



# **Continuity of Operations Plan (COOP)**

**State of Alabama**

**Department of Human Resources**

**Revised February 2021 (DRAFT)**

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## **I. EXECUTIVE SUMMARY**

This Continuity of Operations Plan (COOP) was developed for the Alabama Department of Human Resources (ADHR). ADHR is a Cabinet Level Department of the State of Alabama, and includes approximately 4,200 employees. Five divisions have COOP responsibilities.

The governmental functions of the Department responsible for the COOP include:

- Office of the Commissioner
- Field Administration
- Administrative Services
- Family Resources (including SNAP and TANF)
- Children and Family Services
- Adult Protective Services
- Child Care Services

The Department supports and utilizes the State of Alabama Emergency Operations Plan (SEOP) that is used to prepare for, respond to, and recover from major disasters. This COOP is an additional document designed to help this Department effectively resume day-to-day core services and functions following a disaster.

This COOP documents the procedures for ADHR. It will enable the Department to resume all essential functions within 12 hours of an emergency, with or without advance warning, and to sustain continuous operations for up to 30 days.

This Continuity of Operations Plan:

1. Delineates Essential Functions and Activities
2. Delegates Authority
3. Establishes Orders of Succession
4. Identifies Requirements for Interoperable Communications
5. Identifies Vital Records and Databases
6. Identifies Alternate Facilities
7. Outlines Tests, Training, and Exercises for COOP Capabilities
8. Identifies COOP Maintenance Requirements and Responsibilities
9. Contains operational Checklists

## **II. INTRODUCTION**

State governments today face challenges unlike any that have been seen before. In addition to terrorism, disasters from many causes are on the rise, not only in frequency, but also in severity. Recent examples include the April 27, 2011 tornadoes, one of the worst disasters in the history of the State of Alabama, Superstorm Sandy, and Hurricane

Katrina - one of the worst natural disasters in U.S. history (August 2005). Additionally, severe winter weather, wildland fires, earthquakes, transportation accidents and strikes, computer viruses, and technology failures have caused major disruptions to both public and private operations throughout the nation in recent years.

The State of Alabama is vulnerable to a host of hazards, including hurricanes, tornadoes, earthquakes, wildfire, coastal and interior flooding, dam failure, radiation exposure and contamination, hazardous materials spills or releases, drought, civil unrest, terrorism, and pandemic diseases.

Continuity of Operations Planning is part of the fundamental mission of state government as a responsible and reliable public institution. The changing threat environment and recent events both here and abroad have shifted awareness to the need for COOP capabilities that enable state government to continue its essential functions across a broad spectrum of emergencies.

### **III. PURPOSE**

The purpose of this document is to ensure that the capability exists to continue essential government functions in the event of an emergency and to reduce the consequences of a disaster to an acceptable level. The objectives of the Department's Continuation of Operations Program include:

1. Ensuring the continuous performance of the department's essential functions/operations during an emergency;
2. Protecting essential facilities, equipment, records, and other assets;
3. Reducing or mitigating disruptions to operations;
4. Reducing loss of life, minimizing damage, and losses; and
5. Achieving a timely and orderly recovery from an emergency and resumption of full service to customers.

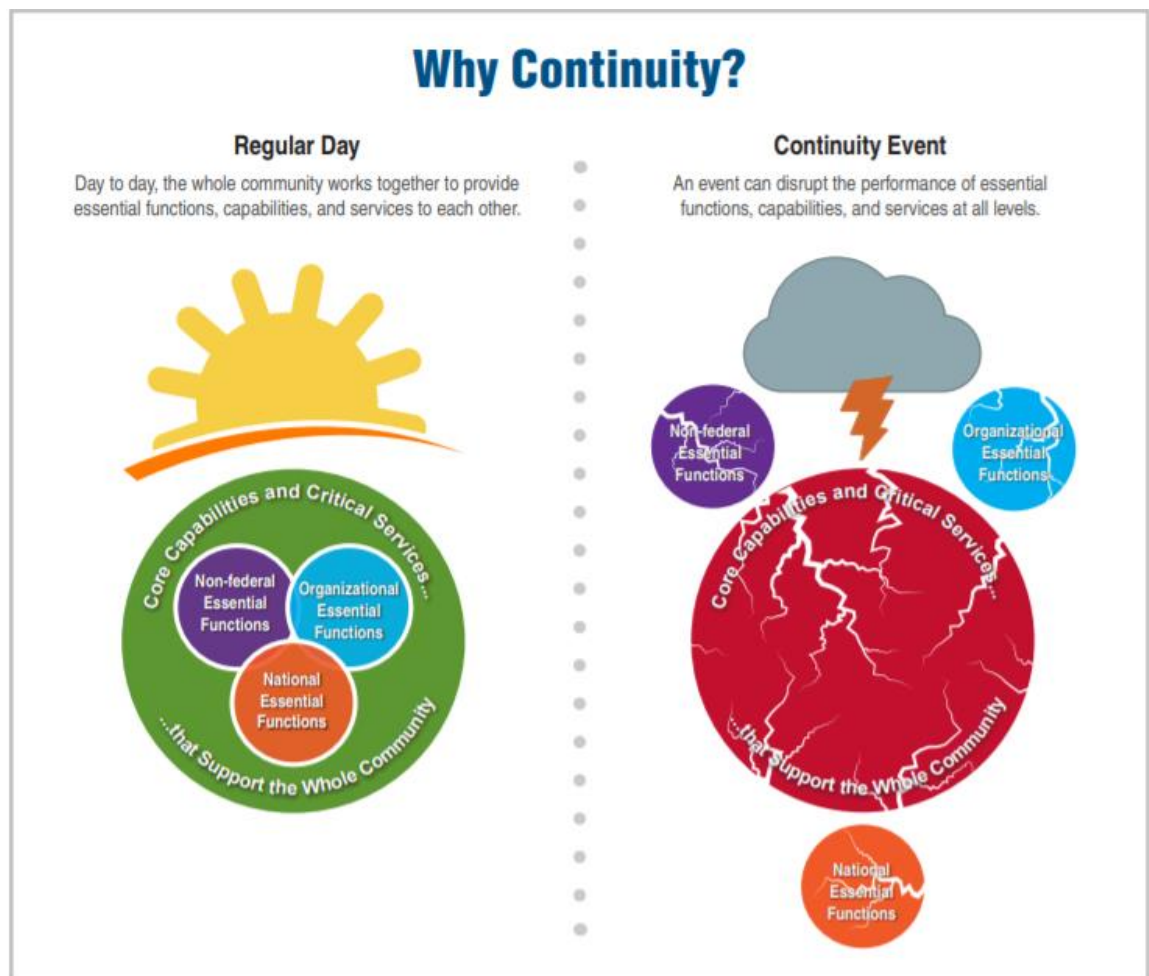
Although when and how a disaster will occur is unknown, the fact that future disasters will happen is certain. How well a COOP is designed and implemented will determine response, resumption, recovery, and restoration.

### **IV. APPLICABILITY AND SCOPE**

In accordance with federal, state, and local laws, plans, and administrative guidance to prepare an enterprise-wide COOP, all government entities must be prepared to respond to emergencies and disasters even when their facilities, vehicles, personnel, and political/decision-making authorities are affected. The State of Alabama has elected to use FEMA's Continuity Guidance Circular 2 and Interim Guidance on Continuity of Operations Planning for State and Local Governments as the basis for the development of the COOP.

- CGC2, Continuity Guidance for Non-Federal Governments: Mission Essential Functions Identification Process (State, Territories, Tribes, and Local Government Jurisdictions) FEMA P-789/October 2013

- Homeland Security Presidential Directive /HSPD-20, National Continuity Policy, May 9, 2007
- Interim Guidance on Continuity of Operations Planning for State and Local Governments, May 2004
- Federal Preparedness Circular 65, Federal Executive Branch Business Continuity
- Federal Preparedness Circular 66, Test, Training and Exercise Program for BCP
- Federal Preparedness Circular 67, Acquisition of Alternate Facilities for Continuity of Government
- Alabama Emergency Operations Plan, 2017
- Health Insurance Portability and Accountability Act of 1996 (HIPAA), 45CFR Parts 160, 162, 164
- FEMA Continuity Guidance Circular, February 2018:



## V. AUTHORITIES AND REFERENCES

Below is a list of Authorities and References specific to DHR. For more detailed information, including location of original sources, links, etc., refer to Annex A.

- Section 38-1-6
- Federal Social Security Act and the Food Stamp Act of 1964, as amended.
- Older Americans Act of 1965, as amended.
- Code of Alabama 1975, Sections 38-2-1 through 38-2-13
- Code of Alabama 1975, Section 38-9-2
- Code of Alabama 1975, Sections 41-20-1 through 41-20-6 (Sunset Law)
- Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)
- Code of Alabama 1975, Sections 26-10A-1 through 26-10A-38 (Alabama Adoption Code)
- Alabama Administrative Code, Chapters 660-1-1 through 660-5-91
- Alabama Department of Human Resources Annual Reports (2011-2018)
- Government Records Division, State Agency Files (1985-ongoing)
- Code of Federal Regulations 7 CFR 272.1, 274.3, 274.6, 274.7, 274.11, 275.4, 275.9, 276.2, 277.12

## VI. PLANNING BASIS

### A. ESSENTIAL FUNCTIONS

Essential functions are defined as those functions, stated or implied, that departments or agencies are required to perform by statute, executive order, or State policy and are necessary to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency.

**INSTRUCTIONS:** Complete the table below by listing all functions performed by your department. In addition, evaluate each function as essential and designate with a Y/N notation. Note the reason why the function is essential and list any dependencies with or upon another department that may be required to fulfill the function.

**Table 1** provides a comprehensive list of all functions performed by DHR. In addition, each function has been noted as an essential or nonessential function based on the definition provided above. Any dependencies with or upon another department are noted in the last column.

Department Functions

Division/Section/Region	All Functions	Essential Function (Y/N)	Reason Function is Essential?(Mandate/Exec Order/Policy)	Department Dependency
<b>Food Assistance Division</b>	The Food Assistance Division administers the Food Assistance Program in Alabama, known nationally as SNAP (Supplemental Nutrition Assistance Program). Applications for the Food Assistance Program are available in all county DHR offices and on the Alabama DHR website. <a href="http://www.dhr.alabama.gov">http://www.dhr.alabama.gov</a>	Y	The Food Assistance Program's purpose is to end hunger and improve nutrition by providing monthly benefits to eligible low income households to help them buy the food they need for good health.	
<b>Child Support Enforcement Division</b>	The Child Support Enforcement (CSE or IV-D) Division is a joint Federal/State effort to help families sustain themselves.	Y	Establish paternity (when necessary), obtain orders for payment of child support, and secure compliance with child support court orders.	

Division/Section/Region	All Functions	Essential Function (Y/N)	Reason Function is Essential?(Mandate/Exec Order/Policy)	Department Dependency
<b>Family Services Division</b>	<b>Child Protective Services</b> The Office of Child Protective Services provides the following functions: <ul style="list-style-type: none"> <li>• Maintains the Central Registry on Child Abuse and Neglect</li> <li>• Applies for and monitors grants for protective services projects</li> <li>• Provides case consultation services</li> </ul>	Y	Code of Alabama, 1975, § 26-14-8	
	<b>Interstate Compact on the Placement of Children</b> Administers the Interstate Compact on the Placement of Children (ICPC) provides the following function: <ul style="list-style-type: none"> <li>• Reviews and facilitates applications for travel, placements, foster care, and adoptions of children entering and leaving the state</li> </ul>	Y	Code of Alabama, 1975, § 38-2-6 (14)	
	<b>Foster Care</b> As of 3/11/20 6,337 Alabama children were in foster care. Some simply need foster care for a matter of days. Others may need foster care until they are reunited with their biological family or a plan is made for them to be adopted.	Y	Code of Alabama, Safety of Children	
	<b>Adoption</b> The Department of Human Resources recruits and prepares families to adopt waiting children. Adoption Assistance payments are provided for adopted children with special needs.	Y	Code of Alabama, Financial Assistance and Placement	
<b>Child Care Services Division</b>	The Child Care Services Division is the state's Child Care and Development Fund (CCDF) administrator, responsible for the child care subsidy program and quality initiatives. In addition, the Division is also responsible for monitoring and licensing child care centers for compliance with minimum standards.	Y	Necessary for the protection of vulnerable children.	



Division/Section/Region	All Functions	Essential Function (Y/N)	Reason Function is Essential?(Mandate/Exec Order/Policy)	Department Dependency
<b>Family Assistance Division</b>	Programs of the Family Assistance Division include benefits and services to needy families with children. Services/benefits to eligible families include: <ul style="list-style-type: none"> <li>• temporary cash payments</li> <li>• work and job training services</li> </ul>	Y	Assistance to needy families	
<b>Adult Protective Services Division</b>	The mission of the Adult Protective Services Division is to support and enable County Departments to protect elderly and disabled adults from abuse, neglect, and exploitation and prevent unnecessary institutionalization through investigation of A/N/E reports of elderly and disabled adults, arrangement of protective placements and provision of foster care, day care and other protective services to eligible individuals.	Y	Adult Protective Services are mandated to provide protection for elderly and disabled adults as risk of abuse, neglect, exploitation or institutionalization and who have no others to assist them. Staff availability to support county offices will be critical.	

**INSTRUCTIONS:** Review Table 1 above for all of the functions identified as essential (noted as ‘Y’). Rank the priority of these functions and assign the time critical to each of these functions in the table below. Critical Time refers to the amount of time a particular function can be suspended before it adversely affects the Department’s core mission.

Functions performed by the various divisions, sections, and regions of DHR were reviewed and ranked based on their priorities and according to these functions’ critical times. The table below provides these rankings.

**Table 1: Essential Functions Ranking**

Priority	Essential Functions	Critical Time
1	Food Assistance	48 hours
2	Family Assistance	72 hours
3	Family Services	72 hours ICPC – 24 to 48 hours on Priority 7 and carrier deliveries
4	Adult Protective Services	Immediate or within 168 hours depending on the ANE report.
5	Child Support	72 hours
6	Child Care Services	72 hours

**B. COOP ACTIVATION – COMMISSIONER OF DHR**

COOP activation for DHR will commence at the direction of the Commissioner of ADHR, or his/her designee.

**C. ORDERS OF SUCCESSION AND DELEGATION OF AUTHORITY**

Succession planning and management is an important part of Continuity of Operations Planning. The COOP seeks to maintain leadership in the event of an emergency and consists of two components: orders of succession and delegation of authority.

Immediately following an event, Agency/Department officials, including Department Heads may be a part of an Emergency/Department Operation Center (EOC/DOC) Management Team engaged in immediate incident management. As a result, these officials may not be available to oversee the continuity of operations process and execution of essential functions. *Essential functions must proceed without interruption regardless of the availability of any individual.*

Table 3 designates the order of succession and delegation of authority in the event the Commissioner is unavailable. This process ensures that departments are capable of responding rapidly to emergency situations requiring COOP implementation. *Unless specified, the persons listed below are designated to accept and maintain all authority of*

*the Department Head or Deputy Commissioner. Further delegation, if anticipated to be required, is depicted in Table 4.*

For departments that have not identified any Essential Functions in Table 2 (Section VI, A), the Department Head or Designee may be responsible for delegating tasks to their staff to assist other departments with essential functions. This may involve relocation, assistance at another location, temporary reassignment to another department, etc.

**Table 2: Orders of Succession & Delegation of Authority**

<b>Department Key Position</b>	<b>Primary</b>	<b>1st Alternate</b>	<b>2nd Alternate</b>
<b>Commissioner</b>	ADHR Commissioner	Deputy Commissioner for Administrative Services	Deputy Commissioner for Field Administration

**Table 3: Further Delegation of Authority**

<b>Department/Primary Authority</b>	<b>Person Authorized</b>	<b>Area of Authority</b>	<b>Level of Authority</b>	<b>Triggering Conditions</b>
<b>Food Assistance Division</b>	Division Director (Primary)	Program Management	Director	Emergency Disaster
	Asst. Director	Program Management	Assistant Director	Emergency Disaster
<b>Child Care Services Division</b>	Division Director (Primary)	Child Care Licensing; Child Care Subsidy Program; EHS-CCP Program; Training and Development	Director	Emergency Disaster
	Program Administrator	Child Care Licensing	Asst. Director	Emergency Disaster
	Program Manager	Child Care Subsidy Program	Manager	Disaster
<b>Child Care Services Division</b>	Program Manager	Early Head Start-Child Care Partnership (EHS-CCP) Program	Manager	Disaster

<b>Department/Primary Authority</b>	<b>Person Authorized</b>	<b>Area of Authority</b>	<b>Level of Authority</b>	<b>Triggering Conditions</b>
<b>Child Care Services Division (continued)</b>	Program Manager	Office of Training and Development	Manager	Disaster
<b>Family Assistance Division</b>	Division Director/Acting Director	Overall Family Assistance Division	Director	Emergency
	Assistant Director	Provide guidance as needed to other entities	Asst. Director	Emergency
	Program Manager	Provide guidance as needed to other entities	Manager	Emergency
	Program Manager	Provide guidance as needed to other entities	Manager	Emergency
<b>Adult Protective Services</b>	Division Director	Planning and administration of APS	Director	Request from Commissioner, Deputy Commissioners, or County Directors
	Deputy Director	Medicaid, Repatriation, and Consultants	Program Administrator for County Assistance	Emergency or Disaster
	Program Manager	Policy, Constituent Services, Legislative Affairs	Program Manager for Constituent Services and Policy	Emergency or Disaster

#### **D. DEPARTMENT STAFF COOP RESPONSIBILITIES**

Based on the list of essential functions and the staffing and leadership necessities of each department, it is important to identify the appropriate staff to perform these functions during an emergency. The table below includes Key COOP staff that will have the leadership and responsibility for essential functions. Contingency staff will support those individuals.

Contingency staff is the departmental personnel designated to report to the alternate facility/location during the COOP implementation to ensure that the Department is able to perform its essential functions.

**INSTRUCTIONS:** Insert all responsibilities necessary to perform the essential functions previously identified in Table 2 into the table below. Assign Key COOP staff positions to each function, ensuring a lead person has been identified for all responsibilities. If no essential functions have been identified by your department, check the box below.

DHR has not identified any essential functions in Table 2. (Proceed to Section VI, E)

**Table 4: Key COOP Staff and Assigned Responsibilities**

Department	Key COOP Staff Position	Responsibilities
DHR	SDHR Management Team	Administer Programs in accordance with Federal and State Guidelines
Food Assistance Division	Division Director	Coordinate division activities for Food Assistance
Family Assistance Division	Program Manager	Coordinate division activities for PA
	Program Manager	Coordinate division activities for JOBS

During certain types of emergencies, it may be necessary to utilize supplemental staff to support essential functions. Annex E provides a listing of departments with potential supplementary staff and associated training requirements.

## E. FACILITIES/LOCATIONS

Identifying all facilities/locations a department utilizes is important when a COOP is prepared, activated, and implemented. Table 5 identifies the facilities/locations utilized by DHR.

**INSTRUCTIONS:** Inventory all facilities/locations utilized by the Department in the table below. Consult the Risk Factors Appendix within the State of Alabama Hazard Mitigation Plan for risk factors associated with your facilities/locations.

**Table 5: Department Facilities/Locations Worksheet**

Name Of Department Subsection And Name Of Primary Location	Address	Primary Or Satellite Facility (P/S)	Essential Function (Y/N)	Minimum Level Of Staff* (# Of Employees)	Risk Factors (E.G. Earthquake Zone, Flood Plain, Etc.)
All State offices will relocate to Alternate locations if Primary location affected. See attachments for State Office Divisions and County Offices.	Montgomery County DHR 3030 Mobile Highway Montgomery, AL	S	Y	Key COOP Staff and 3 Alternates	Hurricanes, Tornadoes, Floods, and Train Derailment

\*Minimum Level of Staffing should only include the number of staff necessary to continue essential functions, i.e., Key COOP staff and Contingency staff.

## F. VITAL RECORDS, FILES, AND DATABASES

Identification and protection of vital records, systems, data management software, and equipment (including sensitive, restricted, or confidential data as defined by the Department pursuant to existing regulations) necessary to perform essential functions and activities and to reconstitute normal department operations following an emergency are critical to successful COOP. Table 7 below lists vital files, records, and databases by department, and denotes if they are sensitive, restricted, or confidential.

The State’s Information Technology (IT) Contract provides for complete support of application and database operations which include daily system backups and outage restoration. All applications that are maintained by the State’s IT Outsourcing Contactor are covered under the IT agreement. Applications that are maintained by a separate 3<sup>rd</sup> Party Provider and reside on servers outside the support of the State’s IT Agreement will need to be reviewed individually to determine the contracted system availability, backup, and restoration times supported by the Provider.

**INSTRUCTIONS:** List all records and documentation that are necessary to perform essential functions and indicate the level at which these critical records are protected and secured. (These records should be maintained at the same level of security at the alternate facility/location as they are at the primary facility/location.) The timing of the use of a record, file, or database may be a consideration when determining whether it is vital. If you have identified an application that requires 3<sup>rd</sup> Party Provider support, consult your Department and Group IT Manager.

**Table 6: DHR’s Vital Records Inventory**

<b>Vital File, Record, or Database: Original Location</b>	<b>Form of Record (e.g., paper, electronic)</b>	<b>Duplicate Copy Location</b>	<b>Person(s) Responsible for Maintenance, Retrieval, and Security</b>	<b>Able to Access from Alternate Location? (Y/N)</b>	<b>Record Security-Sensitive (S), Restricted (R), or Confidential (C)</b>
Department COOP	Paper and Electronic	Office of EWS/Safety	Key COOP Staff	Y	S
Personnel Files	Paper and Electronic	SPD	Key COOP Staff	Y	R/C
Departmental Records	Paper and Electronic	SDHR and County Offices	Key COOP Staff	Y	R/C

<b>Vital File, Record, or Database: Original Location</b>	<b>Form of Record (e.g., paper, electronic)</b>	<b>Duplicate Copy Location</b>	<b>Person(s) Responsible for Maintenance, Retrieval, and Security</b>	<b>Able to Access from Alternate Location? (Y/N)</b>	<b>Record Security-Sensitive (S), Restricted (R), or Confidential (C)</b>
SCI-II /OACIS / ADDI / client records	Paper and Electronic	SCI-II: IBM Mainframe in Sterling Forest, NY  OACIS/ADDI: DHR	Program Manager	SCI-II: Y OACIS/ADDI: N	SRC
EBT records	Paper and Electronic	DHR	EBT Program Manager	N	SRC
Child Care Licensing Files	Paper; Electronic	None	Individual Consultants/Asst. Director	Y - electronic record	C
Exempt Provider Files	Paper; Electronic	None	Individual Consultants/Asst. Director	Y - electronic record	C
Licensing Historical Files	Paper	None	Asst. Director	N	C
Minimum Standards for Day Care Centers and Nighttime Centers	Paper; Electronic		Asst. Director	Y	Public
Minimum Standards for Day Care Homes Nighttime Homes	Paper; Electronic		Asst. Director	Y	Public
Health and Safety Guidelines for Facilities Participating in the Child Care Subsidy Program	Paper; Electronic		Program Manager	Y	Public

<b>Vital File, Record, or Database: Original Location</b>	<b>Form of Record (e.g., paper, electronic)</b>	<b>Duplicate Copy Location</b>	<b>Person(s) Responsible for Maintenance, Retrieval, and Security</b>	<b>Able to Access from Alternate Location? (Y/N)</b>	<b>Record Security-Sensitive (S), Restricted (R), or Confidential (C)</b>
Health and Safety Guidelines for Out of School Time Facilities Participating in the Child Care Subsidy Program	Paper; Electronic		Program Manager	Y	Public
EHS-CCP, Child Care Partner files	Paper; Electronic		Program Manager	Y- electronic record	C
EHS-CCP Program Policies and Procedures	Paper; Electronic		Program Manager	Y	Public
Head Start Performance Standards	Paper; Electronic		Program Manager	Y	Public
EHS-CCP Contractor Files	Paper; Electronic		Program Manager	Y - electronic record	C
Child Care Subsidy Program Contractor Files	Paper; Electronic		Program Manager	Y - electronic record	C
Child Care Subsidy Program Policies and Procedures Manual	Paper; Electronic		Program Manager	Y	Public
CCDF State Plan	Paper; Electronic		Program Manager	Y	Public
Time and Attendance System Files	Paper; Electronic		Program Manager	Y - Electronic record	C
Assistance Payments Manual	Paper and Electronic	iDHR	Program Manager	Y	Public
JOBS Program Policy Manual	Paper and Electronic	iDHR	Program Manager	Y	Public
TANF State Plan	Paper and Electronic	ADHR Website	Asst. Director	Y	Public
Caseload Reduction Credit Report	Paper and electronic	S drive	Asst. Director	N	Public



<b>Vital File, Record, or Database: Original Location</b>	<b>Form of Record (e.g., paper, electronic)</b>	<b>Duplicate Copy Location</b>	<b>Person(s) Responsible for Maintenance, Retrieval, and Security</b>	<b>Able to Access from Alternate Location? (Y/N)</b>	<b>Record Security-Sensitive (S), Restricted (R), or Confidential (C)</b>
FACTS	Paper and Electronic	SDHR	Primary: Tim Preskitt  1 <sup>st</sup> : Backup: Ramaswamy Macha  2 <sup>nd</sup> Backup: Jeff Barnes	Y	SRC
CPS - CAN Files	Microfilm, Electronic	SDHR	CPS Staff	N	SRC
APS and CPS - Case Records	Paper	County Office and SDHR	APS and CPS Staff	N	SRC
APS and CPS - Policy Documents	Paper and Electronic	SDHR	APS and CPS Staff	N	C
**CPS - Data Base – On Base Client	Electronic	SDHR	CPS Staff	Y	SRC
***CPS - Admin. Review Database	Electronic	SDHR	CPS Staff	Y	SRC
Adoption – (Ward) State Permanent File	Paper	County	CPS Staff	N	SRC
FACETS (client records)/IEVS(SSA and IRS data)	Electronic	IBM Data Center 300 Long Meadow Road Sterling Forest, NY, 10979, USA	Program Manager	Y	SRC

\* Information Systems Division is responsible for maintaining an electronic backup file offsite.

\*\* Used to track – Child Abuse/Neglect clearance forms (1598s) released to potential employers

\*\*\* Used as the permanent storage for child abuse/neglect cases where an Administrative Record Review is conducted

## G. VITAL SYSTEMS AND EQUIPMENT

A system or piece of equipment is vital if it is necessary to perform essential functions as identified in Table 2 (Section VI, A) and/or to reconstitute normal department operations following an emergency. Many critical processes support essential department functions, including IT systems and applications. Not every system or piece of equipment is vital, even if it is important.

**INSTRUCTIONS:** Identify vital systems and equipment below. Denote locations of systems and equipment, as indicated. The timing of the use of a system or piece of equipment may be a consideration when determining whether it is vital.

**Table 7: Vital Systems and Equipment**

System Name	Current Location	Other Locations
All Vital Systems are listed	ISD	Statewide
FACTS	ISD	Statewide

## VII. LOGISTICS

**INSTRUCTIONS:** Refer to Table 2. If no essential functions are identified for your department, check the box below and proceed to Section IX.

DHR has not identified any essential functions in Table 2. (Proceed to Section IX)

### A. ALTERNATE LOCATION

Emergencies or potential emergencies can affect the ability of departments to perform mission-essential functions from their primary facilities/locations. A critical element in COOP Planning is the identification and preparation of facilities that can be used to accomplish essential functions if a department's primary location becomes unusable.

The following criteria were used to identify suitable alternate facilities/locations for continuity of operations for departments within the State of Alabama:

- Alternate facilities/locations must not share the same natural hazard risk factors as the primary location. Refer to Table 6 (Section VI, E);
- Immediate capability to perform essential functions under various threat conditions, including threats involving weapons of mass destruction;
- Sufficient space and equipment to sustain the relocating department;
- Availability of interoperable communications with all identified essential internal and external organizations, other departments, critical customers, and the public;
- Reliable logistical support, services, and infrastructure systems, including water, electrical power, heating and air conditioning, etc.;
- Ability to sustain operations for up to 30 days;

- Consideration for the health, safety, and emotional well-being of relocated employees; and
- Appropriate physical security and access controls.

**INSTRUCTIONS:** Review Table 6 for the facilities/locations identified as currently housing essential functions (noted as ‘Y’). Be specific in your identification of the alternate facility/location, i.e., building room, room number, floor, etc. If your primary facility/location does not require an alternate facility/location, insert “N/A” in the Alternate 1 and Alternate 2 columns in Table 9 below. For assistance in selecting an alternate facility/location, a checklist is available in Annex B. Once an alternate facility/location is identified, complete Annex D. If you need to enter into an MOU/MOA for use of an alternate facility/location, insert current copy in Annex G.

NOTE: During the integration of the COOPs, a committee will review the proposed alternate facilities/locations for priority and availability. The committee may then request departments to identify different alternate facilities/locations.

Table 8 below lists the proposed alternate facilities/locations that may be used by DHR.

**Table 8: Proposed Alternate Facilities/Locations**

<b>Name of Department Subsection and Name of Primary Facilities/Locations</b>	<b>Alternate 1 (Point of Contact) (Security Controls)</b>	<b>Alternate 2 (Point of Contact) (Security Controls)</b>	<b>Minimum Level of Staffing (# of employees)</b>
All State Office Units	Montgomery County DHR	Autauga County DHR	Key COOP Staff and 3 Alternates
FSD – CPS and APS	Montgomery County DHR	Autauga County DHR	2
FSD – ICPC	Montgomery County DHR	Autauga County DHR	2
FSD – Office of Permanency	Montgomery County DHR	Autauga County DHR	4

## **B. INTEROPERABLE COMMUNICATIONS**

The success of operations at an alternate facility/location depends on the availability and redundancy of critical communications systems to support connectivity to internal and external organizations, other departments, critical customers, and the public.

Interoperable communications should provide the following:

- Communications capability that adequately supports essential functions;
- Ability to communicate with Key COOP staff, Contingency staff, management, and other State departments;

- Ability to communicate with other organizations and emergency personnel;
- Access to data and systems necessary to conduct essential functions;
- Ability to operate in the alternate facility/location within 12 hours, and for up to 30 days.

The table below outlines interoperable communications available at each proposed alternate facility/location selected by DHR.

**INSTRUCTIONS:** Complete a separate table for each alternate facility/location identified in Table 9. If necessary, copy and paste additional table templates into the document and label accordingly, ex: 10.3, 10.4, etc.

**Table 10.1: Primary Location: SDHR**

<b>Communication Mode</b>	<b>Current Provider/Primary Facility/Location Specifications</b>	<b>Alternate Facility/Location Specifications</b>
Phone Lines/Jacks	State Finance Department	State Finance Department
Fax	State Finance Department	State Finance Department
ACD/IVR	State Finance Department	State Finance Department
Cellular Phones	State Contract and Staff Cell Phones	SDHR and County Offices
Videoconferencing	State DHR (Gordon Persons Building, Montgomery)	JCDHR (Birmingham) and MCDHR (Mobile)
Network Connectivity	State DHR ISD/OIT	State DHR ISD/OIT
Data Lines/Jacks	State DHR ISD/OIT	State DHR ISD/OIT
Computers (laptops, PCs, etc.)	State DHR ISD/OIT	State DHR ISD/OIT
Printers	State DHR ISD/OIT	State DHR ISD/OIT
E-mail	State DHR ISD/OIT	State DHR ISD/OIT
Internet/Wireless Broadband	State DHR ISD/OIT	State DHR ISD/OIT
Radio Communication (i.e. 800 MHz)	Southern LINC	Southern LINC: SEOC in Clanton during activations.
Other		

**Table 10.2: ALTERNATE FACILITY/LOCATION 2: Montgomery County DHR**

<b>Communication Mode</b>	<b>Current Provider/Primary Facility/Location Specifications</b>	<b>Alternate Facility/Location Specifications</b>
Phone Lines/Jacks	Same as above	

<b>Communication Mode</b>	<b>Current Provider/Primary Facility/Location Specifications</b>	<b>Alternate Facility/Location Specifications</b>
Fax	Same as above	
ACD/IVR	Same as above	
Cellular Phones	Same as above	
Pagers	Same as above	
Videoconferencing	Same as above	
Network Connectivity	Same as above	
Data Lines/Jacks	Same as above	
Computers (laptops, PCs, etc.)	Same as above	
Printers	Same as above	
E-mail	Same as above	
Internet/Wireless Broadband	OIT	OIT
Radio Communication (i.e. 800MHz)	Southern Linc (SEOC) during activations	SEOC During activations
Other	-	-
-	-	-

## **VIII. CONCEPT OF OPERATIONS – PROCEDURES FOR PLAN IMPLEMENTATION**

The Procedures Plan for Implementation was developed based on the following key assumptions:

- Emergencies or threatened emergencies can adversely impact the Department’s ability to continue to support essential functions and to provide support to the State’s operations and citizens;
- Emergencies and threatened emergencies differ in priority and impact;
- The vulnerability of the Department depends on the probability of an event occurring and the impact that event could have on operations and performance of essential functions;
- Outside assistance could be interrupted or unavailable during an emergency;
- State departments and offices must be prepared to operate without assistance for at least 72 hours;
- When the COOP is activated, the Department will implement a predetermined plan using trained and equipped personnel; and

- The Department will provide essential functions within 12 hours of the event and be able to continue these for 30 days or until termination of the event, whichever comes first.

## **A. PHASE I - ACTIVATION AND RELOCATION (0-12 HOURS)**

In the event of an emergency, the COOP will be activated by the Commissioner of DHR, or his/her designee, who will notify departments through their respective Division offices to ensure implementation of individual divisions' COOP. Public communication will be carried out by the Joint Information Center located in the Emergency Operation Center.

Upon activation of the COOP, Departments shall:

- Utilize all checklists in Annex C – Implementation Checklists;
- Notify the point of contact at the alternate facility/location of impending activation and actual relocation requirements. Refer to Table 9 (Section VII, A);
- Arrange security at the alternate facility/location for vital records at the same level as the primary facility/location, to the extent possible;
- Notify the appropriate internal and external organizations of relocation status;
- Implement plans, procedures, and schedules to transfer essential functions, personnel, records, and equipment to alternate facilities/locations;
- Notify appropriate staff to relocate. Refer to Table 3 (Section VI, D);
- Provide guidance to Contingency staff and other departmental staff;
- Assemble necessary documents and equipment required to continue performance of essential operations at alternate facilities/locations. Refer to Table 7 & Table 8 (Section VI, F & G);
- Order equipment or supplies, if not already in place;
- Transport vital records and files, supporting communications, IT framework and other necessary equipment to the alternate facilities/locations, if applicable;
- Arrange security for abandoned primary facility/location and non-moveable equipment and records, to the extent possible; and
- Advise the point of contact of the alternate facility/location of the ongoing relocation status.

### **1. DECISION PROCESS**

The ultimate decision about COOP activation for any department within the State of Alabama rests with the Commissioner/Head of that Department.

### **2. ALERT, NOTIFICATION, AND IMPLEMENTATION PROCESS**

Following the decision to activate the COOP and relocate to an alternate facility/location, each department will begin a process of employee notifications. The COOP

Implementation Checklist in Annex C shall be completed by the Department upon activation and implementation of the COOP.

A list of 24-hour contact information for Key COOP staff will be maintained by each department. In addition, one Key member of the COOP staff will maintain a list of 24 hour contact information, including phone numbers and address, for all department staff to be used in the event of an emergency. This responsibility is outlined in Table 5 (Section VI, D).

### **3. LEADERSHIP**

Department Heads or designees shall oversee the COOP implementation process immediately following activation and for a period of up to 30 days. Additional information regarding orders of succession and delegation of authority is provided in Table 3 and Table 4 (Section VI, C).

## **B. PHASE II – ALTERNATE FACILITY/LOCATION OPERATIONS (12 HOURS THROUGH TERMINATION)**

- Provide guidance to Contingency staff and other departmental staff;
- Identify replacements for missing personnel and request augmentation as necessary;
- Begin full execution of essential functions at alternate facilities/locations;
- Immediately notify the AEMA and all other appropriate departments of the alternate facility/location, operational and communications status, and anticipated duration of relocation, if known;
- Develop plans and schedules to phase down alternate facility/location operations and return essential functions, personnel, records, and equipment to the primary facility/location or to other temporary or permanent facilities/locations, when appropriate; and
- Develop a staffing plan and determine responsibilities to implement reconstitution.

## **C. PHASE III - RECONSTITUTION (TERMINATION AND RETURN TO NORMAL OPERATIONS)**

- When notified by AEMA that the threat or actual emergency no longer exists, inform all staff and provide instructions for resumption of normal operations;
- Supervise an orderly return to the primary facility/location, or movement to other temporary or permanent facilities/locations, using a phased approach if conditions necessitate;
- Inform the point of contact at the alternate facility/location and other points of contact that your staff and functions will be leaving the alternative facility/location, if applicable; and

- Conduct an after-action review of COOP operations and effectiveness of plans and procedures as soon as possible; Identify areas for correction and develop an improvement plan.

## IX. COOP TESTING, TRAINING, AND EXERCISES

Testing and exercising COOP capabilities are essential to demonstrating and improving the ability of departments to execute their COOPs. They serve to validate or to identify improvements to the COOP’s policies, procedures, systems, and locations. Periodic testing and exercising also help to ensure that equipment and procedures are maintained in a constant state of readiness.

After exercising a COOP, departments will complete an after-action report to identify issues found during the exercise and identify recommendations as to how those issues can be resolved. The COOP will then be reviewed and modified to reflect any necessary changes.

Table 11 below outlines a COOP Exercise Program Plan developed for DHR.

**INSTRUCTIONS:** The table below has the minimum exercise requirements. Additional department-specific exercises can be added as appropriate. Insert locations where exercises will occur.

**Table 11: COOP Exercise Program Plan**

Exercise Type	Participants	Frequency	Exercise Lead	Location
Orientation Seminar	New Hires	Initial Orientation	Human Resources	SDHR and County offices
COOP Refresher	All	Semi-Annually	DHR Commissioner	SDHR and County Offices
Department Tabletop	Senior Management, COOP Team and Successors	Annually	DHR Commissioner/AEMA	SDHR
Drill	Successors	Bi-Annually	DHR Commissioner/AEMA	SDHR
Department Functional Exercise	COOP Teams	Every 3 years	DHR Commissioner/AEMA	SDHR and select County Offices
State Tabletop	Executive Leadership, Senior Management, Supervisors	Every 3 years	AEMA/ADHR	TBD



## X. COOP MAINTENANCE

The COOP Coordinator will oversee the Department's maintenance of the COOP. General maintenance instructions are described in the table below.

**Table 9: BCP Maintenance Responsibilities**

Activity	Tasks	Frequency
Plan update	Review entire plan for accuracy Incorporate lessons learned and changes in policy and philosophy Update Orders of Succession/Delegation of Authorities Manage distribution of plan updates	Annually
Checklists	Update and revise checklists	Annually
Change in KEY COOP and Contingency staff	Conduct orientation and training	As changes occur
Train other new staff members	Provide an orientation Schedule participation in all training and exercise events	Within 90 days of hire or transfer date
Maintain alternate work site readiness (for departments with Essential Functions)	Check all systems Verify access codes and systems Cycle supplies and equipment as needed Ensure alternate facility/location availability Review and update supporting Memoranda of Understanding/Agreements	Annually

## **XI. CHANGES/REVISIONS**

DHR (EWS/Safety) update/revise the COOP annually or as directed by the Deputy Commissioner of Field Administration. iDHR will be updated with the revised and draft plans.

## **ANNEX A: AUTHORITIES AND REFERENCES**

- Code of Alabama 1975, Section 38-1-6
- Federal Social Security Act and the Food Stamp Act of 1964, as amended.
- Older Americans Act of 1965, as amended.
- Code of Alabama 1975, Sections 38-2-1 through 38-2-13
- Code of Alabama 1975, Sections 41-20-1 through 41-20-6 (Sunset Law)
- Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)
- Code of Alabama 1975, Sections 26-10A-1 through 26-10A-38 (Alabama Adoption Code)
- Alabama Administrative Code, Chapters 660-1-1 through 660-5-91
- Alabama Department of Human Resources Annual Reports
- Government Records Division, State Agency Files (1985-ongoing)
- Code of Federal Regulations 7 CFR 272.1, 274.3, 274.6, 274.7, 274.11, 275.4, 275.9, 276.2, 277.12

## **ANNEX B: PLAN, ANALYSIS, AND REVIEW CHECKLISTS**

Annex B forms are to be completed during COOP completion process.

### **IDENTIFICATION AND PROTECTION OF VITAL RECORDS CHECKLIST**

- 1.) Have personnel been assigned responsibility for identifying and protecting vital records?  Yes  No
- 2.) Have vital records been evaluated on the basis of their necessity in carrying out emergency operations or in protecting the rights and interests of citizens and the government and not on their value as permanent records?  Yes  No
- 3.) Have measures been taken to ensure that emergency operating records vital to the continuity of essential functions during an emergency will be available at alternate facilities/locations in the event those facilities/locations are activated?  Yes  No
- 4.) Have measures been implemented to secure vital records and databases?  Yes  No
- 5.) Are vital records easily retrievable and maintained in proper condition?  Yes  No
- 6.) Is a current inventory of vital records easily accessible?  Yes  No
- 7.) Have priorities and procedures been outlined for the recovery of vital records during an emergency?  Yes  No
- 8.) Have measures been identified to minimize damage to vital records during an emergency?  Yes  No
- 9.) Has a capability been provided to recover vital records that are damaged during an emergency?  Yes  No

**SELECTING ALTERNATE FACILITIES/LOCATIONS CHECKLIST**

Alternate Facility/Location:

Additional Comments

- Did you select a facility/location that does not share the same risk factors as your primary facility/location?       Yes       No
  
- Did you consider using existing infrastructures, telecommuting centers, virtual environments, or joint or shared space?       Yes       No
  
- Does the facility/location have the ability to be operational within 12 hours after activation?       Yes       No
  
- Can the facility/location support sustained operations for 30 days or longer?       Yes       No
  
- Do you have reliable logistical support, services and infrastructure system, including water, electric power, heating, and air conditioning, etc.?       Yes       No
  
- Do you have access to essential resources, such as food, water, fuel, and medical facilities?       Yes       No
  
- Have you identified backup power to the facility/location?       Yes       No
  
- Do you have access to office and housekeeping supplies?       Yes       No
  
- Have you thought about your transportation and parking requirements?       Yes       No
  
- Does the facility/location meet your equipment and furniture requirements?       Yes       No
  
- Do you have a requirement for secure storage containers?       Yes       No
  
- Do you need security personnel to provide perimeter access control and internal security functions?       Yes       No
  
- If you decide to co-locate with another agency did you establish a memorandum of agreement (MOA)/memorandum of understanding (MOU) with the owner?       Yes       No
  
- Do you have the authority to procure your own space?       Yes       No
  
- Will you require another agency to assist you in the selection and acquisition process?       Yes       No

MOU will be signed if Alternate site is unavailable.

## **ANNEX C: IMPLEMENTATION CHECKLISTS**

Annex C forms are to be completed upon COOP activation and implementation.

### **DRIVE-AWAY KITS CHECKLIST**

<b>Item</b>	
Communications Equipment	<input type="checkbox"/>
Computer Equipment	<input type="checkbox"/>
State/local Statutes and Executive Orders	<input type="checkbox"/>
COOP Checklists	<input type="checkbox"/>
Contact Lists	<input type="checkbox"/>
Memoranda of Agreement	<input type="checkbox"/>
Vendor Numbers/ Contract Numbers	<input type="checkbox"/>
Maps to Alternate Facility	<input type="checkbox"/>
Add department-specific items as necessary	<input type="checkbox"/>

**COOP IMPLEMENTATION CHECKLIST**

- 1.) Has the executive decision been made to activate the Department Continuity of Operations Plan (COOP)?  Yes  No
- 2.) Have you evaluated your operation and determined if you need to activate your alternate facility/location?  Yes  No
- 3.) Have you evaluated your operation and determined if you need to contact your staff or request additional staff from another department?  Yes  No
- 4.) Is the alternate facility/location prepared for your relocation, including security measures?  Yes  No
- 5.) Have you notified:
  - Alabama Emergency Management Agency?  Yes  No
  - Point of contact at the alternate facility/location?  Yes  No
  - Key COOP staff?  Yes  No
  - Additional appropriate staff?  Yes  No
  - Other State departments, as appropriate?  Yes  No
  - Other external organizations, as appropriate?  Yes  No
  - Critical customers?  Yes  No
- 6.) Have you deployed Key COOP and contingency staff to the alternate facility/location?  Yes  No
- 7.) Have you transported the following to the alternate facility/location:
  - Vital records and files  Yes  No
  - Supporting communications  Yes  No
  - Information Technology hardware and software, as appropriate?  Yes  No
  - Other necessary equipment?  Yes  No
- 8.) Have you transferred the performance of essential functions or activities to the alternate facility/location?  Yes  No
- 9.) Have you secured the primary facility/location, including any equipment or vital records left behind?  Yes  No

**RECONSTITUTION CHECKLIST**

- 1.) Has the executive decision been made to return to the primary facility/location?  Yes  No
- 2.) Is the primary facility/location, or other temporary or permanent facility/location, prepared for your return, including security measures, water, electric power, heating, and air conditioning, etc.?  
 Yes  No
- 3.) Have you notified:
- Alabama Emergency Management Agency?  Yes  No
  - Alternate Facility/Location Point of Contact?  Yes  No
  - Key COOP staff?  Yes  No
  - Contingency staff and other departmental staff?  Yes  No
  - Other County departments, as appropriate?  Yes  No
  - Other external organizations, as appropriate?  Yes  No
  - Critical customers?  Yes  No
- 4.) Have you provided instructions for resumption of normal functions?  Yes  No
- 5.) Have you transported the following back to the primary facility/location:
- Vital records and databases  Yes  No
  - Supporting communications  Yes  No
  - Information Technology framework, as appropriate?  Yes  No
  - Other necessary equipment?  Yes  No
- 6.) Have you transferred the performance of essential functions or activities back to the primary facility/location?  Yes  No
- 7.) Have you secured the alternate facility/location or worked with the point of contact to secure the alternate facility/location?  Yes  No
- 8.) Have you conducted an after-action review to assess the performance of the essential functions at the alternate facility/location and prepared a remedial action plan to correct any areas of concern?  Yes  No



## **ANNEX D: ALTERNATE FACILITY/LOCATION TRANSPORTATION INFORMATION**

### **ALTERNATE FACILITY/LOCATION #1**

**Montgomery County DHR (MCDHR)**

3030 Mobile Highway

Montgomery

334.293.3100

**Sharonda M. Pettaway, Director**

Office: 334.293.3450

MCDHR On-call Supervisor Cell: 334.850.2801



## Route from Primary to Alternate facility/location

Link:

<https://maps.google.com/maps?q=3030+Mobile+Highway,Montgomery,AL,36108&hl=en&ie=UTF8&hq=&hnear=3030+Mobile+Hwy,+Montgomery,+Alabama+36108&ll=32.349295,-86.335223&spn=0.011221,0.013733&t=m&z=16&vpsrc=0&iwloc=A>

From: 50 N Ripley St, Montgomery, AL 36130-1001 (ADHR/Gordon Persons Building)  
 To: 3030 Mobile Hwy, Montgomery, AL 36108-4027 (Montgomery County DHR)

### DRIVING DIRECTIONS

-----  
 A) 50 N Ripley St, Montgomery, AL 36130-1001 US  
 -----

1. Start out going south on N Ripley St toward King St. (Go 0.42 miles)
2. Turn right onto High St.
  - High St is 0.1 miles past Alabama St
  - St Paul United Methodist Church is on the corner
  - If you reach Grove St you've gone about 0.1 miles too far
 (Go 0.63 miles)
3. Turn left onto S Court St. (Go 0.25 miles)
4. Merge onto I-85 S/Martin Luther King Jr. Expressway.
  - If you reach Arba St you've gone a little too far
 (Go 0.74 miles)
5. Merge onto I-65 S/US-82 E/AL-6 E via the exit on the left toward Mobile. (Go 0.89 miles)
6. Take the Fairview Ave exit, EXIT 170. (Go 0.21 miles)
7. Keep right at the fork to go on W Fairview Ave. (Go 0.96 miles)
8. Turn slight left onto Mobile Hwy. /Selma-Mobile Hwy.
  - Mobile Hwy is just past Fairwest Pl
 (Go 0.04 miles)
9. 3030 MOBILE HWY is on the right.
  - If you reach Fairwest Street, you have gone a little too far
 (Go 0 miles)

-----  
 B) 3030 Mobile Hwy, Montgomery, AL 36108-4027 US  
 -----

>> TOTAL ESTIMATED TIME: 8 minutes | DISTANCE: 4.15 miles

Modes of Transportation Near Primary Facility/Location	
Type	Direction to Facility/Location
Bus	Operated by City of Montgomery/Adjacent to MCDHR property
Rail	Adjacent to MCDHR Property

## **ANNEX E: PANDEMIC WORKBOOK**

### **Pandemic Workbook**

#### **I. Summary**

A pandemic is a global outbreak of disease that occurs when an infectious agent emerges in the human population, causes serious illness, and then spreads easily from person to person worldwide. The most probable pandemic that could threaten the State of Alabama is an influenza pandemic that would occur when a new *influenza A* virus emerges in the human population. Widespread illness throughout the state poses not only severe health risks; it is a major threat to the human infrastructure staffing critical facilities and can have severe economic and social consequences. The timeframe for a pandemic outbreak could range from several months to more than a year. The virus will come in waves with each wave lasting between six and eight weeks.

Continuity of operations for a pandemic influenza is different than preparations for a time-specific event: there is no definitive beginning and end, it is somewhat predictable, more people will potentially be affected over a larger area, and there will be no damage to physical infrastructure.

Devolution, the capability to transfer authority and responsibility for essential functions from a department's primary operating staff to other employees and to sustain that operational capability for an extended period, is particularly critical in the event of a pandemic.

This annex focuses on the following topics;

- Reassessment of essential services and service prioritization
- Assessment of telecommuting capabilities
- Projected 30% reduction in staffing levels
- Social distancing techniques and capabilities

These are only four of several critical components to Continuity of Operations Planning for an event like pandemic influenza. They were chosen because of their importance, the need for evaluation by individual departments, and their applicability to other events that would result in high levels of prolonged absenteeism.

The procurement of personal protective equipment (PPE), flexibility in leave policy, and recovery issues will be addressed in future planning efforts at the Operational Area level.

#### **II. Assumptions**

- Projected 30% reduction in staff across all levels
- Duration of 18 months with 6-8 week "waves" of illness

**III. Reassessment of essential services and service prioritization**

An assessment of the DHR’s essential functions was conducted to identify services which would likely increase or decrease in demand in the event of widespread infectious disease. Additionally, the Department evaluated the essential functions considering an 18-month timeline (as opposed to 30 days). Table E-1 provides the results of this evaluation.

**INSTRUCTIONS:** Insert Essential Functions from Table 2 (Section V, A) and provide the requested information.

Table E-1 Pandemic Essential Functions Sorted by Priority

Essential Functions	Increase or Decrease	Percent Increase/Decrease (estimated)
Food Assistance	Increase	75%
Family Assistance	Increase	75%
Family Services	Increase	100%
Child Support	Increase	50%
Adult Protective Services	Increase	100%
Child Care Services	Decrease	25%

**IV. Assessment of Telecommuting Capabilities.**

ADHR evaluated the essential functions that could be conducted off site taking current technological capability restrictions into consideration. This assessment included identifying:

- Whether the essential function could be performed by employees telecommuting.
- The number of employees performing essential functions that are fully operational from home (home access to internal servers) with County provided equipment (computer, cell phone, MiFi, etc.) or with their own equipment.

This information is summarized in Table E-2.

Table E-2 Department Essential Functions - Telecommuting

Essential Function*	Amenable to Telecommuting (Y/N)	Number of telecommuting employees needed	Number of employees currently equipped	Number of employees requiring equipment
Food Assistance	Y	TBD*		
Family Assistance	Y			
Family Services	N			
Child Support	Y			
Adult Protective Services	Y			
Child Care Services	Y			

\*TBD – To be determined

ADHR will evaluate the benefit of providing equipment that could be used to allow the completion of essential functions from home or other offsite locations.

**V. Reduction in Staffing Levels.**

Employee absences during a pandemic will result from personal illness, illness of family members, school closures, public transportation closures, etc. Based on an assumption that staff will decrease by 30 % for several weeks at a time over an 18-month period, the Department has identified the following measures necessary to continue to provide essential functions:

- Other departments with staff that could most readily replace DHR staff in performing essential functions include:
  - None
  
- Training activities necessary to create a 3-deep labor pool to perform essential functions include:
  - None

The Department has evaluated each essential function and determined what, if any, component of that function is dependent on external agencies, organizations or departments. The main supplier of the component has been identified and made aware of their role in the delivery of essential services. In the event that the main supplier ceases to operate or reduces their output capacity, two potential alternate suppliers have been identified (but not necessarily contacted). This information is summarized in table E-3.

Table E-3 Department Essential Functions – Reliance on external organizations

Essential Function Component Dependent on External Organizations	Main Supplier	Main Supplier Notified (Y/N)	Alternate Supplier 1	Alternate Supplier 2
All Departmental Functions are dependent upon external organizations				

## **VI. Social Distancing**

As a pandemic influenza spreads just as a normal flu virus spreads, people will be encouraged to take steps to reduce their interaction with others. The Department will modify its operation procedures to increase the physical distance between co-workers and clients.

- Social distancing within the workplace will be promoted to the extent feasible by:
  - Staggering shifts to reduce the amount of time employees share common spaces
  - Rearranging schedules to provide consecutive days off for the incubation time interval of the disease
  - Rearranging furniture to reduce the spread of germs
  - Placing portable hand-sanitizers at entry ways and other locations where equipment and items are touched by many people (e.g. copy machines)
- Consider promoting clientele distancing by developing creative avenues (including barriers as appropriate) to reduce contact with clients while continuing the provision of essential functions.

## **VII. Future Planning Endeavors**

The procurement of personal protective equipment (PPE), flexibility in leave policy, and recovery issues are all critical components to Continuity of Operations Planning. These issues are being addressed in future planning efforts at the Operational Area level and the Department will update this Annex in the future based on guidance from this agency's planning effort.

**ADPH is the lead agency in Alabama for information concerning serious health emergencies:**

<http://alabamapublichealth.gov/pandemicflu/index.html>

## **ANNEX F: DEFINITIONS AND ACRONYMS**

**ACD** – (Automated Call Distributor) a system that can recognize, answer, and route incoming calls automatically.

**After-Action Report (AAR)** – a narrative report that presents issues found during an incident or exercise, along with recommendations on how those issues can be resolved.

**Alternate Facility/Location** – an alternate work site that provides the capability to perform minimum essential departmental functions until normal operations can be resumed.

**Alternate Facility/Location Point(s) of Contact** – the individual(s) responsible for the alternate facility/location during periods of normalcy and who, upon activation of the COOP, may be required to take action to ensure that the alternate facility/location is prepared for occupancy by the Key COOP staff.

**Catastrophic Event** – an emergency event that renders a department’s primary facility/location unusable for a sustained period of up to or exceeding 30 days.

**Contingency Staff** – the personnel of the Department designated to report to the alternate facility/location during COOP implementation to ensure that the Department is able to perform its essential functions.

**Continuity of Operations Plan (COOP)** – an internal effort within individual components of a government to ensure that the capability exists to continue essential component functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies.

**COOP Activation** – the executive decision by the ADHR Commissioner (or the designee) to initiate the continuity process.

**COOP Implementation** – the process and procedures conducted by the Department(s) to ensure the continuance of essential functions.

**Critical Customers** – organizations or individuals for which the County or one of its departments performs mission-essential functions.

**Critical Time** – the amount of time a particular function can be suspended before it adversely affects the Department’s core mission.

**Delegated Authority** – an official mandate calling on the individual holding a specific position to assume responsibilities and authorities not normally associated with that position when specified conditions are met.

**Department** – a subsection of State government.

**Drive-away Kit** – an easily transportable package of materials, technology, and vital records that can be taken by personnel departing for the alternate facility to ensure their ability to establish and maintain essential operations.

**Emergency** – a sudden, usually unexpected event that does or could do harm to people, resources, property, or the environment. Emergencies range from localized events that affect a single office in a building, to human, natural, or technological events that damage, or threaten to damage, local operations. An emergency can cause the temporary evacuation of personnel or the



permanent displacement of personnel and equipment from the location to a new operating location environment.

**Essential Functions** – those functions, stated or implied, that departments are required to perform by statute, executive order, or State policy and are necessary to provide vital services, exercise civil authority, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency.

**Functional Exercise** – a fully simulated interactive exercise performed in real time that tests the capability of an organization to respond to a simulated event without actually moving people and equipment to an actual site.

**Interoperable Communications** – alternate communications that provide the capability to perform minimum departmental essential functions, in conjunction with other agencies, until normal operations can be resumed.

**IVR** – (Interactive Voice Response) a computerized system that allows a caller to select an option from a voice menu and interface with a computer system.

**Key COOP Staff** – staff of the Department necessary for the performance of the Department’s essential functions.

**Mitigation** – any sustained action taken to reduce or eliminate the long-term risk to life and property from a hazard event.

**Order of Succession** – the order in which and conditions under which the responsibilities and authorities of a public official are passed to another official when the original holder of the responsibilities and authorities is unable or unavailable to exercise them.

**Plan Maintenance** – steps taken to ensure the COOP is reviewed regularly and updated whenever major changes occur.

**Primary Facility/Location** – the site of normal, day-to-day operations; the location where the employee usually goes to work.

**Reconstitution** – the resumption of non-emergency operations at a primary facility/location following emergency operations at an alternate facility/location.

**Table Top Exercise** – a round table, open forum type of discussion in which an emergency situation is presented to the participants. A series of questions is offered for consideration by the participants. Individual emergency response plans from communities and industrial operators are used in a discussion on how to best deal with the fictional emergency situation.

**Termination** – actions taken to end operations at an alternate facility/location and prepare for returning to non-emergency operations at a primary facility/location.

**Vital Records and Databases** – data information, in hard copy or electronic format, necessary to maintain the continuity of operations during an emergency, to recover full operations following an emergency, and to protect the legal rights and interests of citizens and the government.

**Weapon of Mass Destruction** – (1) any explosive, incendiary, poison gas, bomb, grenade, or rocket having a propellant charge of more than four ounces; a missile having an explosive or incendiary charge of more than one-quarter ounce; or a mine or device similar to the above; (2)

poison gas; (3) any weapon involving a disease organism; (4) any weapon designed to release radiation at a level dangerous to human life.

## ANNEX G: SUPPORTING DEPARTMENTAL DOCUMENT (INCLUDING MOA/MOU)

Analysis of Record Keeping System and Records Appraisal of the Alabama Department of Human Resources

### Agency Record Keeping System

The Alabama Department of Human Resources currently operates a hybrid record keeping system composed of paper-based, computer, and micrographics systems.

#### Computer Systems:

The Department's **Information Services Division (ISD)** applies and maintains the processing infrastructure, i.e., communications, desktop systems, software, mainframe systems, for the operation of the central office and county offices. A Wide Area Network (WAN) electronically connects all county offices and the central office, as well as other significant Department of Human Resources stakeholders. The WAN consists of approximately 260 servers running in a Windows Server (2008 R2/2012 R2/2016) environment which is used for providing various functions such as file and print sharing, software distribution and access to shared production systems/applications.

Most of the production systems reside **on the IBM mainframe computer in Raleigh, North Carolina**. In addition, the department has a contract with a private vendor for mainframe services (located in Albuquerque, New Mexico) for the Child Support Enforcement system. The department's electronic record keeping systems have been developed using database and technology tools designed for the mainframe, client/server, and PC environments. Most of the mainframe application systems are written in COBOL, CICS, and EASYTRIEVE PLUS utilizing DB2 and VSAM databases. Other production systems that reside on client/server, PC and web environments are written in .Net, C#, POWERBUILDER, SQL SERVER, VISUAL BASIC, ACCESS, and PARADOX.

The department has five major electronic record keeping and tracking systems: (1) **Alabama Location Enforcement and Collection System**: a child support enforcement system that handles all child support collections/distributions and information with other state systems. The system is run on a mainframe in Albuquerque, New Mexico; however, ISD maintains an onsite production staff that coordinates the operation/maintenance of the system and its connection to the state mainframe. The system utilizes COBOL, TELON, CICS, FORECROSS, and VISUAL BASIC in its programs and VSAM and DB2 for the databases. (2) **Family, Adult and Child Tracking System (FACTS)**: a family service client/server application that provides a comprehensive system designed to simplify the process of building case files and provide integrated program information quickly and accurately. The system uses .Net as its underlying framework, C# as its programming language, and DB2 as its database. (3) **Family Assistance Comprehensive Employment and Training System (FACETS)**: a legacy family assistance system that administers and manages the issuance of financial assistance for qualified Alabama families through **Electronic Benefits Transfer (EBT)** as well as supports all required federal reporting for the program. In addition the system is utilized to support and track employment and training activities throughout the state. The system is written in COBOL and uses DB2 as its database on the state

mainframe. (4) **State/County Integrated System for Certification and Issuance (SCI-II):** another legacy food assistance system that issues food stamp benefits to qualified applicants through EBT (Electronic Benefit Transfer). The system is written in COBOL and CICS and uses VSAM as its database on the state mainframe. (5) **Child Care Management System:** a child day care application that is used by six child care management agencies in nine regions to administer child care subsidies under the supervision of the department. The system also has a licensing module which maintains licensing and exemption details for centers in the state. It was developed using ORACLE Forms and uses ORACLE as its database.

**Adult Protective Services also relies on the FACTS (Family, Adult and Child Tracking System)** for caseload management as well as billing of Targeted Case Management encounters to Medicaid. **FACTS**, a social services information system, implemented in 2009, manages all case activities including payment of service providers.

Some other systems include: **Child Support Correspondence Tracking (CSCT)** – a paradox application that tracks all correspondence that comes into the Child Support Program Office and all follow-up actions; **Comprehensive Claims System (CCS)** – a mainframe system that identifies and initiates collection of, and tracks over issuance of payments or benefits to clients; **Income and Eligibility Verification System (IEVS)** – a mainframe system that provides departmental logon system security, outside information exchanges with other agencies, safeguards to prevent duplicate program participation, and investigation tracking; **Temporary Aid to Needy Families Quarterly Reporting System (TANFQ)** – a mainframe reporting system that collects information from several DHR systems for the federal TANF quarterly reports; **Administrative Hear Record Review System (AHRR)** – a system used by staff to track reports of child abuse which will be reviewed jointly by the staff of the central office and county office; **CASELOAD** – a system that tracks the county workers' caseloads by capturing case numbers and case types for each worker; **Wishlist** – a system that records holiday gift wishes of foster children in participating counties for the Southern Company; and **Help Desk System (HD)** – an automated call tracking system. **Micrographics:** The department microfilms case files of family services on 16 millimeter microfilm and microfilms are processed by the Department of Labor.

**OACIS (On-line application and case information system)** is a web-based system that serves as a front-end to SCI-II. It is written in .Net and the data is stored in a SQL server database. It provides workers with a guided, online interview in which the system handles calculations, computations, value lists, etc. OACIS enables the worker to collect the information needed for determination of eligibility. It then sends the information to SCI-II. **ADDI:** (Alabama DHR Document Imaging) is a web based system that is used to store documentation to support food assistance cases and services in OACIS. The application is written in .Net and data is stored in a SQL server database.

Two major categories of records created and/or maintained by the Department of Human Resources:

- Temporary Records
- Permanent Records.

## **I. Temporary Records**

Temporary Records should be held for what is considered to be their active life and disposed of once all their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Department of Human Resources are discussed below:

### **Administering Children's Welfare Services:**

#### **Non-DHR Adoption Files**

These files contain legal documents regarding adoption.

#### **Adoption State Ward Files with No Placement**

These files maintain information such as the history of the child, the biological parents, the possible adoptive parents, and the reasons the adoption did not take place. According to the Code of Alabama, 1975 Section 26-10A-31(e), adoption records must be maintained for at least 75 years after the case is closed.

#### **Child Foster Home Resource Files (Provider Files–Clients Placed)**

This series consists of files documenting the approved foster homes and the placement of children in those foster homes. Records found in this series may include criminal background checks, medical exam results, training records for foster parents, and summary information on the children placed in the foster home. Both the agency's central office and county offices create and maintain this series. The transaction is completed and documented mainly in the county office while the central office has summarized information and reporting data. The recommended retention, 75 years after the case is closed, ensures that the Department of Human Resources maintains adequate evidence of its actions during the lifetime of the individual placed in foster care.

#### **Child Foster Care Records (Client Files)**

This series is composed of records documenting children who are placed in the custody of the Department of Human Resources. Records found in this series may include court documents, child family history, child medical and mental exam data, and various services provided by the agency staff to the child and his/her birth family. When a child is placed in a foster home or is adopted, the agency staff will forward only summarized information on the child to the Foster Home Resource Files (Provider Files–Clients Placed). For reference purposes, the agency maintains this series for the same length of time as the Foster Home Resource Files (Provider Files–Clients Placed).

#### **Child Protective Service (CPS) Case Files**

DHR staff members assess overall family functioning to determine if a child needs ongoing protective services to prevent maltreatment. Documentation of this assessment needs to be maintained 25 years after the case is closed.

#### **Child Abuse and Neglect Files**

The Department of Human Resources creates files on reported incidents of child abuse and/or neglect. Because these files serve as documentation of the agency's actions in regards to the child, the department needs to maintain these records for 75 years after the case is closed, that is the average life span of the abused individual.

### **Adult Protective Services Files**

Files (temporary records) containing Reports of Adults Suspected to be Abused, Neglected, or Exploited, and subsequent investigations are to be retained for 5 years. Adult Protective Service Files (Client Files) must be retained for 5 years if the client is deceased. If the client no longer needs services the record must be retained for 10 years.

### **Regulating Child/Adult Care Facilities:**

#### **Rosters of Exempted Churches**

If churches meet the definition of a local church ministry or a religious nonprofit elementary school, their preschool programs are not required to obtain licenses from the Department of Human Resources. The roster, which contains a listing of exempted churches with addresses and names of the directors, should be maintained for 3 years for administrative reference.

#### **Adult Foster Home Provider Files**

Files of providers who have kept foster clients but no longer do so must be retained for 10 years. Files of approved providers who had no clients placed must be retained for 5 years.

### **Administering Internal Operations:**

#### **Providing Legal Services:**

#### **Bankruptcy Case Files**

When a client receiving public assistance or food stamps declares bankruptcy, the Department of Human Resources creates a file to monitor that individual. The case files need to be maintained 10 years to meet the requirement of the Bankruptcy Reform Act of 1994.

## **II. Permanent Records**

The Government Records Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

#### **Meeting Minutes of the State Board of Human Resources**

The governor, who serves as chair of the Board of Human Resources, calls meetings as needed. The meeting minutes, which document board decisions on the appointment of a commissioner of human resources; creation of rules/regulations of the agency; the approval of the agency's annual budget, and other program related activities, should be maintained permanently. (RDA pg. 3-2-1) (Bibliographic Title: Meeting Minutes)

#### **State Plans of Operations**

As a recipient of federal fund, DHR is required to develop state plan, which may include federal/state agreements, program activity statements, disaster recovery plans, employment plans, and training plans. This series provides information on the nature and extent of the problems,

areas of need, current efforts, planned efforts, and available funding. (RDA pg. 3-2-1)  
(Bibliographic Title: State Plans)

### **Policies and Procedures**

The State Board of Human Resources creates and issues policies and procedures to address the overall functioning and daily operations of the agency and its county offices. This series may include the Administrative Policies and Procedures of the Department of Human Resources, Rules and Regulations for the Operation of County Boards of Human Resources, and other related program procedures. These records provide key documentation of departmental policy and should be maintained permanently. (RDA pg. 3-21) (Bibliographic Title: State Publications)

### **Administering Adult Protective Services**

Permanent records providing summary documentation of this sub-function are found in the agency's annual report as described in the Administering Internal Operations sub-function.

### **Administering Children's Welfare Services Adoption Files**

Adoption files contain extensive documentation on the adoptive parents, the child, and the biological parents. Although Code of Alabama, Section 26-10A-31 (f) restricts access to these records, adoption records should be maintained permanently in the agency's office as a way for the child and possibly future descendants to trace family history. After the court issues the adoption order, county offices are supposed to forward original copies of pleadings, summary sheets, and all other adoption related documents to the agency's central office for preservation. The recommended permanent retention would ensure that information pertaining to adoption is maintained permanently, either at the agency's central office or county offices. The same consideration is also used in justifying the retention recommendation for both of the Interstate Compact Placement of Children Files and the Independent Adoption Records. (RDA Pg. 3-4-1)

### **Interstate Compact Placement of Children Files**

This series consists of adoption records for out-of-state guardians. It contains extensive documentation on the adoptive parents, the child, and the biological parents. Although the law restricts access to these records by others, adoption records should be maintained permanently in the agency's office as a way for the child and possibly future descendants to trace family history. (RDA Pg. 3-4-1)

### **Independent Adoption Records**

Adoption may be facilitated independent of the state, for example, by a doctor or church. In these cases, the state still maintains the adoption records, which have historical importance, especially to the adoptee or possibly a descendant. (RDA pg. 3-4-1)

Enforcing Child Support Permanent records providing summary documentation of this sub-function are found in the department's annual reports as described in the Administering Internal Operations sub-function.

### **Administering Food Assistance Program**

Permanent records providing summary documentation of this sub-function are found in the department's annual reports as described in the Administering Internal Operations sub-function.

Providing Family Assistance Permanent records providing summary documentation of this sub-function are found in the department's annual reports as described in the Administering Internal Operations sub-function.

### **Regulating Child/Adult Care Facilities**

Permanent records providing summary documentation of this sub-function are found in the department's annual reports as described in the Administering Internal Operations sub-function.

### **Ensuring Quality Control & Program Integrity Quality Assurance Review Files:**

#### **Case Review Write-ups, Rating Sheets, and Demographic Data**

Staff members of the agency's Quality Assurance Committee, at both the state and county levels, conduct (or may conduct) quality assurance review activities related to the delivery of certain services. Central to these review activities is the qualitative case reviews whereby persons involved with a child or a family are interviewed and the information documented. Types of records created may include rating sheets, case review write-ups, demographic data, and completed case review protocols. The completed protocol (procedural instrument, forms, and any review notes, etc.) is to be kept for reference for three years. The case review write-ups, rating sheets, and demographic data should be maintained permanently as a complete documentation of DHR's efforts in protecting the integrity of its programs. (RDA page 3-9-1) (Bibliographic Title: Quality Assurance Review Files)

#### **Overseeing Field Administration and Training**

Permanent records providing summary documentation of this sub-function are found in the department's annual reports as described in the Administering Internal Operations sub-function.

### **Administering Internal Operations**

#### **Administrative Files of the State Commissioner of Human Resources**

The series which, although mainly consist of correspondence of the human resources commissioner, also contains various other records documenting the activities of the agency. Typical records in these files include memoranda, reports, agency publications, and other materials concerning agency policy, procedures, organization, programs and fiscal or personnel matters. These files should be maintained permanently to document the role of the commissioner. (RDA page 3-11-1) (Bibliographic Title: Administrative Files)

#### **Website**

The department maintains a website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov). Information on the website includes, but is not limited to, frequently asked questions, statistics, division and county contact information, description of programs/services, and website links. The agency needs to preserve a complete copy of its website annually or as often as significant changes are made. (RDA pg. 3-11-1) (Bibliographic Title: Website)

#### **News Releases**

The department may release statements or announcements to the news media and the public for distribution. Included may be copies of news releases, published articles, and other reference material and typescripts to broadcast announcements. (RDA pg. 3-11-1) (Bibliographic Title: State Publications)



## **Photographs**

This series consists of pictures taken of the Commissioner, State DHR Board, and/or other important meetings and events held by the Department. These images, which are used in various news releases and publicity campaigns, should be labeled with the name of individuals, location/event, and date for permanent preservation. (RDA pg. 3-11-1) (Bibliographic Title: Photographs)

## **Audio-Visual Presentations**

The agency creates and maintains audio-visual presentations to be used for promoting departmental programs/services, training contract providers or employees, and other related activities. This series should be preserved permanently for documentation purpose. (RDA pg. 3-11-1) (Bibliographic Title: Audio-Visual Presentations)

## **Speeches of the State Commissioner of Human Resources**

In the performance of his/her duties, the Commissioner of the Alabama Department of Human Resources may issue public statements and give speeches designed, among other things, to promote departmental activities and programs. This series may consist of statements prepared by the Commissioner for delivery at meetings, interviews, conventions, or other public functions. These records should be retained permanently as evidence of the image being portrayed to the public. (RDA pg. 3-11-1) (Bibliographic Title: Speeches)

## **Publicity/Informational Materials**

The department produces various pamphlets, brochures, and booklets, which may be directed to its staff, constituents, or the general public. This series should be maintained permanently to document the promotional efforts of the department (RDA pg. 3-11-1) (Bibliographic Title: State Publications) Annual Reports. Types of information in the annual report include special events, budget and statistical data, and a summary of operations within each division/program. These reports are a concentrated source of information on the agency and should be maintained permanently (RDA pg. 3-11-2) (Bibliographic Title: State Publications).

## **Legal Litigation Case Files Relating to the Termination of Parental Rights and Child Custody Appeals**

The department seeks to provide for the safety and self-sufficiency of vulnerable Alabamians. When in court, lawyers for the state, who may litigate on sensitive issues such as parental rights or child custody, need to reference antecedent case files to establish a basis of argument and precedent; thus, the Department of Human Resources maintains legal litigation files relating to the termination of parental rights and child custody appeals permanently in its office. (RDA pg. 3-11-4)

## **Legal Litigation Case Files Relating to Landmark Cases That Have Important Historical Value or Long-Term Impact**

This series contains files of landmark cases that may have historical value or long-term impact on the state's social welfare system. For example, in 1988 there was a lawsuit regarding the treatment of an eight-year-old foster child who was, at that time, in the care of DHR. To settle this lawsuit, the plaintiffs and the state entered into a consent decree in 1991. In 1992, DHR began a massive long-term overhaul of its services for children. Known as the R.C. consent decree, the

decade-old case related documents should be preserved for their historical value. (RDA pg. 3-11-4) (Bibliographic Title: Legal Case Files) Grant Project Final Reports. The federal government funds much of the Department of Human Resources' primary operations. Final narrative reports should be maintained permanently as documentation of the department's fulfillment of obligations to the federal government in receiving funding. (RDA pg. 3-11-5) (Bibliographic Title: Federal Grant Final Reports) # Original bid records maintained in the purchasing office of the Department of Human Resources for contracts over \$7500. The Code of Alabama 1975, Section 41-16-24 requires that "all original bids together with all documents pertaining to the award of the contract shall be retained and made a part of the permanent file or records and shall be open to public inspection." These files should be maintained in the agency's office. (RDA pg. 311-5) Inventory Lists. The Code of Alabama 1975, Section 36-16-8[1] requires that "the head of each department or agency of the state shall designate one of its employees as property manager for the department or agency. Except for books, the property manager shall make a full and complete inventory of all non-consumable personal property and certain other items of personal property deemed important or sensitive enough by the Property Inventory Control Division to be included in the inventory of state property of the value of five hundred dollars or more owned by the state and used or acquired by the department or agency. The inventory shall show the complete description, manufacturer's serial number, cost price, date of purchase, location, and custodial agency, responsible officer, or employee, and the state property control marking . . . All property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts." These files need to be maintained in the agency's office. (RDA pg. 3-11-9)

### **Meeting Minutes of County Board of Human Resources**

Each county's board meeting minutes document board decisions on program operations at the county level. They should be preserved by each county office as permanent documentation. (RDA pg. 3-11-10)

### **Permanent Records Lists**

#### State Department of Human Resources Promulgating Rules and Regulations

1. Meeting Minutes of the State Board of Human Resources
2. State Plans of Operations
3. Policies and Procedures

#### Administering Children's Welfare Services

1. Adoption Files\*
2. Interstate Compact Placement of Children Files\*
3. Independent Adoption Records\*
4. Case Review Write-ups and Rating Sheets for Adoption Files with Placement\*

#### Ensuring Quality Control and Program Integrity

1. Quality Assurance Review Files: Case Review Write-ups, Rating Sheets, and

#### Demographic Data

## Administering Internal Operations

1. Administrative Files of the State Commissioner of Human Resources
2. Website
3. Photographs
4. Audio-Visual Presentations
5. Speeches of the State Commissioner of Human Resources
6. News Releases
7. Publicity/Informational Materials
8. Annual Reports
9. Legal Litigation Case Files Relating to the Termination of Parental Rights, Child Custody Appeals\*
10. Legal Litigation Case Files Relating to Landmark Cases That Have Important Historical Value or Long-Term Impact
11. Grant Project Final Reports
12. Original Bid Records\*
13. Meeting Minutes of County Board of Human Resources\*
14. Inventory Lists\*

\*Indicates that Alabama Department of Archives and History (ADAH) anticipates records will remain in the care and custody of the creating agency. ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

## **ISD and Mainframe Disaster Recovery**

The Office of Information Technology (OIT) has established a remote Disaster Recovery (DR) site for the production mainframe at Research Triangle Park in Raleigh, North Carolina. ADHR has enhanced its Mainframe DR support services with the latest designs and enhancements that now include a dedicated OIT Disaster Recovery IBM 2964, Model NE1, IBM Disk Storage System 2831/FFH30 and IBM VTS 3957/H0501. All agencies utilizing the OIT production mainframe at Research Triangle Park in Raleigh, North Carolina has access to the mainframe DR services. The mainframe DR services are currently supported via mainframe, Disk storage and VTAPE storage at the remote site in Sterling Forest, New York.

The hardware at the production site in Raleigh, North Carolina is as follows:

IBM z13 Model 798E7 Mainframe Processor

2 – General Central Processors

1 – General Central Processor reserved

3 – Logical ZIIP engines

1– IBM DS8886 BKK20 Disk Storage System

1- IBM TS7760 H0570, H0606 Virtual Tape System

The hardware at the remote DR in Sterling Forest, New York is as follows:

Multi-Tenant Mainframe IBM 2964 Model NE 1

1 – Multi-Tenant Disk IBM 2831/FFH30

1 – Multi-Tenant VTS IBM 3957/H0501

When developing the solution to protect OIT's information assets by considering Business Continuity, Disaster Recovery and High Availability. OIT Management agreed the new equipment must have the ability to replicate (synchronously or asynchronously) data to a remote location via global mirroring.

## **ISD DS8886 Backup and Recovery**

### **Global Mirror with Practice.**

The basic assumptions are that there is an LPAR already defined to establish and test the required OIT disaster recovery. Site 1 is OIT production site and Site 2 is the OIT remote site for DR. This is a pictorial representation of replication from the DS8886 located at Research Triangle Park Raleigh, North Carolina to the DR Multi-Tenant Disk IBM 2831/FF30 located at the OIT remote DR site in Sterling Forest, New York. H1 represents the Production, H2 represent the FLASHCOPY for practice, I2 represents global copy, J2 represents a global Mirror. These various collectively represents a global mirror relationship use for replication.

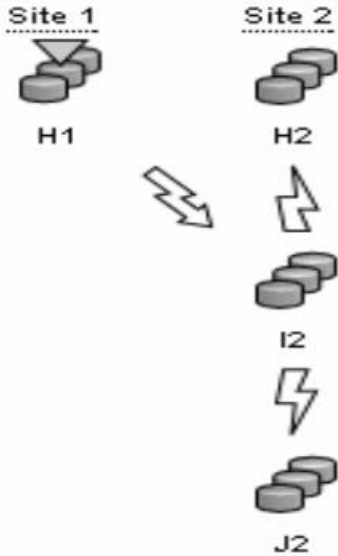
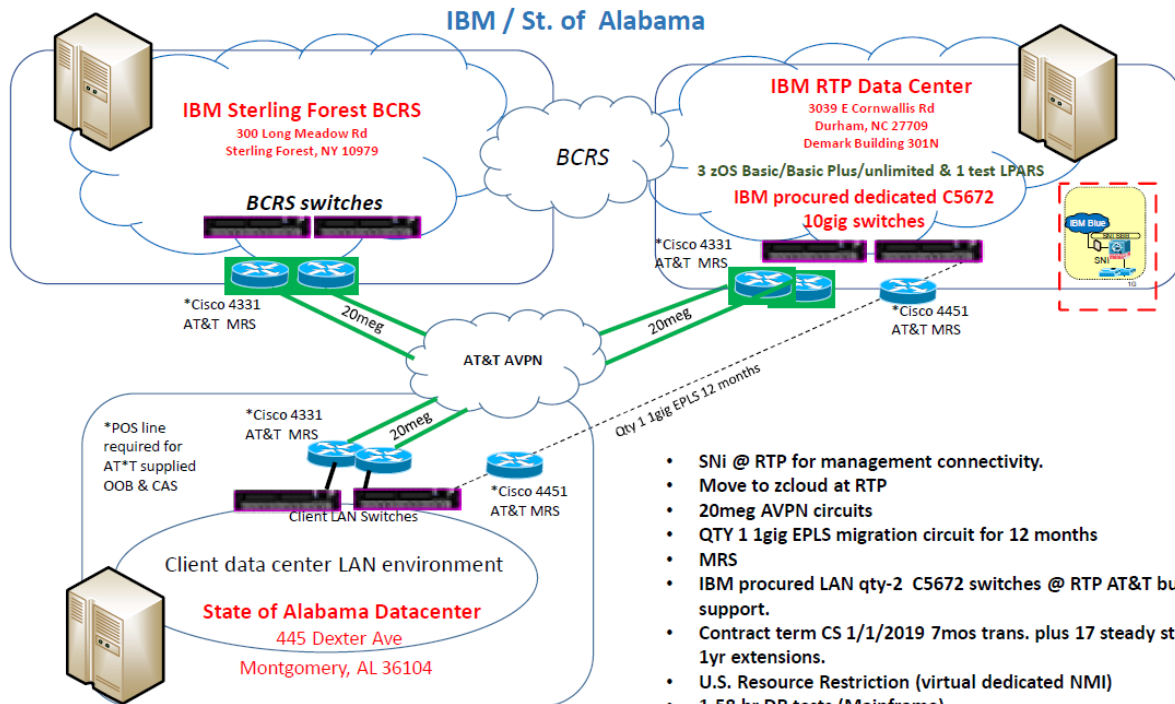


Figure 1

## TS7760 Backup and Recovery

### Disaster Recovery Preparation

The current layout of the OIT TS7760 Virtual Tape System's network. Production Host represents Research Triangle Park in Raleigh, North Carolina and the Disaster Recovery Host represents the DR site in Sterling Forest, New York. This is a pictorial representation of replication from the TS7760 Virtual Tape System located at Research Triangle Park Raleigh, North Carolina to the Multi-Tenant Virtual Tape System 3957/H0501 located at the OIT remote DR site in Sterling Forest, New York. All production data on the TS7760 at OIT production site replicates to the Multi-Tenant Virtual Tape System at the remote DR site.



- SNI @ RTP for management connectivity.
- Move to zcloud at RTP
- 20meg AVPN circuits
- QTY 1 1gig EPLS migration circuit for 12 months
- MRS
- IBM procured LAN qty-2 C5672 switches @ RTP AT&T bundle 2 support.
- Contract term CS 1/1/2019 7mos trans. plus 17 steady state. 2 1yr extensions.
- U.S. Resource Restriction (virtual dedicated NMI)
- 1-58 hr DR tests (Mainframe)
- Ipsec

