provide progress reports on evacuation; notify CC when floor is completely cleared.
- Designate exact boundaries of floor areas and assign responsibilities for these areas.
- Make necessary changes in floor organization with approval of the FTC and OECs.
- Ensure that evacuation routes are clearly identified and posted on bulletin boards, corridor intersections, and office exits and are known to occupants.

# The Occupant Emergency Organization

## Area or Wing Monitors

- Work with Floor Monitor; notify Floor Monitor when area has been completely cleared.
- Ensure that evacuation routes are clearly identified and made known to occupants.
- Direct orderly flow of persons during drills and emergencies, along the prescribed evacuation routes.
- Ensure that area or wing is completely vacated, when required.
- Ensure that windows and doors are closed lights on, and electrical appliances off during fire evacuations.
- Leave windows and doors open and lights on during bomb threat evacuations.
- Supervise Stairwell Monitors and Monitors for the Handicapped; maintain list of handicapped persons, providing revisions to the Floor Monitor. (List should include name, telephone extension, room number, and type of handicap.)

## Stairwell Monitors

- Support the Area/Wing Monitor.
- If evacuating because of a bomb threat, search stairwell.
- Control movement of persons on stairways, keeping them in single file and moving steadily at a walking pace; instruct persons to grasp handrails.
- Keep door open to stairway until the area/wing is clear.
- Restrict and monitor use of stairwells and escalators as necessary.
- Assign Monitors for the Handicapped, one per handicapped person.

## Elevator Monitors

- Assist and Support Area/Floor Monitors.
- Be familiar with the provisions of GSA Bulletins covering emergency plans for using elevators to evacuate handicapped persons.
- Be familiar with manual operation of elevators.
- Capture assigned elevator and permit use only as directed by floor monitor.
- During fire evacuation, direct persons attempting to use elevator to appropriate stairway; relinquish control of elevator to firefighting personnel when they arrive.
- If emergency personnel are arriving by elevator, meet them and direct them to the scene of the emergency.
- Assist the evacuation of handicapped personnel by elevator *if elevator has been approved for use*.
- Know the locations and telephone numbers of the handicapped persons to be assisted, types of handicaps, and the location of crutches, wheelchairs, and other support devices.
- Know which elevators may be used for evacuation of handicapped persons.
- Assist handicapped persons from their workplaces to the elevator, down, and out of the building. If elevator cannot be used, assist person to an area adjacent to the nearest safe stairway and get or await help.

## Exit Monitors

- Work with Floor Monitors.
- Ensure the exits are open and free of hindrances.
- Deny unauthorized access to the building.
- Direct orderly movement of persons to safety areas.
- Assist in evacuation of handicapped persons.

# The Occupant Emergency Organization

## Damage Control Team

The Damage Control Team consists of the Building Manager and other people familiar with the facility's construction, equipment, and overall operating system. Team members report to the Damage Control Coordinator. Generally, their job is to control dangerous conditions until further help arrives and to assess potential and real danger. This may include the following duties:

- Ensure that appropriate response organization (Fire Department, Police Department medical, hazardous materials, etc.) has been notified.
- Initiate reasonable fire suppression or confinement using facility portable fire extinguishers.
- Assist emergency response personnel.
- Disconnect utilities or equipment.
- Conduct bomb search.
- Protect or remove equipment, records, hazardous substances, etc.
- Perform rescue and first aid.
- Make emergency repairs.

## Nights/Weekends/Holidays

In the event of an emergency at night, over the weekend, or on a holiday, the senior Federal official present should act as the "Designated Official" and initiate appropriate action. This person will need to coordinate with the senior Federal Protective Officer or contract guard on the premises with appropriate maintenance personnel.

## Communications

Of high-priority concern to members of the Occupant Emergency Organization are the primary and alternate means of communication that will be used to:

- (1) Activate the organization.
- (2) Inform building occupants of the nature of an emergency and what action to take.
- (3) Coordinate activities during the emergency.

**In most cases, the building's fire alarm system may not be used as a means of notifying the organization and the occupants without approval of the Building Manager and or the Fire Department. As such, appropriate use of telephones, public address systems, and/or messengers may prove more feasible.** If telephones are used, a Communications Coordinator should be appointed by the Administrative Officer to set up a system of contacting all members of the emergency organization. The Administrative Officer/person should also be responsible for updating lists of telephone numbers.

Multilevel buildings may have emergency telephone systems for coordinating emergency activities. However, most buildings must rely on the normal telephone system, the public address system, the fire alarm, and messengers.

### Child Care Centers in Federal Facilities

The DO and a Physical Security Specialist should work with the director of a childcare center in a Federal facility to develop and post emergency response procedures. Center staff should know whom to contact in the event of a medical emergency, how the center will be notified of a fire or other danger that may require evacuation, the location of fire alarm boxes and fire extinguishers, the primary and secondary evacuation routes, and the locations of safe areas.

Each staff member should be assigned a specific group of children for whom he or she is to be responsible during an emergency. Center staff should conduct practice drills over the prescribed evacuation routes so children won't be unprepared or unduly alarmed should a real emergency occur.

## Typical Emergencies and Responses

Most emergencies can be handled routinely if people know the procedures established to get the right help fast. The services needed for each kind of emergency must be identified and the telephone numbers kept within easy reach and updated periodically. Members of the Occupant Emergency Organization should be familiar with the capabilities, limitations, and response times of each such emergency service.

If a potentially necessary service is not readily available, the Occupant Emergency Organization should develop the required capability.

Outlined below are some typical emergencies that could occur in a Federal facility and require quick response. Actual response procedures for a particular facility should be conducted in a manner similar to those discussed herein.

### Medical Emergency

When medical assistance is needed, Occupant Emergency Organization members and other identified occupants may be the fastest source of first aid/cardiopulmonary resuscitation. Also, all Federal Protective Officers are qualified in first aid/CPR.

The facility's Health Unit usually can provide immediate medical attention. Local physicians and emergency medical units are normally closer than a hospital; the area should be surveyed to determine their availability, and their telephone numbers should be on the Emergency Call List. Local police, fire, and rescue squads can provide ambulance services and paramedics; police and fire department personnel can also maintain order during an emergency requiring large-scale medical services.

### Rescue

Federal Protective Officers/Physical Security Specialists and the facility's Damage Control Team and technical advisors may be capable of handling a rescue. The Damage Control Team and technical advisors are familiar with floor plans and mechanical systems and should be notified immediately in the event of mechanical or other entrapment. Local fire departments normally have the most rescue experience and training.

### Fire

Be sure that all occupants know the locations of fire alarm boxes and fire extinguishers, how/when to use them, and the procedures to follow when they hear the fire alarm. Occupants should also know whom they should notify after they have turned in an alarm so that the CCT can be activated. Federal Protective Officers and members of the Damage Control Team are trained in fighting small fires. Once the fire department arrives, the fire official in charge will assume command.

### Hazardous Substances

The Hazard Communication Standard (29 CFR 1910.1200) 1 Jul '99, establishes uniform requirements for evaluation of all hazardous chemicals used in U.S. workplaces and communication of this information to the appropriate personnel. This Standard was designed to ensure that:

- (1) **employers** receive the information they need to inform and train employees properly and to design and put in place employee protection programs and
- (2) That **employees** receive necessary hazard information so they can participate in the development of protective measures in their workplaces and support them once they are in place.

Under the Standard, employers are required:

- (1) To label all hazardous chemicals in their workplaces and list them on Material Safety Data Sheets (MSDSs) and

## **Typical Emergencies and Responses**

- (2) To develop, publish, and implement a hazard communication program, including employee training.

The DO must maintain an inventory of hazardous materials used in chemical laboratories and hazardous material storage areas in the building. This inventory should include the following information for each chemical that poses a potential health or physical hazard:

1. Substance name and trade name,
2. National Stock Number/Chemical Abstracts Service (CAS) Number, if applicable;
3. Name and location of user;
4. Quantity used per day/week/ month,
5. Container size; and
6. Quantities of chemical normally in use and stored.

The Chemical Transportation Center (CHEMTREC), a service of the Chemical Manufacturers Association, provides 24-hour information on handling accidents in the transportation of chemicals and has been declared the official "Hotline" for this type of emergency by the U.S. Department of Transportation.

During emergencies, Federal Protective Officers can provide first aid and help control access to the building.

### **Suspicious Object/Bomb**

Occupants, because of their familiarity with the space where they work, can most easily spot something that does not belong there. They should be warned, however, not to touch suspicious objects but to report them immediately upon discovery to the FPS.

Federal Protective Officers have primary search responsibility if a bomb is suspected in federally occupied space. They, as well as local police, can help in training for bomb searches and provide leadership during a search. The bomb disposal unit of the local police would, in most instances, provide the quickest response for defusing or otherwise disposing of a bomb. However, if a military team is easily reachable, it should be called. Personnel of the Bureau of Alcohol, Tobacco, and Firearms also have knowledge of explosives and should be notified. Evacuation of occupants may be necessary.

### **Unlawful Act**

All occupants should report suspicious persons, unlawful acts, or other incidents requiring a response to the nearest FPS office or local authority. The FPS, through their law enforcement and security personnel, will advise occupants as to which authority will provide the most immediate response to ensure a safe work environment.

### **Damage Control, Repair, and Restoration of Services**

The DCT and the Buildings Manager will know where to get help in controlling damage and restoring services. FPOs can help isolate and extinguish small fires and control access to endangered or damaged areas.

### **Evacuation/Relocation**

Properly trained FTCs, Area/Wing Monitors, Stairway Monitors, and Elevator Monitors can lead the safest and fastest evacuation of a building.

Federal Protective Officers and/or local police can control traffic and crowds during an evacuation. If evacuation is ordered because of a fire, the local fire department official in charge will assume command.

# Recommended Responses to Specific Types of Emergencies

## **Fire**

Since elevators may be automatically captured and returned to the main floor in event of a fire alarm, they may not be available for use by members of the CCT. This should be taken into account in planning.

## **CCT**

### **Designated Official/ Occupant Emergency Coordinator (OEC)**

- Go to Command Center.
- Activate CCT.
- Verify fire department notification/response.
- Verify FPO notification/response.
- Brief responding personnel.
- Coordinate activities.

### **Floor Team Coordinator**

- Go to Command Center.
- Activate Floor Teams.
- Verify occupant status.
- Coordinate Floor Team activities.

### **Damage Control Team Coordinator**

- Go to Command Center.
- Activate Damage Control Team.
- Determine building conditions (environmental/structural).

### **Medical Coordinator**

- Go to Command Center.
- Advise regarding medical assistance.

## **Administrative Officer**

- Go to Command Center.
- Monitor and record alarm sequence.
- Record activities.

## **Floor Team/Fire Floor**

### **Floor Monitor**

- Activate fire alarm (if not already done).
- Supervise evacuation.
- Verify evacuation.
- Report to FTC.

### **Area Monitors**

- Evacuate area occupants.
- Inspect area to assure total evacuation.
- Report status to Floor Monitor (including relocation of handicapped).

### **Elevator Monitors**

- Direct occupants attempting to use elevators to the nearest safe stairwell.
- Assist in elevator evacuation of the handicapped if elevator use for this purpose has been authorized.

### **Stairway Monitors**

- Inspect stairway for smoke or other obstruction, if obstructed direct occupants to another stairway.
- Keep occupants moving in a single file down the stairway.
- Report status to Area Monitor.

### **Monitors for the Handicapped**

- Evacuate handicapped to safe area.
- Report status to Area Monitor.

## **First Floor Team**

- Lead fire department to control center.
- Restrict building access.
- Assist with occupant evacuation.

## **Elevator Monitors**

- Report to First Floor Monitor.
- Capture assigned elevators (either automatically or using required special key or the regular call button).
- After capture, use of elevators can be authorized only by the fire department, DO, or OEC.

## **Other Floor Teams**

If floor is to be evacuated, follow Fire Floor Team instructions, if not, stand by for instructions.

## **Damage Control Team**

- Report to Damage Control Coordinator.
- Activate emergency systems:
  - Alarm systems.
  - Smoke control.
  - Fire extinguishment.
  - Emergency power.

## **Hazardous Materials (Spills, Leaks)**

In case of explosion follow instructions under Bomb Explosion.

# Recommended Responses to Specific Types of Emergencies

## Command Center Team

### DO /OEC

- Activate CCT.
- Order evacuation.
- Notify fire department.
- Notify Federal Protective Service.
- Notify appropriate utility company or hazard materials expert.
- Go to relocation site Command Center.
- Hold occupants at relocation site.
- Do not permit reentry until determined safe by proper authorities.
- In case of explosion follow instructions under Bomb Explosion.

### All Other Team Members

Go to relocation site.

### Floor Teams

#### Floor Monitors

- Activate Floor Teams.
- Supervise evacuation.
- Report to FTC at relocation site Command Center.

#### Area Monitors

- Coordinate area evacuation.
- Report conditions to Floor Monitors.
- Accompany area occupants to relocation site.
- Hold occupants and await instructions.

#### Stairwell Monitors

- Control evacuation via stairways.
- Report to Area Monitors.

#### Monitors for the Handicapped

- Assist individuals requiring assistance to relocation site.
- Remain with handicapped.
- Report to Area Monitors when possible.

#### Elevator Monitors

- Go to relocation site.
- Report to Floor Monitor.

## Damage Control Team

- Report to Damage Control Coordinator at relocation site Command Center.

## Bomb Threat

### CCT

#### DO /Occupant Emergency Coordinator

- Go to Command Center.
- Verify FPO notification/response.

#### Floor Team Coordinator

- Go to Command Center.
- Activate appropriate Floor Teams.
- Inform other Floor Teams.

#### Damage Control Coordinator

- Go to Command Center.
- Activate Damage Control Team.

#### Medical Coordinator

- Go to Command Center.

#### Administrative Officer

- Go to Command Center.

#### Floor Teams/Affected Floors

#### Floor Monitors

- Initiate evacuation/relocation.
- Supervise and verify evacuation.
- Report to Floor Team Coordinator

#### Area Monitors

- Instruct occupants to search their work areas.
- Evacuate/relocate occupants.
- Inspect area to ensure total evacuation.
- Search assigned public areas and exit routes.
- Verify status of handicapped occupants.
- Report to Floor Monitors.

## Recommended Responses to Specific Types of Emergencies

### ***Stairwell Monitors***

- Inspect stairwells and exit routes.
- Lead occupants to safe area.
- Report to Area Monitors.

### ***Floor Teams/First, Ground Floors***

- Control building access.
- Keep people away from building perimeter.

### ***Floor Teams/Unaffected Floors***

- Control occupant movement, according to instructions received from Command Center.

### ***Damage Control Team***

- Search assigned areas including maintenance, storage, outside, and rooftop areas.

## **Bomb, Explosion**

### **CCT**

#### ***DO /Occupant Emergency Coordinator***

- Go to Command Center.
- Verify FPO notification.
- Activate CCT.

#### ***Floor Team Coordinator***

- Go to Command Center.
- Activate Floor Monitors.

#### ***Damage Control Coordinator***

- Go to Command Center.
- Activate Damage Control Team.

#### ***Medical Coordinator***

- Go to Command Center.
- Advise regarding medical assistance.

#### ***Administrative Officer***

- Go to Command Center.
- Record activities.

## **Floor Team/Affected Floor**

### ***Floor Monitor***

- Notify Floor Team.

- Supervise evacuation, first aid, and rescue.
- Report conditions to FTC.

### ***Area Monitors***

- Coordinate area evacuation, first aid, and rescue.
- Inspect area to determine conditions.
- Report to Floor Monitor.

### ***Stairwell Monitors***

- Inspect assigned stairwell.
- Report conditions to Area Monitors.
- Lead occupants to safe area if required.

### ***Monitors for the Handicapped***

- Move handicapped to safe area.

## **Floor Team/First Floor**

### ***Floor Monitors***

Control access to the building.

### ***Elevator Monitors***

- Capture elevators.
- Hold until determined safe for use.
- Assist emergency teams.

## **Floor Teams/Other Floors**

### ***Floor Monitors***

- Inform occupants.
- Maintain control of occupants.
- Control egress.
- Maintain communication with FTC.
- Evacuate to a safe area if instructed to do so by FTC.

### ***Damage Control Team***

- Assist in rescue.
- Control access.
- Inspect elevators, fire protection systems, and utilities.
- Report conditions to Damage Control Team Coordinator. Make required repairs.

## Recommended Responses to Specific Types of Emergencies

### Suspicious Package (Possible Bomb)

#### CCT

##### **DO /Occupant Emergency Coordinator**

- Go to Command Center.
- Activate CCT.
- Verify FPO notification/response.
- Evacuate or relocate occupants.
- *Building Manager to put Elevators in Phase I Service.*

##### **Floor Team Coordinator**

- Go to Command Center.
- Notify appropriate Floor Team(s).

##### **Damage Control Coordinator**

- Go to Command Center.
- Notify Damage Control Team.

##### **Medical Coordinator**

- Go to Command Center.

##### **Administrative Officer**

- Go to Command Center.
- Record activities.

### Floor Teams/Affected Floors

#### **Floor Monitors**

- Carry out evacuation or relocation plan.
- Supervise evacuation.
- Verify evacuation.

- Report to FTC.

#### **Area Monitors**

- Coordinate area evacuation.
- Determine location of suspicious object; avoid using stairwells, elevators or escalators in immediate area.
- Inspect area to assure total evacuation.
- Report status, including relocation of handicapped, to Floor Monitor.

#### **Stairwell Monitors**

- Inspect stairwells and exit routes.
- Lead occupants to safe area.
- Report status to Area Monitors.

### First Floor Team

#### **Floor Monitors**

- Control building access.
- Keep people away from building perimeter to avoid blast effects.

#### **Elevator Monitors**

- Report to First Floor Monitor.
- Hold elevators and assist emergency units.

#### **Floor Teams/Unaffected Floors**

- After evacuation, restrict use of elevators, escalators and stairwells.

### Suspicious Package Announcements: (Possible Bomb)

#### **Affected Floor Other Floors**

May I have your attention please?

May I have your attention please?

**We have found a suspicious package on the \_\_\_\_\_ floor. Occupants of the \_\_\_\_\_ floors, please walk to the \_\_\_\_\_ (floor or relocation site). Use stairways. DO not attempt to use the elevators. Wait at the relocation site for further instructions. Please do not use elevators, but proceed to the stairways. (Repeat at least once)**

#### **Message at end of Emergency**

May I have your attention please?

May I have your attention please?

**An emergency has been reported on the \_\_\_\_\_ floor. People from other floors may be entering your area. Please remain at your workstations while they are in your area. You are in a safe area.**

(Repeat at least once)

May I have your attention please?

May I have your attention please?

**The emergency is over. Please return to your workstation.**

(Repeat)

# Recommended Responses to Specific Types of Emergencies

## **Natural Disaster-Advance Notice**

### **CCT**

#### **DO /Occupant Emergency Coordinator**

- Activate CCT.
- Review plans and decide course of action.
- Notify occupants
- *Building Manager to place Elevators in Phase I Service upon complete evacuation.*

#### **Damage Control Coordinator**

- Activate Damage Control Team for damage prevention work.

#### **Floor Team Coordinator**

Review plans with Floor Monitors.

#### **Technical Advisors**

- Go to Command Center.
- Provide advice in area(s) of expertise.

#### **Damage Control Team**

- Protect windows and doors.
- Secure outdoor objects.

## **Natural Disaster-No Warning**

### **CCT**

#### **DO /Occupant/Emergency Coordinator**

- Activate CCT.
- Notify occupants.

#### **Floor Team Coordinator**

- Go to Command Center.
- Coordinate and assist Floor Teams.
- Building Manager to place Elevators in Phase I Service upon complete evacuation.

#### **Damage Control Coordinator**

- Go to Command Center.
- Activate Damage Control Team.

#### **Medical Coordinator**

- Go to Command Center.
- Advise regarding medical assistance.

#### **Administrative Officer**

- Go to Command Center.
- Record activities.

#### **Technical Advisors**

- Go to Command Center.
- Provide advice in area(s) of expertise.

#### **Floor Teams**

##### **Elevator Monitors**

- Capture assigned elevators.
- Restrict use until determined safe.  
*(mechanical safety inspection may be required).*

##### **Damage Control Team**

- Assess damage.
- Determine needs for controlling dangerous conditions.
- Provide repair, rescue, and first aid services as directed.
- Isolate unsafe areas.
- Report to Damage Control Coordinator.

## **Demonstration**

### **CCT**

#### **DO /Occupant Emergency Coordinator**

- Go to Command Center.
- Notify Federal Protective Service.
- If no Federal Protective Service unit is in the area, notify the local police department.
- Notify FTC.

#### **Floor Team Coordinator**

- Go to Command Center. Activate ground level Floor Team.

#### **Floor Team/Ground Level**

- Secure perimeter doors.
- Avoid any interaction with demonstrators.
- Prevent any occupant interaction with demonstrators.
- Follow instructions of responding Federal Protective Officers and/or local police.

# Recommended Responses to Specific Types of Emergencies

## **Medical/First Aid/Emergency**

### **CCT**

#### **DO /Occupant Emergency Coordinator**

##### Limited emergency

- Notify Floor Monitor.
- Notify Medical Coordinator.

##### Widespread emergency

- Go to Command Center.
- Activate CCT.

### **Medical Coordinator**

##### Limited emergency

- Go to scene.
- Ensure that appropriate assistance has been called.
- Recommend follow-up action.
- Report to DO.

##### Multiple injuries

- Go to scene.
- Advise regarding medical assistance and ensure that appropriate assistance has been summoned.
- Report to DO.

#### **Floor Team Coordinator** (for widespread emergency)

- Go to Command Center.
- Coordinate and assist Floor Teams.

#### **Damage Control Coordinator** (for widespread emergency)

- Go to Command Center.
- Activate Damage Control Team.

#### **Administrative Officer** (for widespread emergency)

- Go to Command Center.
- Record activities.

#### **Floor Team** (for widespread emergency)

- Provide first aid/CPR.
- Obtain medical assistance (see emergency call list).
- Notify OEC.
- Notify Federal Protective Service.
- Reserve elevators for emergency use.
- Meet responding emergency unit at ground floor.
- Verify medical assistance response.
- Report to Floor Team Monitor.

#### **Damage Control Team** (For widespread emergency)

- Provide first aid/CPR and rescue services.
- Report to Damage Control Coordinator.

**APPENDIX A. CHAPTER 101—FEDERAL PROPERTY MANAGEMENT REGULATIONS  
SUBCHAPTER D—PUBLIC BUILDINGS AND SPACE**

**PART 101-20—MANAGEMENT OF BUILDINGS AND GROUNDS  
(Only relevant parts are included)**

**101-20.103-4 Occupant Emergency Program.**

(a) The Designated Official (as defined in section 101-20.003(g) ) is responsible for developing, implementing, and maintaining an Occupant Emergency Plan (as defined in section 101-20.003(w)). The Designated Official's responsibilities include establishing, staffing, and training an Occupant Emergency Organization with agency employees. GSA shall assist in the establishment and maintenance of such plans and organizations.

(b) All occupant agencies of a facility shall fully cooperate with the Designated Official in the implementation of the emergency plans and the staffing of the emergency organization.

(c) GSA shall provide emergency program policy guidance, shall review plans and organizations annually, shall assist in training of personnel, and shall otherwise ensure proper administration of Occupant Emergency Programs (as defined in section 101-20.003(x) ). In leased space, GSA will solicit the assistance of the lessor in the establishment and implementation of plans.

(d) In accordance with established criteria, GSA shall assist the Occupant Emergency Organization (as defined in section 101-20.003(v) ) by providing technical personnel qualified in the operation of utility systems and protective equipment.

**101-20.103-5 Initiating action under Occupant Emergency Programs.**

(a) The decision to activate the Occupant Emergency Organization shall be made by the Designated Official, or by the designated alternate official. Decisions to activate shall be based upon the best available information, including an understanding of local tensions, the sensitivity of target agency(ies), and previous experience with similar situations. Advice shall be solicited, when possible, from the GSA buildings manager, from the appropriate Federal Protective Service official, and from Federal, State, and local law enforcement agencies.

(b) When there is immediate danger to persons or property, such as fire, explosion, or the discovery of an explosive device (not including a bomb threat), occupants shall be evacuated or relocated in accordance with the plan without consultation. This shall be accomplished by sounding the fire alarm system or by other appropriate means.

(c) When there is advance notice of an emergency, the Designated Official shall initiate appropriate action according to the plan.

(d) After normal duty hours, the senior Federal official present shall represent the Designated Official or his/her alternates and shall initiate action to cope with emergencies in accordance with the plans.

## APPENDIX B: Occupant Emergency Plan Check List

If you can't check any of the following questions, your Occupant/Emergency Plan needs strengthening. Contact your Building Manager and/or the GSA Physical Security and Law Enforcement Office nearest you if you need help.

- Did an advisory committee of appropriate officials (Building Manager, Federal Protective Service, etc.) assist in developing the plan?
- Is this committee still available for consultation?
- Has an emergency organization been established, preferably following existing lines of authority?
- Are emergency organization members designated by position rather than by person?
- Do organization members know their own responsibilities as well as who has decision-making authority in any given situation?
- Has a procedure been established to notify organization members?
- Are emergency procedures easy to implement rapidly?
- Has a CC location been established?
- Are communications at the CC adequate?
- Do emergency organization members know under what circumstances they are to report to the Command Center?
- Are employees who do not have assigned duties excluded from the Command Center?
- Are emergency telephone numbers posted in the CC and throughout the building?
- Published in the telephone book?
- Are procedures established for handling serious illness, injury, or mechanical entrapment?
- Do organization members know what medical resources are available and how to reach them?
- Have all occupants been told how to get first aid/CPR fast?
- Do occupants know what to do if an emergency is announced?
- Are evacuation procedures established and familiar to all employees?
- Have special procedures been established for evacuation of the handicapped?
- Are fire reporting procedures established and familiar to all employees?
- Have firefighting plans been developed which coordinate internal and external resources?
- Do occupants know to whom they should report an unlawful act?
- Do occupants know to whom they should report any other emergency incident?
- Do employees know what procedures to follow if they receive a telephone bomb threat?
- Are bomb search responsibilities and techniques specified in the plan?
- Are procedures established for reporting the progress of a search, evacuation, etc.?
- Have procedures been established for bomb disposal?
- Have emergency shutdown procedures been developed?
- Have plans been made for capture and control of elevators?
- Have arrangements been made for emergency repair or restoration of services?
- Have drills and training been adequate to ensure a workable emergency plan?
- In leased space, is the responsibility of the owner/lessor clearly defined?
- If contract guards are used, have their authority and responsibilities been defined.
- Are floor plans and occupant information readily available for use by police, fire, bomb search squads, and other emergency personnel?
- Has a hazard communication program been implemented in accordance with 29CFR?
- Has an inventory been compiled of all hazardous materials used in individual workplaces and stored anywhere in the building?
- Are emergency telephone numbers displayed and/or published where they are readily available?
- Are they reviewed and updated frequently?

# APPENDIX C: Responsible Officials' Sign-Off Sheet

By their signatures below, the following officials certify that they have participated in the development of this Occupant Emergency Plan and fully understand the procedures to be followed in an emergency affecting the facility and employees for which they are responsible.

**Designated Official:**      **Agency** \_\_\_\_\_  
Name \_\_\_\_\_  
Signature & Date \_\_\_\_\_  
Title \_\_\_\_\_

**Building Manager:**      Name \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Tenant Agencies:**      **Agency** \_\_\_\_\_  
Name of Ranking Official \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Agency** \_\_\_\_\_  
Name of Ranking Official \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Agency** \_\_\_\_\_  
Name of Ranking Official \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Agency** \_\_\_\_\_  
Name of Ranking Official \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Agency** \_\_\_\_\_  
Name of Ranking Official \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Agency** \_\_\_\_\_  
Name of Ranking Official \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Agency** \_\_\_\_\_  
Name of Ranking Official \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Agency** \_\_\_\_\_  
Name of Ranking Official \_\_\_\_\_  
Signature & Date \_\_\_\_\_

**Physical Security Specialist/LESO:**      Name \_\_\_\_\_  
Signature & Date \_\_\_\_\_

# APPENDIX D: Emergency Telephone Numbers

**Building Command Center** \_\_\_\_\_

**Alternate Command Center** \_\_\_\_\_

**Off-Site Command Center** \_\_\_\_\_

**Building Manager:** Name \_\_\_\_\_

**Fire Department:** \_\_\_\_\_

**Police: Federal Protective Service** \_\_\_\_\_

**Local Police:** \_\_\_\_\_

**Bomb Disposal: Military:** \_\_\_\_\_

**Local Police:** \_\_\_\_\_

**Hazardous Materials Information:** \_\_\_\_\_

**CHEMTREC:** (800) 424-9300 (From Wash DC 483-7616)

**Environmental Protection Agency** \_\_\_\_\_

**Poison Control Centers.** \_\_\_\_\_

**Other State & Local Agencies:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Utility** \_\_\_\_\_

**Gas:** \_\_\_\_\_

**Electric** \_\_\_\_\_

**Water** \_\_\_\_\_

**Telephone** \_\_\_\_\_

**Medical, On-Site:** First Aid/CPR \_\_\_\_\_

Health Unit \_\_\_\_\_

Nurses \_\_\_\_\_

Doctors \_\_\_\_\_

(See also Floor Team lists)

**Medical, Off-Site:** Paramedical \_\_\_\_\_

Ambulance \_\_\_\_\_

Hospital \_\_\_\_\_

Doctors \_\_\_\_\_

Add numbers of other emergency services available locally.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# APPENDIX E: Building Information Sheet

Building name: \_\_\_\_\_

Building number: \_\_\_\_\_

Address: \_\_\_\_\_

Year building completed: \_\_\_\_\_

Type of construction: \_\_\_\_\_

Number of floors: \_\_\_\_\_

Mezzanine(s): \_\_\_\_\_

Basement(s): \_\_\_\_\_

Gross floor area in Square feet: \_\_\_\_\_

Net assignable fl. area in Sq. Ft.: \_\_\_\_\_

Government occupied floors: \_\_\_\_\_

Other tenants: \_\_\_\_\_

Fire alarm system and signals: \_\_\_\_\_

Automatic sprinkler system: \_\_\_\_\_

Voice Communications Systems: \_\_\_\_\_

Elevator capture & recall system: \_\_\_\_\_

Smoke detection system: \_\_\_\_\_

Standpipe system: \_\_\_\_\_

Other fire protection systems, such as  
heat-detection system, fire pumps, etc.: \_\_\_\_\_

Emergency lighting system: \_\_\_\_\_

Security alarm system: \_\_\_\_\_

Power generators: \_\_\_\_\_

Main/auxiliary water valves: \_\_\_\_\_

Main/auxiliary gas valves: \_\_\_\_\_

# APPENDIX F: **Command Centers**

**Building Name:** \_\_\_\_\_  
\_\_\_\_\_

**Address:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Primary Command Center:**

**Location:** \_\_\_\_\_  
\_\_\_\_\_

**Telephones:**           **Direct** \_\_\_\_\_  
                                 **Fax:**        \_\_\_\_\_  
                                 **Cellular:** \_\_\_\_\_

**Alternate Command Center:**

**Location:** \_\_\_\_\_  
\_\_\_\_\_

**Telephones:**           **Direct** \_\_\_\_\_  
                                 **Fax:**        \_\_\_\_\_  
                                 **Cellular:** \_\_\_\_\_

**Command Center, Alternate Site:**

**Location:** \_\_\_\_\_  
\_\_\_\_\_

**Telephones:**           **Direct** \_\_\_\_\_  
                                 **Fax:**        \_\_\_\_\_  
                                 **Cellular:** \_\_\_\_\_

# APPENDIX G: Command Center Team

(Update as necessary and check quarterly)

Building Name: \_\_\_\_\_  
\_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Designated Official:** Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Name of incumbent: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Occupant Emergency Coordinator:** Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Name of incumbent: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Floor Team Coordinator:** Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Name of incumbent: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Damage Control Team Coordinator:** Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Name of incumbent: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Medical Coordinator:** Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Name of incumbent: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Administrative Officer:** Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Name of incumbent: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

# APPENDIX H: Command Center Team-Advisor's

**Technical Advisor:** Name: \_\_\_\_\_  
Skill: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Alternate: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Technical Advisor:** Name: \_\_\_\_\_  
Skill: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Alternate: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Technical Advisor:** Name: \_\_\_\_\_  
Skill: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Alternate: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Technical Advisor:** Name: \_\_\_\_\_  
Skill: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Alternate: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Technical Advisor:** Name: \_\_\_\_\_  
Skill: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Alternate: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Technical Advisor:** Name: \_\_\_\_\_  
Skill: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Alternate: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Technical Advisor:** Name: \_\_\_\_\_  
Skill: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Alternate: Name: \_\_\_\_\_  
Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

(List as many technical advisors as are available to cover all contingencies.)

# APPENDIX I: Command Center Team-Floor Monitor's

Complete one sheet per floor. Modify the sheet to correspond to your building's unique layout. In particular, appoint as many area and stairwell monitors as your building requires.

**Floor Monitor:** Name: \_\_\_\_\_  
Area: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

**Floor Monitor:** Name: \_\_\_\_\_  
Area: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

**Floor Monitor:** Name: \_\_\_\_\_  
Area: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

**Floor Monitor:** Name: \_\_\_\_\_  
Area: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

**Stairwell Monitor:** Name: \_\_\_\_\_  
Area: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

**Handicapped Monitor:** Name: \_\_\_\_\_  
Area: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

**Handicapped Person:** Name: \_\_\_\_\_  
Handicap: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

**Handicapped Person:** Name: \_\_\_\_\_  
Handicap: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

**Handicapped Person:** Name: \_\_\_\_\_  
Handicap: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_  
Skills: \_\_\_\_\_

# APPENDIX J: Elevator Monitor(s)

Complete a sheet of elevator monitors for each floor where elevators may be captured. Buildings with automatic elevator-capturing systems will need elevator monitors only for the floor where elevators are captured.

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

**Elevator Monitor:** Name: \_\_\_\_\_  
Floor/Car: \_\_\_\_\_ Title \_\_\_\_\_  
Telephone: Cell: \_\_\_\_\_ Office \_\_\_\_\_ Home: \_\_\_\_\_

# APPENDIX K: Evacuation Information

## Persons Authorized To Order Evacuation

Designated Official: \_\_\_\_\_

Occupant Emergency Coordinator: \_\_\_\_\_

Federal Protective Service Official: \_\_\_\_\_

Building Manager: \_\_\_\_\_

Fire Department Official in Charge: \_\_\_\_\_

## Evacuation Signals

**Fire:** Describe method of notification for complete or partial evacuation.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Explosion or Gas Leak:** Describe method of notification for complete or partial evacuation.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Suspicious Object:** Describe method of notification for complete or partial evacuation.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Alternate Site** (describe or give address)

\_\_\_\_\_  
\_\_\_\_\_

**Telephone numbers**

**Building Reentry**

**Method of recalling employees:** \_\_\_\_\_

\_\_\_\_\_

**Building entry control method:** \_\_\_\_\_

\_\_\_\_\_

**Drill Schedule:**

**Dates:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

# APPENDIX L: Damage Control Team

In Federally owned buildings, this team would include the Building Manager's personnel. In leased facilities, it would include the building operator's personnel. Additional teams may be required for large buildings.

<b>Leader:</b>	Name: _____
Telephone:    Cell: _____	Title _____
	Office _____ Home: _____
<b>Alternate:</b>	Name: _____
Telephone:    Cell: _____	Title _____
	Office _____ Home: _____

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_

**Skill:** \_\_\_\_\_ Name: \_\_\_\_\_  
 Telephone:    Cell: \_\_\_\_\_ Work Hours \_\_\_\_\_  
 Office \_\_\_\_\_ Home: \_\_\_\_\_







**U.S. General Services  
Administration**

**Public Buildings Service**

**Office of Federal  
Protective Service**

**OCCUPANT EMERGENCY PLAN (Abbreviated)**

DATE

(This form is provided as a suggested guide for storefront and/or ground level small office space)

AGENCY	ADDRESS
--------	---------

**NAMES AND TELEPHONE NUMBERS OF EMERGENCY CONTACTS**

NAME	OFFICE PHONE	OTHER PHONE
Fire Department		
Police Department		
Medical Assistance		
Federal Protective Service		
Building Manager/Lessor		
Official in Charge		
Bomb Squad		

**EMERGENCY ORGANIZATION INFORMATION**  
(Coordinator, Monitors, and Bomb Search Officer)

NAME	DUTY	OFFICE PHONE	OTHER PHONE
1.			
2.			
3.			

**EMERGENCY PLAN GUIDANCE**  
**IMPORTANT! Know Evacuation Routes. Know the Plan of Action. Be prepared to assist the handicapped.**  
**Bomb Threat Checklist on Reverse Side**

FIRE OR SMOKE	BOMB THREAT
Sound building alarm.	Record information on back of this form.
Call Fire Department.	Notify Official in charge.
Notify Official in charge.	Notify Police.
Notify Building Manager/Lessor.	Notify Building Manager/Lessor.
Notify Federal Protective Service.	Notify Federal Protective Service.
Assist Fire Department.	Search immediate area and public areas for any suspicious packages or objects.
Evacuate area immediately.	If suspicious package or bomb is found:
Close windows and doors ( <i>Do not lock</i> )	Do not touch.
<b>HAZARDOUS MATERIAL</b>	Notify Bomb Squad
Do not handle the substance.	Evacuate the area.
Do not clean the substance.	<b>SEVERE WEATHER</b>
Isolate employees.	Secure objects outside building.
Keep employees calm.	Prepare to move to place of safety.
Notify Federal Protective Service	Stay away from large windows.
Notify Fire Department.	For tornado, open windows.
Shut off the HVAC.	Know location of utility shutoff valves and switches.
<b>CIVIL DISTURBANCES</b>	Stay tuned to weather reports.
Notify Official in charge.	Standby for further instructions.
Secure all doors.	<b>EARTHQUAKE</b>
Notify Police.	Take cover under a table, desk, or in a doorway.
Notify Building Manager/Lessor.	Do not run outdoors.
Notify Federal Protective Service.	

# TELEPHONE BOMB THREAT CHECKLIST

**Important: REMAIN CALM**

## SECTION I - INSTRUCTIONS

Follow instructions received from your supervisor, Federal Protective Officer, or the designated official.

If you are ordered to evacuate, take with you any drafts, forms, or reports you may have prepared regarding the threat.

## SECTION II - PERTINENT DATA

TIME BOMB/EVENT IS SET TO EXPLODE *(AM or PM)*

PRESENT LOCATION OF BOMB OR PACKAGE

BUILDING

FLOOR

DESCRIPTION OF BOMB OR PACKAGE

AREA

EXPLAIN WHY CALLER WISHES TO INJURE OR KILL INNOCENT PERSONS *(Use exact words of caller)*

WHAT WILL CAUSE THE BOMB TO EXPLODE

DID CALLER INDICATE KNOWLEDGE OF THE FACILITY?

NO

YES *(Explain):*

## SECTION III - DESCRIPTION OF CALLER'S VOICE

MALE  
 YOUNG  
 CALM  
 ACCENT

FEMALE  
 OLD  
 NERVOUS  
 SPEECH IMPEDIMENT

MIDDLE-AGE  
 REFINED  
 ROUGH

DESCRIPTION OF VOICE

DO YOU RECOGNIZE VOICE?

NO

YES

IF YES, WHOSE VOICE IS IT?

## SECTION IV - BACKGROUND NOISE

TRAFFIC  
 MUSIC  
 TAPE RECORDER

HORNS  
 BELLS  
 WHISTLES

AIRCRAFTS  
 MACHINERY  
 RUNNING MOTOR *(Type)*

OTHER *(specify below):*

## SECTION V - TELEPHONE LINE DATA

LINE ON WHICH CALL WAS RECEIVED?

WAS THE LINE A?

LISTED NUMBER?

UNLISTED NUMBER?

IS THIS A NIGHT NUMBER

NO

YES

IF YES, WHOSE ASSIGNED NUMBER?

HAS A BOMB THREAT CALL BEEN PREVIOUSLY RECEIVED ON THIS NUMBER?

NO

YES

IF YES, EXPLAIN

## SECTION VI - REPORTING OF THREAT *(Caution: DO NOT TALK TO OTHERS about incident.)*

NAME OF PERSON RECEIVING CALL

REPORT THREAT TO:

DIVISION

FEDERAL PROTECTIVE SERVICE

TELEPHONE NUMBER

BUILDING MANAGER/LESSOR

TIME CALL RECEIVED

DATE CALL RECEIVED



### **What Shelter-in-Place Means:**

One of the instructions you may be given in an emergency where hazardous materials may have been released into the atmosphere is to shelter-in-place. This is a precaution aimed to keep you safe while remaining indoors. (This is not the same thing as going to a shelter in case of a storm.) Shelter-in-place means selecting a small, interior room, with no or few windows, and taking refuge there. It does not mean sealing off your entire home or office building. If you are told to shelter-in-place, follow the instructions provided in this Fact Sheet.

### **Why You Might Need to Shelter-in-Place:**

Chemical, biological, or radiological contaminants may be released accidentally or intentionally into the environment. Should this occur, information will be provided by local authorities on television and radio stations on how to protect you and your family.

Because information will most likely be provided on television and radio, it is important to keep a TV or radio on, even during the workday. The important thing is for you to follow instructions of local authorities and know what to do if they advise you to shelter-in-place.

### **How to Shelter-in-Place**

#### ***At Home:***

- Close and lock all windows and exterior doors.
- If you are told there is danger of explosion, close the window shades, blinds, or curtains.
- Turn off all fans, heating and air conditioning systems. • Close the fireplace damper.
- Get your family disaster supplies kit <http://www.redcross.org/services/disaster/beprepared/supplies.html>, and make sure the radio is working.
- Go to an interior room without windows that's above ground level. In the case of a chemical threat, an above-ground location is preferable because some chemicals are heavier than air, and may seep into basements even if the windows are closed.
- Bring your pets with you, and be sure to bring additional food and water supplies for them.
- It is ideal to have a hard-wired telephone in the room you select. Call your emergency contact and have the phone available if you need to report a life-threatening condition. Cellular telephone equipment may be overwhelmed or damaged during an emergency.
- Use duct tape and plastic sheeting (heavier than food wrap) to seal all cracks around the door and any vents into the room.
- Keep listening to your radio or television until you are told all is safe or you are told to evacuate. Local officials may call for evacuation in specific areas at greatest risk in your community.

#### ***At Work:***

- Close the business. • Bring everyone into the room(s). Shut and lock the door(s).
- If there are customers, clients, or visitors in the building, provide for their safety by asking them to stay – not leave. When authorities provide directions to shelter-in-place, they want everyone to take those steps now, where they are, and not drive or walk outdoors.
- Unless there is an imminent threat, ask employees, customers, clients, and visitors to call their emergency contact to let them know where they are and that they are safe.
- Turn on call-forwarding or alternative telephone answering systems or services. If the business has voice mail or an automated attendant, change the recording to indicate that the business is closed, and that staff and visitors are remaining in the building until authorities advise it is safe to leave.
- Close and lock all windows, exterior doors, and any other openings to the outside.
- If you are told there is danger of explosion, close the window shades, blinds, or curtains.
- Have employees familiar with your building's mechanical systems turn off all fans, heating and air conditioning systems. Some systems automatically provide for exchange of inside air with outside air – these systems, in particular, need to be turned off, sealed, or disabled.
- Gather essential disaster supplies, such as nonperishable food, bottled water, battery-powered radios, first aid supplies, flashlights, batteries, duct tape, plastic sheeting, and plastic garbage bags.
- Select interior room(s) above the ground floor, with the fewest windows or vents. The room(s) should have adequate space for everyone to be able to sit in. Avoid overcrowding by selecting several rooms if necessary. Large storage closets, utility rooms, pantries, copy and conference rooms without exterior windows will work well. Avoid selecting a room with mechanical equipment like ventilation blowers or pipes, because this equipment may not be able to be sealed from the outdoors.
- It is ideal to have a hard-wired telephone in the room(s) you select. Call emergency contacts and have the phone available if you need to report a life-threatening condition. Cellular telephone equipment may be overwhelmed or damaged during an emergency.
- Use duct tape and plastic sheeting (heavier than food wrap) to seal all cracks around the door(s) and any vents into the room.

- Write down the names of everyone in the room, and call your business' designated emergency contact to report who is in the room with you, and their affiliation with your business (employee, visitor, client, customer.)
- Keep listening to the radio or television until you are told all is safe or you are told to evacuate. Local officials may call for evacuation in specific areas at greatest risk in your community.

### **At School:**

- Close the school. Activate the school's emergency plan. Follow reverse evacuation procedures to bring students, faculty, and staff indoors.
- If there are visitors in the building, provide for their safety by asking them to stay – not leave. When authorities provide directions to shelter-in-place, they want everyone to take those steps now, where they are, and not drive or walk outdoors.
- Provide for answering telephone inquiries from concerned parents by having at least one telephone with the school's listed telephone number available in the room selected to provide shelter for the school secretary, or person designated to answer these calls. This room should also be sealed. There should be a way to communicate among all rooms where people are sheltering-in-place in the school.
- Ideally, provide for a way to make announcements over the school-wide public address system from the room where the top school official takes shelter.
- If children have cell phones, allow them to use them to call a parent or guardian to let them know that they have been asked to remain in school until further notice, and that they are safe.
- If the school has voice mail or an automated attendant, change the recording to indicate that the school is closed, students and staff are remaining in the building until authorities advise that it is safe to leave.
- Provide directions to close and lock all windows, exterior doors, and any other openings to the outside.
- If you are told there is danger of explosion, direct that window shades, blinds, or curtains be closed.
- Have employees familiar with your building's mechanical systems turn off all fans, heating and air conditioning systems. Some systems automatically provide for exchange of inside air with outside air – these systems, in particular, need to be turned off, sealed, or disabled.
- Gather essential disaster supplies, such as nonperishable food, bottled water, battery-powered radios, first aid supplies, flashlights, batteries, duct tape, plastic sheeting, and plastic garbage bags.
- Select interior room(s) above the ground floor, with the fewest windows or vents. The room(s) should have adequate space for everyone to be able to sit in. Avoid overcrowding by selecting several rooms if necessary. Classrooms may be used if there are no windows or the windows are sealed and can not be opened. Large storage closets, utility rooms, meeting rooms, and even a gymnasium without exterior windows will also work well.
- It is ideal to have a hard-wired telephone in the room(s) you select. Call emergency contacts and have the phone available if you need to report a life-threatening condition. Cellular telephone equipment may be overwhelmed or damaged during an emergency.
- Bring everyone into the room. Shut and lock the door.
- Use duct tape and plastic sheeting (heavier than food wrap) to seal all cracks around the door(s) and any vents into the room.
- Write down the names of everyone in the room, and call your schools' designated emergency contact to report who is in the room with you.
- Listen for an official announcement from school officials via the public address system, and stay where you are until you are told all is safe or you are told to evacuate. Local officials may call for evacuation in specific areas at greatest risk in your community.

### **In Your Vehicle:**

If you are driving a vehicle and hear advice to “shelter-in-place” on the radio, take these steps:

- If you are very close to home, your office, or a public building, go there immediately and go inside. Follow the shelter-in-place recommendations for the place you pick described above.
- If you are unable to get to a home or building quickly and safely, then pull over to the side of the road. Stop your vehicle in the safest place possible. If it is sunny outside, it is preferable to stop under a bridge or in a shady spot, to avoid being overheated.
- Turn off the engine.
  - Close windows and vents.
- If possible, seal the heating/air conditioning vents with duct tape.
- Listen to the radio regularly for updated advice and instructions.
- Stay where you are until you are told it is safe to get back on the road. Be aware that some roads may be closed or traffic detoured. Follow the directions of law enforcement officials.

**Local officials on the scene are the best source of information for your particular situation. Following their instructions during and after emergencies regarding sheltering, food, water, and clean up methods is your safest choice.**

Remember that instructions to shelter-in-place are usually provided for durations of a few hours, not days or weeks. There is little danger that the room in which you are taking shelter will run out of oxygen and you will suffocate.



## Evacuation Plans and Procedures

eTool



### Shelter-in-place

Chemical, biological, or radiological contaminants may be released into the environment in such quantity and/or proximity to a place of business that it is safer to remain indoors rather than to evacuate employees. Such releases may be either accidental or intentional. Examples of situations that might result in a decision by an employer to institute "shelter-in-place" include an explosion in an ammonia refrigeration facility across the street, or a derailed and leaking tank car of chlorine on the rail line behind your place of business.

"Shelter-in-place" means selecting an interior room or rooms within your facility, or ones with no or few windows, and taking refuge there. In many cases, local authorities will issue advice to shelter-in-place via TV or radio.

- [Preparing to stay or go](#)
- [Shelter-in-place procedures](#)
- [Links to additional information](#)

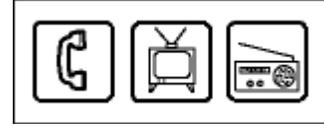
#### Related information:

- [Evacuating - Evacuation elements](#)
- [Fire - Do I fight or flee?](#)



## Preparing to stay or go

Depending on your circumstances and the type of emergency, the first important decision is whether you stay put or get away. You should understand and plan for both possibilities. Use common sense and available information, including what you are learning here, to determine if there is immediate danger. In any emergency, local authorities may or may not immediately be able to provide information on what is happening and what you should do. Use available information to assess the situation. If you see large amounts of debris in the air, or if local authorities say the air is badly contaminated, you may want to "shelter-in-place." However, you should watch TV, listen to the radio, or check the Internet often for information or official instructions as it becomes available. If you're specifically told to evacuate or seek medical treatment, do so immediately.



Use telephones, televisions, and radios for receiving instructions or emergency information.



The Internet may be a valuable source of information during an emergency.

If you intend to include a shelter-in-place option in your emergency plan, be sure to keep the following in mind:



Alarm methods may vary depending on the type of emergency.

- Implement a means of [alerting your employees](#) to shelter-in-place that is easily distinguishable from that used to signal an evacuation.
- Train employees in the [shelter-in-place procedures](#) and their roles in implementing them.



Train employees for shelter-in-place procedures just the same as you would for evacuation procedures.

## Shelter-in-place procedures

Specific procedures for shelter-in-place at a worksite may include the following:

- Close the business.

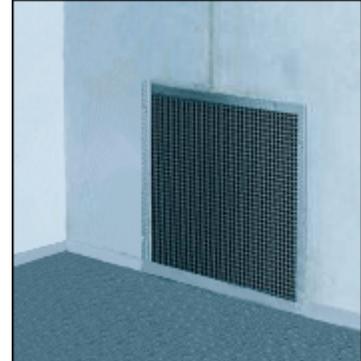


- If there are customers, clients, or visitors in the building, provide for their safety by asking them to stay – not leave. When authorities provide directions to shelter-in-place, they want everyone to take those steps immediately. Do not drive or walk outdoors.
- Unless there is an imminent threat, ask employees, customers, clients, and visitors to call their emergency contact to let them know where they are and that they are safe.
- Turn on call-forwarding or alternative telephone answering systems or services. If the business has voice mail or an automated attendant, change the recording to indicate that the business is closed, and that staff and visitors are remaining in the building until authorities advise it is safe to leave.



Have employees and anyone else in the building call their emergency contacts, then turn on answering systems.

- Quickly lock exterior doors and close windows, air vents, and fireplace dampers. Have employees familiar with your building's mechanical systems turn off all fans, heating and air conditioning systems, and clothes dryers. Some systems automatically provide for exchange of inside air with outside air. These systems, in particular, need to be turned off, sealed, or disabled.
- If you are told there is danger of explosion, close the window shades, blinds, or curtains.



Close or tape-off all vents in the room.



**Gather essential supplies such as a first-aid kit.**

- Gather essential disaster supplies, such as nonperishable food, bottled water, battery-powered radios, first-aid supplies, flashlights, batteries, duct tape, plastic sheeting, and plastic garbage bags.
- Select interior room(s) above the ground floor, with the fewest windows or vents. The room(s) should have adequate space for everyone to be able to sit. Avoid overcrowding by selecting several rooms if necessary. Large storage closets, utility rooms, pantries, copy and conference rooms without exterior windows will work well. Avoid selecting a room with mechanical equipment like ventilation blowers or pipes, because this equipment may not be able to be sealed from the outdoors.

- It is ideal to have a hard-wired telephone in the room(s) you select. Call emergency contacts and have the phone available if you need to report a life-threatening condition. Cellular telephone equipment may be overwhelmed or damaged during an emergency.
- Take your emergency supplies and go into the room you have designated. Seal all windows, doors, and vents with plastic sheeting and duct tape or anything else you have on hand.
- Consider precutting plastic sheeting (heavier than food wrap) to seal windows, doors, and air vents. Each piece should be several inches larger than the space you want to cover so that it lies flat against the wall. Label each piece with the location of where it fits. [See Fig. 1]
- Write down the names of everyone in the room, and call your business' designated emergency contact to report who is in the room with you, and their affiliation with your business (employee, visitor, client, customer).
- Listen to the radio, watch television, or use the Internet for further instructions until you are told all is safe or to evacuate. Local officials may call for evacuation in specific areas at greatest risk in your community.



**Fig. 1. Tape plastic sheeting over vents, windows, and doors to prevent contaminated air from entering the room.**

### Links to additional information

The following websites provide additional information on Shelter-In-Place:

- [Chemical Stockpile Emergency Preparedness Program \(CSEPP\): Protective Actions](#). Federal Emergency Management Agency (FEMA) (2003, February 11), 2 pages.
- [Make a Plan - Deciding to Stay or Go](#). Ready.gov (U.S. Department of Homeland Security) (2003), 3 pages.
- [Shelter-in-Place in an Emergency](#). American Red Cross (2003), 3 pages.

[Workplace Evaluation](#) | [Emergency Action Plan](#) | [Expert Systems](#) | [Additional Assistance](#) | [Site Map](#)

[eTools Home](#) : [Evacuation Plans and Procedures](#)

[Viewing / Printing Instructions](#) | [Credits](#)

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Occupational Safety & Health Administration  
200 Constitution Avenue, NW  
Washington, DC 20210



**Department of the Treasury  
Bureau of Alcohol, Tobacco & Firearms  
BOMB THREAT CHECKLIST**



1. When is the bomb going to explode?
2. Where is the bomb right now?
3. What does the bomb look like?
4. What kind of bomb is it?
5. What will cause the bomb to explode?
6. Did you place the bomb?
7. Why?
8. What is address?
9. What is your name?

**EXACT WORDING OF BOMB THREAT:**

---



---



---



---



---

Sex of caller: \_\_\_\_\_ Race: \_\_\_\_\_

Age: \_\_\_\_\_ Length of call: \_\_\_\_\_

Telephone number at which call is received: \_\_\_\_\_

Time call received: \_\_\_\_\_

Date call received: \_\_\_\_\_

**CALLER'S VOICE**

- |                                   |                                   |
|-----------------------------------|-----------------------------------|
| <input type="checkbox"/> Calm     | <input type="checkbox"/> Nasal    |
| <input type="checkbox"/> Soft     | <input type="checkbox"/> Angry    |
| <input type="checkbox"/> Stutter  | <input type="checkbox"/> Loud     |
| <input type="checkbox"/> Excited  | <input type="checkbox"/> Lisp     |
| <input type="checkbox"/> Laughter | <input type="checkbox"/> Slow     |
| <input type="checkbox"/> Rasp     | <input type="checkbox"/> Crying   |
| <input type="checkbox"/> Rapid    | <input type="checkbox"/> Deep     |
| <input type="checkbox"/> Normal   | <input type="checkbox"/> Distinct |

- |   |  |
|---|--|
| <input type="checkbox"/> Slurred  | <input type="checkbox"/> Whispered       |
| <input type="checkbox"/> Ragged   | <input type="checkbox"/> Clearing Throat |
| <input type="checkbox"/> Deep Breathing   | <input type="checkbox"/> Cracking Voice  |
| <input type="checkbox"/> Disguised  | <input type="checkbox"/> Accent          |
| <input type="checkbox"/> Familiar ( <i>If voice is familiar, who did it sound like?</i> ) _____ |  |

**BACKGROUND SOUNDS:**

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Street noises | <input type="checkbox"/> Factory machinery                     |
| <input type="checkbox"/> Voices                   | <input type="checkbox"/> Crockery                              |
| <input type="checkbox"/> Animal noises            | <input type="checkbox"/> Clear                                 |
| <input type="checkbox"/> PA System                | <input type="checkbox"/> Static                                |
| <input type="checkbox"/> Music                    | <input type="checkbox"/> House noises                          |
| <input type="checkbox"/> Long distance            | <input type="checkbox"/> Local                                 |
| <input type="checkbox"/> Motor                    | <input type="checkbox"/> Office machinery                      |
| <input type="checkbox"/> Booth                    | <input type="checkbox"/> Other ( <i>Please specify</i> ) _____ |

**BOMB THREAT LANGUAGE:**

- |  |   |
|--|---|
| <input type="checkbox"/> Well spoken (education) | <input type="checkbox"/> Incoherent                   |
| <input type="checkbox"/> Foul                    | <input type="checkbox"/> Message read by threat maker |
| <input type="checkbox"/> Taped                   | <input type="checkbox"/> Irrational                   |

**REMARKS:**

---



---

**Your name:** \_\_\_\_\_

**Your position:** \_\_\_\_\_

**Your telephone number:** \_\_\_\_\_

**Date checklist completed:** \_\_\_\_\_

Appendix

E

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## References

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 Glossary

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ABC Acronyms

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 Bibliography

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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 be 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.

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

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