

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF TEXAS  
February 2002 (Draft)

CONTINUITY OF OPERATIONS PLAN

- I. Essential Activities and Functions: identification of essential activities and functions that must be performed by the clerk's office and the court.
  - A. Immediate (Day 1)
    1. Protect employees, visitors and the public. (See OEP for evacuation plans.)
    2. Provide support services for affected employees.
    3. Ensure continued and uninterrupted control and leadership of the clerk's office.
    4. Communicate with employees, other divisions and the public.
    5. Notify the Administrative Office and Fifth Circuit of the emergency situation.
  - B. Day 2
    1. If courthouse is accessible, assess damage - especially servers, data and case records.
      - a. Determine whether records are safe in the courthouse. Move records to a safe site if necessary.
      - b. Systems staff may begin to salvage, repair, relocate computer equipment.
      - c. Check status of vaults.
    2. Notify Post Office to hold mail or deliver to alternate site.
    3. Call off jury trials - jury administrator must contact jurors.
    4. Contact AO to ship servers if needed.
    5. Contact TV stations with message for public about court closing and plans to resume operations.
  - C. Day 4-5
    1. New servers are received in Shreveport. MIS Manager and Network Administrator go to Shreveport to set up servers.
  - D. Day 6
    1. Email and docketing functions are restored. All divisions other than Tyler can email and docket - no fax noticing will be available.
    2. MIS Manager and Network Administrator will begin to restore secondary systems and set up modem access.
    3. Some Tyler staff can go to Marshall and work from there.
  - E. Day 7-10
    1. Clerk, Chief Judge, U.S. Marshal, Building Manager must make a determination regarding the condition of the courthouse and project how long other location will be needed.
    2. If courthouse cannot be used long-term, begin to locate rental space and

reschedule trials to other divisions or state court facilities.

- II. Vital Records, Systems, Equipment: identification and protection of vital records, systems and equipment, including ability to access and use such records, systems and equipment to perform essential activities and functions.
  - A. Vital records
    - 1. Primary - case records, blank checks, data backups (MIS Manager and Network Administrator take backups home for safekeeping)
    - 2. Secondary - personnel files, financial/procurement files, loose documents, employees' personal files, paper docket sheet, order books, minute books, jury files
  - B. Vital systems
    - 1. Primary - Network & Lotus Notes, ICMS
    - 2. Secondary - JMS, FAST, PPS, fax noticing, Pacer, Chaser, Racer, images, Condor
  - C. Vital equipment
    - 1. Primary - network servers, mail servers, ICMS server
    - 2. Secondary - other systems servers, PCs, printers, copiers, fax machines
- III. Succession and Delegations of Authority: current order of automatic succession for the clerk (must be able to contact during duty and non-duty hours)
  - A. Should the Clerk of Court be unavailable, succession of authority shall be as follows:
    - 1. Chief Deputy
    - 2. MIS Manager
    - 3. Criminal Supervisor
    - 4. Docket Supervisor
    - 5. Management Analyst
    - 6. Finance Administrator
  - B. Each member of the management team listed 1-6 above and the clerk shall keep at home a complete list of all employees with their home and cell phone numbers.
- IV. Relocation/Alternate Work Sites: identification and appropriate preparation of one or more alternate locations from which we can conduct essential activities.
  - A. Day 1 - temporary command center can be set up at the U.S. Attorney's Office if the bank building is unaffected. (See OEP) Secondary site is Bankruptcy Court.
  - B. Shreveport, LA - if servers are destroyed, the AO will ship servers to Shreveport. The MIS Manager and Network Administrator will take backups to Shreveport and set up servers there.
  - C. Alternate work sites - after servers are set up, some employees could work from home with dial-up access; others could go to the Marshall division to work.
- V. Emergency Organization: identification of a team of employees capable of performing

essential activities in an emergency.

- A. The Executive Committee as set forth in the Occupant Emergency Plan to determine safety of the building. The chief judge will be informed of the emergency situation.
  - B. Should it be determined that operations will be interrupted, the clerk will contact the chief deputy and MIS Manager to initiate the procedures contained in this Continuation of Operations Plan. Operations and finance personnel will be contacted as needed.
- VI. Warning and Notification: development of a system for warning employees, visitors and the public of potential threats and actions to be taken.
- A. Employees will all have a copy of the OEP and COOP
  - B. Visitors and the public will be instructed regarding any actions by the Court Security Officers
- VII. Identification of Employees: system for identifying the location and status of employees in the aftermath of an event interrupting clerk's office operations
- A. The OEP contains methods for checking the locations of employees who are present in the building when it is evacuated. These procedures will be followed if the evacuation is normal.
  - B. If the location and status of some employees cannot be determined,
- VIII. Communications Plan: system for communicating subsequent to an emergency
- A. Cell phones and two-way radios held by CSOs and GSA employees will be used to communicate, unless the marshal advises against their use.
  - B. Messages will be given to local TV stations.
  - C. If possible, a recorded message will be placed on the clerk's office main line.
- IX. Restoration: system for restoring normal functions.
- A. The clerk and chief judge will determine the priority and schedule for restoring normal functions, including:
    - a. Assigning and allotting cases
    - b. Accepting new cases and documents for filing
    - c. Fax noticing
    - d. Receiving payments
    - e. Printing checks, preparing purchase orders and vouchers, etc.
    - f. Holding court sessions
    - g. Personnel functions - payroll, time & attendance
- X. Training and Exercises: plan for training all employees potentially affected and all those with specific responsibilities during a disruption to operations.
- A. All employees potentially affected will receive copies of the COOP
  - B. Training will be held at least annually to review the COOP and any changes to it