

Alabama Dept. of Archives and History

Continuity of Operations Plan

I. Executive Summary. Continuity of Operations planning is the means by which federal and state departments, agencies, and their sub-components ensure their mission-essential functions continue under all circumstances. In the absence of any threat, state agencies must remain constantly alert to guard against the potential for any national emergency, catastrophic emergency, pandemic influenza, or natural disasters that may disrupt normal operations. This plan identifies the Alabama Department of Archives and History's plan of action to ensure Continuity of Operations essential to Alabama Department of Archives and History's function, protection of the State's vital records, and support of the State's overall Continuity of Operations Plan.

II. Introduction. Continuity of Operations (COOP) planning is the means by which federal and state departments, agencies, and their sub-components ensure their mission-essential functions continue under all circumstances. This COOP for the Alabama Department of Archives and History's (ADAH) is established per the Office of the Governor letter, dated April 10, 2009 (see section V, Authorities and References). Continuity of Operations in support of Alabama's State Government is essential to our State Constitution. Our mission to preserve Alabama's historical records and artifacts is a very important part of the functioning of government. The Archives' mission includes advising state and local government agencies on the protection of records vital to the operation of Alabama's government as well as helping develop disaster recovery plans for records maintained by their departments.

In the absence of any threat, state agencies must remain constantly alert to guard against the potential for any national emergency, catastrophic emergency, pandemic influenza, or natural disasters that may disrupt normal operations. The continuity implementation process for the ADAH follows four phases—readiness and preparedness, activation, continuity of operations, and reconstitution. This plan outlines the actions ADAH is expected to take in support of the State's overall COOP. Examples of emergencies include:

A. National / Catastrophic Emergency. An incident, which affects a geographic region with a cluster of State operations, e.g. the Capitol Complex. This scenario assumes the disruption of operations to a number of state agencies, leading to a massive and widespread displacement of the workforce and a disruption to multiple interdependencies between and among state agencies, as well as those with customers and critical suppliers. Disruption of normal business operations is assumed to be for an extended period of time. **See attached Operational Checklist for further guidance.**

B. Pandemic Influenza. A pandemic-related disruption of the workforce that is indiscriminate as far as impact and that infrastructure is affected only to the extent that systems require maintenance and/or operation by a severely depleted workforce. Operations from an alternate (continuity) location will probably not be required for ADAH. One option includes closing the Archives to the public for the duration of the emergency, while able-bodied Staff members maintain the safety and security of the Archives' historical assets. **See attached Operational Checklist and Pandemic Influenza Planning Assumptions for further guidance.** A pandemic event will most likely last for 12-18 months with as many as three waves of new infections lasting 4-6

Alabama Dept. of Archives and History Continuity of Operations Plan

weeks each. Continuous essential function evaluation may be required. For instance, a function that may not be critical the first 3 months will become critical the 4th month.

To ensure protection of Alabama's records, personnel assigned to ADAH need to keep informed of national and international events that could impact its support for Continuity of Operations for the State of Alabama. The Archives' Security Manager will maintain liaison with the Alabama offices of Homeland Security, Emergency Management Agency, Department of Public Safety, and State Capitol Police to ensure support for this important tasking.

III. Purpose. This procedure identifies the Alabama Department of Archives and History's plan of action to ensure Continuity of Operations essential to ADAH function and protection of the State's vital records.

A. Clearly and succinctly define the roles, responsibilities, resources, and procedures necessary to assure that operations necessary to provide assistance to citizens remain available before, during, and after an emergency.

B. Open and maintain a line of communication/dialog with public and private entities that are functionally-related to the activities and responsibilities of the state.

C. Encourage functionally-related public and private entities to cooperate with government entities so these entities are able to be a central information collection and dissemination liaison agency for their respective functional area.

IV. Applicability and Scope. The provisions of this Continuity of Operations Plan are applicable to the Alabama Department of Archives and History.

V. Authorities and References.

A. Homeland Security Presidential Directive 20/HSP-20, dated May 9, 2007.

B. National Preparedness Guidelines (NPG), dated September 2007.

C. National Response Framework, dated January 2008.

D. Continuity Guidance Circular (CGC 1) for Non-federal Entities, dated January 21, 2009.

E. State of Alabama, Office of the Governor, Preparedness for Pandemic Influenza and all Hazards Emergencies, dated April 10, 2009.

F. Code of Alabama, 1975.

VI. Continuity of Operations Plan Organization.

A. COOP Coordinator. The COOP Coordinator will coordinate the overall activities of the Continuity Planning Team. The responsibilities of the Continuity Coordinator include:

1. Coordinating continuity planning activities with policies, plans, and incentives related to critical infrastructure protection.
2. Leading the creation and coordination of the continuity planning process.
3. Directing and participating in periodic cross-jurisdictional continuity exercises. Coordinating the input of the organization and ensuring those inputs reflect, support, and sustain the continuation of essential functions.
4. Developing and maintaining the continuity plan.
5. Developing and administrating a continuity program budget and submitting funding requests to Senior Leadership.
6. Preparing an annual report summarizing the continuity planning activities of the organization.
7. Serving as an advocate for the continuity plan and program.

8. COOP Coordinator:

a. Steve Wheat
Assistant Director for Administration
334-353-4719
Steve.Wheat@archives.alabama.gov

B. Continuity Planning Team Organization. The Continuity Planning Team coordinates continuity planning and duties for the entire organization. These duties include:

1. Overall continuity coordination for the organization.
2. Guiding and supporting the development of the organization's continuity plan.
3. Coordinating continuity exercises, documenting of post-exercise lessons learned, and conducting periodic evaluations of organizational continuity capabilities.
4. Understanding the role that adjacent jurisdictions and organizations might be expected to play in certain types of emergency conditions and what support those adjacent organizations might provide.

Alabama Dept. of Archives and History
Continuity of Operations Plan

5. Understanding the limits of other jurisdictions continuity resources and support capabilities.

6. Anticipating the point at which adjacent organizational or mutual aid resources will be required.

7. Continuity Planning Team:

a. **Director**, Steve Murray
334-353-4692
Steve.Murray@archives.alabama.gov

b. **Assistant Director, Government Records**, Tracey Berezansky
334-353-4604
Tracey.Berezansky@archives.alabama.gov

c. **Assistant Director, Public Services**, Debbie Pendleton
334-353-4693
Debbie.Pendleton@archives.alabama.gov

d. **Assistant Director for Administration**, Steve Wheat
334-353-4719
Steve.Wheat@archives.alabama.gov

e. **Security & Facilities Manager**, Steve Wheat
334-353-4719
Steve.Wheat@archives.alabama.gov

8. Individual Employees. Each employee is responsible for:

a. Understanding their continuity roles and responsibilities within the organization.

b. Knowing and being committed to their duties in a continuity environment.

c. Understanding and being willing to perform in continuity situations to ensure the organization can continue its essential functions.

d. Ensuring that family members are prepared for and taken care of in an emergency situation.

VII. Concept of Operations.

A. Activation.

1. **Decision Process.** In the event of an impending national emergency, catastrophic event, pandemic influenza, or natural disasters in which major disruptions of public services and infrastructures are expected, the Director or in his absence, the Assistant Director for Administration will implement the ADAH COOP. See attached **Continuity Plan Operational Phases and Implementation** for guidance.

2. Leadership.

a. **Orders of Succession.** It is critical to have a clear line of succession to office established in the event leadership becomes debilitated or incapable of performing its legal and authorized duties, roles, and responsibilities. Orders of succession are an essential part of a continuity plan and should reach to a sufficient depth and have sufficient breadth to ensure that essential functions continue during the course of any emergency. The ADAH order of succession is:

- | | |
|--------------------------|--|
| (1) Key Position: | Director
Steve Murray |
| First Alternate: | Tracey Berezansky, Assistant Director,
Government Records |
| Second Alternate: | Debbie Pendleton, Assistant Director, Public
Services |
| Third Alternate: | Steve Wheat, Assistant Director for
Administration |
| (2) Key Position: | Assistant Director, Government Records
Tracey Berezansky |
| First Alternate: | Dorothy Fouche, Archivist |
| Second Alternate: | Tom Turley, Local Government Records |
| Third Alternate: | VACANT |
| (3) Key Position: | Assistant Director, Public Services
Debbie Pendleton |
| First Alternate: | Bob Bradley, Curator |

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Second Alternate: Mary Jo Scott, Archivist

Third Alternate: **VACANT**

(4) Key Position: Assistant Director for Administration
Steve Wheat

First Alternate: Frankie George, Accountant

Second Alternate: Steve Wheat, Security and Building Manager

Third Alternate: John Hardin, Archivist

(5) Key Position: Accountant
Frankie George

First Alternate: Steve Wheat, Assistant Director for Administration

(6) Key Position: Security and Building Manager
Steve Wheat

First Alternate: Steve Wheat, Assistant Director for Administration

Second Alternate: Rodney Turley, HVAC Technician

Third Alternate: John Hardin, Archivist

(7) Key Position: HVAC Technician
Rodney Turley

First Alternate: Rex Simms

b. Delegation of Authority. To ensure a rapid response to any emergency and to minimize disruptions that require continuity implementation, organizations should pre-delegate the authority to make policy determinations and decisions, at leadership levels and locations, as deemed appropriate. Delegations of authority identify who is authorized to act on behalf of senior leadership or other officials for specified purposes and ensures that designated individuals have the legal authorities to carry out their duties.

Generally, predetermined delegations of authority will take effect when normal channels of direction are disrupted and will terminate when these

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

channels are reestablished. Delegations of authority are an essential part of the COOP and should reach to a sufficient depth and have sufficient breadth to ensure essential functions continue during emergencies. The ADAH delegation of authority is:

- (1) **Key Position:** **Director**
Steve Murray
- (2) **Key Position:** **Assistant Director, Government Records**
Tracey Berezansky
- (3) **Key Position:** **Assistant Director, Public Services**
Debbie Pendleton
- (4) **Key Position:** **Assistant Director for Administration**
Steve Wheat

3. Criteria for Suspending all Functions & Services: All Hazards except Pandemic Influenza.

- a. The decision to suspend all functions and services should be based on the expected duration of the emergency and the extent of the emergency.
- b. Set a threshold for the extent or reach of the emergency (area affected by emergency)
- c. AND/OR
- d. Set a threshold for the expected duration of the emergency

Extent of Emergency	State wide and adjoining states		Check One	X	X			
	Multiple contiguous counties		<input checked="" type="checkbox"/> AND	X	X			
	Countywide			X	X	X	X	X
	50% to 100% of division	21 to 22 staff members	<input type="checkbox"/> OR	X	X	X	X	X
	25 % to 50% of division	10 to 21 staff members			X	X	X	X

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

The mark "X" in a box for each parameter and the selection of the logical connector specifies the criteria for the suspension of all functions and services.	< 1 Week	1 to 2 Weeks	2 Weeks to 30 Days	31 to 180 Days	More than 180 Days
	Expected Duration of the Emergency				

4. Criteria for Suspending all Functions & Services: Pandemic Influenza.

- a. The decision to suspend all functions and services should be based on a combination of time since beginning of a pandemic influenza outbreak and absenteeism rate.
- b. Set a threshold absenteeism rate
- c. AND/OR
- d. Set a threshold time since the beginning of a pandemic outbreak

Absenteeism Rate	50%	21 staff members	Check One	X	X	X	X	X
	40%	16 staff members	<input checked="" type="checkbox"/> AND	X	X	X	X	X
	30%	12 staff members			X	X	X	X
	20%	8 staff members	<input type="checkbox"/> OR				X	X
	10%	4 staff members						X
The mark "X" in a box for each parameter and the selection of the logical connector specifies the criteria for the suspension of all functions and services.				2 Weeks	4 Weeks	12 Weeks	6 Months	12 Months
Time Since Beginning of Pandemic Outbreak								

5. Alert, Notification and Implementation. Once the decision has been reached to implement the ADAH COOP, the Director or in his absence, the Assistant Director for Administration will notify the following:

- a. **Director**, Steve Murray
- b. **Assistant Director, Government Records**, Tracey Berezansky
- c. **Assistant Director, Public Services**, Debbie Pendleton
- d. **Assistant Director for Administration**, Steve Wheat
- e. **Security and Facilities Manager**, Steve Wheat

Alabama Dept. of Archives and History
Continuity of Operations Plan

Once notified, ADAH department heads will activate their respective departmental call-list to notify key Staff members of required actions. See **Continuity Communications—Internal** for further guidance.

6. Leadership Responsibilities. Upon COOP activation, the Archives' leadership will assume the following responsibilities listed below.

a. **Director.** Responsible for all aspects of the response, including developing incident objectives and managing all incident operations related to any national emergency, catastrophic emergency, pandemic influenza, or natural disasters which affect ADAH.

Unless specifically assigned to another member of the Command or General Staffs, these responsibilities remain with the IC. Some of the more complex responsibilities of the IC include:

- (1) Establish immediate priorities especially for the safety of responders, other emergency workers, bystanders, and people involved in the incident.
- (2) Stabilize the incident by ensuring life safety and managing resources efficiently and cost effectively.
- (3) Determine incident objectives and strategy to achieve the objectives.
- (4) Establish and monitor incident organization.
- (5) Approve the implementation of the ADAH Continuity of Operations Plan and ADAH Disaster Plan.
- (6) Ensure adequate health and safety measures are in place.
- (7) **Primary Assignment:** **Steve Murray**
First Alternate: Tracey Berezansky
Second Alternate: Debbie Pendleton
Third Alternative: Steve Wheat

b. **Executive Staff.** Responsible for public affairs, health and safety, liaison, operations, planning, logistics, and finance responsibilities. The Director remains responsible for these activities or may assign individuals to carry out these responsibilities and report directly to the Director.

- (1) **Assistant Director of Government Records.** Responsible for all operations directly applicable to the primary mission of the response related to any national emergency, catastrophic

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

emergency, pandemic influenza, or natural disasters which affect ADAH.

(a) Primary Assignment: Tracey Berezansky
First Alternate: Dorothy Fouche
Second Alternate: Tom Turley
Third Alternate: **VACANT**

(2) Assistant Director of Public Services. Responsible for collecting, evaluating, and disseminating the tactical information related to any national emergency, catastrophic emergency, pandemic influenza, or natural disasters which affect ADAH, and for reviewing Incident Action Plans (IAP's) for safety implications, and provides timely, complete, specific, and accurate assessment of hazards and required controls.

(a) Primary Assignment: Debbie Pendleton
First Alternate: Norwood Kerr
Second Alternate: Mary Jo Scott
Third Alternate: **VACANT**

(3) Assistant Director for Administration. Responsible for developing and releasing information about any national emergency, catastrophic emergency, pandemic influenza, or natural disasters which affect ADAH to the news media, incident personnel, and other appropriate agencies and organizations.

(a) Primary Assignment: Steve Wheat
First Alternate: Georgia Ann Conner
Second Alternate: Tracey Berezansky
Third Alternate: Debbie Pendleton

(4) Liaison Officer. Serves as the point of contact for assisting and coordinating activities between the Director and various agencies and groups. This may include federal personnel, state government officials, local government officials, and criminal investigating organizations and investigators arriving on the scene.

(a) Primary Assignment: Frank Brown
First Alternate: Georgia Ann Conner
Second Alternate: Tom Turley
Third Alternate: Tracey Berezansky

(5) Security and Facilities Manager. Develops and recommends measures to the Director for assuring personnel health and safety and to assess and/or anticipate hazardous and unsafe situations.

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

The Security and Facilities Manager also develops the ADAH Emergency Procedures. Also prepares and documents **Incident Action Plans** (IAP's).

(a) **Primary Assignment:** **Steve Wheat**
First Alternate: Bob Bradley
Second Alternate: Sherrie Hamil
Third Alternate: Ken Barr

(6) **Logistics Chief.** Responsible for providing facilities, services, and materials related to any national emergency, catastrophic emergency, pandemic influenza, or natural disasters which affect ADAH.

(a) **Primary Assignment:** **Iris Bailey**
First Alternate: Dwan Mason
Second Alternate: Mark Palmer
Third Alternate: **VACANT**

(7) **Finance and Administrative.** Responsible for all financial, administrative, and cost analysis aspects related to any national emergency, catastrophic emergency, pandemic influenza, or natural disasters which affect ADAH.

(a) **Primary Assignment:** **Frankie George**
First Alternate: Steve Murray

All groups and respective alternates will work closely together as a team and maintain communication with others positions within the Executive Staff to provide a seamless transition in the event a member or members become incapacitated.

VIII. Hazard Vulnerability. Three categories of hazards are analyzed: 1); natural events—those occurring with the natural environment without human intervention or initiation; 2) human events-those initiated by human actions; and 3) technological events—those associated with the technologies used or needed by the organization. **See attached State of Alabama and County Hazard Vulnerability, Recovery and Rehabilitation Supplies and Services, and Clean-up Checklist** for additional guidance.

A. **Natural Events.** See **ADAH Emergency Procedures binder** for further guidance.

1. **Thunderstorms/Lightning.** Thunderstorms are a fairly common occurrence, but they can cause severe damage. They can involve heavy rain (which can in turn cause flash flooding), high winds, lightning, and hail. Thunderstorms can also cause tornadoes.

Alabama Dept. of Archives and History Continuity of Operations Plan

2. **Tornado.** Tornadoes are very violent and destructive storms and are usually spawned by a thunderstorm, but can also be caused by a hurricane. Tornadoes are more localized and less easy to predict than other storms; there is often little warning of their approach.

Tornadoes generally occur between March and August, mostly during the afternoon or evening. It is important to remember that due to the violence of these storms and the short advance warning, human safety will likely be the highest priority. It is very important to know what to do and where to go if a warning is issued.

3. **Hurricane.** Hurricanes are slow moving, severe storms with high winds that originate in the Caribbean and the tropical Atlantic. Hurricane season lasts from June to November. Hurricanes are monitored by satellite and advisories are issued well in advance.

B. **Technological Events.** See **ADAH Emergency Procedures binder** for further guidance.

1. **Power Outage.** Power outages can occur in many different situations. Sometimes they are precipitated by a storm or natural disaster, in which case the power outage may be only part of the emergency. Sometimes, particularly in summer, a power outage occurs due to overuse of electricity resources. While a power outage alone rarely poses a direct threat to collections, it may cause damaging conditions (e.g., rise in temperature and/or humidity when the HVAC system shuts down), and it may pose a threat to staff and/or patrons.

2. **Gas Leak.** ADAH uses natural gas for its boilers. The causes of gas leaks vary. Common causes include accidental damage due to digging or construction in the area, and damage from natural disasters. Gas leaks pose a significant risk to the Archives' Staff and collections. While indoor gas leaks are the most dangerous because the gas is concentrated in a confined area, an outdoor gas leak is also dangerous.

3. **Water Main Break.** Water main breaks can occur at any time, for various reasons. Since many underground water mains are very old and deteriorated, they often break unexpectedly. It is also possible for a water main to be broken accidentally by digging or construction in the area. The primary threat to ADAH and its collections in the AUT and basements is flooding, which can be significant, particularly if some time passes before workers can cap the water main.

Alabama Dept. of Archives and History
Continuity of Operations Plan

C. **Human-Initiated Events.** See **ADAH Emergency Procedures binder** for further guidance.

1. **Building Fire.** When Fire Alarm sounds the building must be evacuated by **EVERYONE**. Do not stop to retrieve purses / nonessential belongings, etc. Because of the complexities of the building, it is important to complete the evacuation in a timely and orderly fashion to ensure the safety of everyone. **DO NOT use Elevators for evacuation.**

2. **Hazardous Materials Incident.** The term hazardous material refers to chemicals that can pose a threat to human health, to the environment, or to collections if they are mistakenly released into the air or spilled. Such chemicals are used in a wide range of activities, including manufacturing, agriculture, medicine, and research. They are also routinely transported around the country via air, highways, trains, and waterways. Depending on the amount of chemical and the level of exposure, hazardous materials can cause injury, chronic health problems, and even death, as well as damaging buildings and collections.

3. **Bomb Threats.** Bomb Threats can be received via telephone, through the mail system or perhaps even via suspicious items found unattended in or around the Archives and History building. In all instances, any bomb threat and/or suspicious package must be reported to the Security Manager and Capitol Police. Bomb threats must be treated seriously, and requires immediate evacuation action by all staff and patrons. The same basic principles for evacuation for fires apply; however, it is better to place an even greater distance between yourself and the threatened facility.

4. **Terrorism.** Prepare to deal with a terrorist incident by adapting many of the same techniques used to prepare for other crisis.

5. **Biological / Chemical Threats.** Chemical agents are poisonous gases, liquids or solids that have toxic effects on humans, animals or even plants.

6. **Civil Disturbance and Demonstrations.** In case of a demonstration or other forms of civil disorder within the area, notify the Security Manager or Senior Staff Management who will notify Capitol Police (334-242-0700) and one of the Assistant Directors immediately of any information received. Even incidents where a possible incident may not be corroborated, any report of demonstration or other forms of civil unrest which is planned or in progress in the vicinity of the Archives must be reported.

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

IX. Essential Functions

A. Essential Functions are defined as those functions, stated or implied, that the organization is required to perform by statute, executive order, or organizational charter or policy and are necessary to provide vital services, maintain the safety and well-being of the employees, clients or customers, and visitors during any emergency.

B. Essential functions are further delineated into **Critical** essential functions, **Short-term** essential functions, and **Long-term** essential functions.

1. **Critical Essential Functions** are those essential functions that cannot be interrupted or can be only minimally interrupted following an incident. Standard Operating Procedures (SOP) are required for all Critical Essential Functions in order to be in compliance with the CDC State Pandemic Operational Plan, indicate whether or not an SOP has been developed for each Critical Essential Function.

2. **Short-term Essential Functions** are those essential functions that can be interrupted for a period of up to 15 days following an incident, but must be resumed thereafter.

3. **Long-term Essential Functions** are those essential functions that can be interrupted for more than 15 days following an incident and will be resumed when resources and personnel become available.

4. ADAH Essential Functions:

Function	Critical Essential Function		Short-term Essential Function Y/N	Long-term Essential Function Y/N	Priority
	Y/N	If Yes, does SOP exist? Y/N			
The mission of the Alabama Department of Archives and History is to ensure the preservation of Alabama's historical records and artifacts and to promote a better understanding of Alabama history	Yes	Yes, ADAH Policies & Procedures Manual	No	Yes	1
The Government Records Division of ADAH serves as the contact for state and local government officials seeking assistance with policies, standards, and procedures related to public records (ADAH, GR Division website).	Yes	Yes, RDAs	No	Yes	2

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Function	Critical Essential Function		Short-term	Long-term Essential	Priority
ADAH serves as the official repository for permanent records of state agencies. Some permanent records listed on the state agency's Records Disposition Authority (RDA) are eligible to be transferred to ADAH for permanent retention.	Yes	Yes, RDAs	No	Yes	3

5. Mission Critical Systems. The only role we at ADAH play in the backup of our data is the backup of the Novell File Server, which is done weekly. Critical files are backed up to an external hard drive and taken offsite by the IT staff. Other ADAH servers are located at Information Service Division (ISD), who maintains the backup of those servers and tapes. Information regarding mission critical systems is as follows:

a. **Emergency Contact Information.** Staff member who are familiar with system account details, passwords, internet service, web site host, regional online catalog/network/subscription services, how to restore backed up data, and reconfigure software and hardware:

(1) Iris Bailey, Computer Specialist, (334) 353-4638

(2) Dwan Mason, Computer Specialist, (334) 353-4946

(3) Tracey Berezansky, Assistant Director, Government Records, (334) 353-4604

If none of the above Staff members are reached, contact:

Information Services Division (ISD)
Folsom Administrative Building
64 N. Union Street
Montgomery, AL 36130
(334) 242-2222

b. Computer Software Inventory.

- Symantec Anti-virus
- Microsoft Office Professional (2007)
- Wordperfect Office 12 and X5
- Wordperfect 2000 Coldfusion 8.0 and 10.0
- Adobe Photoshop 7.0 Creative Suites 6.0 (Master collection), CS3, CS4
- Adobe Acrobat 8 Camtasia Studio
- Imageconverter Plus Microsoft XP Pro

Alabama Dept. of Archives and History
Continuity of Operations Plan

- Silver Fast AI
- The Macs operation in-house
- Mac OSX 10.5.5 (Leopard) File maker pro
- Microsoft for Macs Retrospect
- Creative Suites 3.0 for Macs Design Premium
- Iworks

c. **LOCKSS.** In addition to weekly back-ups, the Alabama Department of Archives and History also uses the **LOCKSS** (Lots of Copies Keep Stuff Safe) system as part of its digital preservation and disaster preparedness plans. Current members can assist in restoring backed up data:

- (1) Alabama Department of Archives and History, Montgomery, AL
- (2) Auburn University, Auburn, AL
- (3) University of Alabama, Tuscaloosa, AL
- (4) University of Alabama, Birmingham, Birmingham, AL
- (5) University of North Alabama, Athens, AL
- (6) Troy University, Troy, AL
- (7) Springhill College, Mobile, AL

6. **Vital Files, Records, and Databases.** Categories of vital records include the following:

a. **Emergency Operating Records.** These include records and databases essential to the continued functioning or the reconstitution of the Archives during and after continuity. These include, but are not limited to:

- (1) Emergency plans and directives
- (2) Orders of succession
- (3) Delegations of authority
- (4) Staffing assignments
- (5) Related policy or procedural records.

Alabama Dept. of Archives and History
Continuity of Operations Plan

b. Rights and Interests Records. These include records critical to carrying out the Archives' essential legal and financial functions, and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization's activities. These records include those with such value that their loss would significantly impair the execution of essential organization functions, to the detriment of the legal or financial rights and entitlements of the Archives and affected individuals. Any Rights and Interests Records considered critical for continued performance of essential functions should be include in the Emergency Operating Records and maintained at the appropriate continuity facility. These include, but are not limited to:

(1) Administrative Records.

(a) Name of Record Group: Accounts Receivable files.
Location: Senior Accountant's files, Room B102.
Description: Accounts Receivable files.
POC: Frankie George, 334-242-4361.
Format of Record: Electronic and hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: Yes, electronic only.
Maintenance Frequency: Weekly.

(b) Name of Record Group: Contracting and acquisition files.
Location: Senior Accountant's files, Room B102.
Description: Contracting and acquisition files.
POC: Frankie George, 334-242-4361.
Format of Record: Electronic and hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: Yes, electronic only.
Maintenance Frequency: Weekly.

(c) Name of Record Group: Official personnel records.
Location: Senior Accountant's files, Room B102.
Description: Payroll, retirement, and insurance records.
POC: Frankie George, 334-242-4361.
Format of Record: Electronic and hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: Yes, electronic only.

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Maintenance Frequency: Weekly.

(d) Name of Record Group: Property management and inventory records.

Location: Security and Facilities Manager, Room 1307, file cabinet, File 7, "Property Records."

Description: Inventory records of ADAH property valued over \$500.00.

POC: Steve Wheat, 334-353-4719.

Format of Record: Electronic and hard copy

Prepositioned at Continuity Facility: No

Hand carried to Continuity Facility: Current year only.

Virtually Accessible at Continuity Facility: Yes, electronic only.

Maintenance Frequency: Weekly.

(2) Director's Office.

(a) Name of Record Group: ADAH Board of Trustees

Location: 1901-2004, archived (see attached Finding Aid with SG numbers) 2005-current year filed in Director's Office.

Description: Minutes of Board of Trustees meetings, annual and division reports of the department's activities presented to the Board.

POC: Director's Secretary, (334) 242-4441

Format of Record: Electronic and hard copy

Prepositioned at Continuity Facility: No

Hand carried to Continuity Facility: Current year only.

Virtually Accessible at Continuity Facility: Yes, electronic only.

Maintenance Frequency: Weekly.

(b) Name of Record Group: ADAH Director's Admin. Files.

Location: 1901-2006, archived (see attached Finding Aid with SG numbers) 2007-current year, filed in Director's Office

Description: Correspondence, memoranda, press releases, reports, studies, and publications.

POC: Director's Secretary, (334) 242-4441

Format of Record: Electronic and hard copy

Prepositioned at Continuity Facility: No

Hand carried to Continuity Facility: Current year only.

Virtually Accessible at Continuity Facility: Yes, electronic only.

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Maintenance Frequency: Weekly.

(c) Name of Record Group: Alabama Archives & History Foundation financial records.

Location: 2002-current year, filed in Foundation files
(Located in Director's Office)

Description: Financial records.

POC: Director's Secretary, (334) 242-4441

Format of Record: Electronic and hard copy

Prepositioned at Continuity Facility: No

Hand carried to Continuity Facility: Current year only.

Virtually Accessible at Continuity Facility: Yes,
electronic only.

Maintenance Frequency: Weekly.

(3) Government Records Division.

(a) Name of Record Group: GRD Section Administrative records.

Location: Room 3914, GRD Office cabinets and ADAH X Drive

Description: Division files including correspondence, policies, procedures, timesheets, position files, equipment files, GRD publications, workshop materials, contracts and budget information, project files, forms, state records center general files, etc. These files are subject to records retention schedules. It would be impossible to replace and reconstruct much of this information.

POC: Tracey Berezansky, (334) 353-4604

Format of Record: Electronic and hard copy

Prepositioned at Continuity Facility: No

Hand carried to Continuity Facility: Current year only.

Virtually Accessible at Continuity Facility: Yes,
electronic only.

Maintenance Frequency: Weekly.

(b) Name of Record Group: State Records Commission records.

Location: Room 3914, GRD Office cabinets and ADAH X Drive

Description: Meeting minutes, meeting packets, agendas, appointment files, correspondence, etc. These files are subject to records retention schedules. It would be impossible to replace and reconstruct much of this information.

POC: Tracey Berezansky, (334) 353-4604

Format of Record: Electronic and hard copy

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: Yes,
electronic only.
Maintenance Frequency: Weekly.

(c) **Name of Record Group:** Local Government Records
Commission records.
Location: Room 3914, GRD Office cabinets and ADAH X
Drive
Description: Meeting minutes, meeting packets, agendas,
appointment files, correspondence, original current and
obsolete records disposition authorities (RDAs), etc. These
files are subject to records retention schedules. It would be
impossible to replace and reconstruct much of this
information.
POC: Tracey Berezansky, (334) 353-4604
Format of Record: Electronic and hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: Yes,
electronic only.
Maintenance Frequency: Weekly.

(d) **Name of Record Group:** Alabama Historical Records
Advisory Board records.
Location: Room 3914, GRD Office cabinets and ADAH X
Drive
Description: Meeting minutes, meeting packets, agendas,
appointment files, correspondence, workshop materials,
surveys, NHPRC grant applications, re-grant files, etc.
These files are subject to records retention schedules. It
would be impossible to replace and reconstruct much of
this information.
POC: Tracey Berezansky, (334) 353-4604
Format of Record: Electronic and hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: Yes,
electronic only.
Maintenance Frequency: Weekly.

(e) **Name of Record Group:** Control files.
Location: Room 317, South Wall file cabinets.
Description:
POC: Dorothy Fouche, (334) 353-4746

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Format of Record: Hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: No.
Maintenance Frequency: As required.

(f) Name of Record Group: Local Government Records Destruction Notices.
Location: Room 3914, GRD Office cabinets and ADAH X Drive. Recently, we have also begun to accept electronic destruction notices that are backed up on the ADAH server.
Description: These are notices of local government records that were legally destroyed under the agencies' approved RDAs. The section is responsible for permanently maintaining these notices to document the records' legal destruction. Agency copies of destruction notices are disposable under their RDAs. Therefore, it would be impossible to replace or reconstruct this information.
POC: Tom Turley, (334) 353-4607
Format of Record: Electronic and hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: Yes, electronic only.
Maintenance Frequency: Weekly.

(g) Name of Record Group: Local Government Records Section Program Files.
Location: Room 3914, GRD Office cabinets.
Description: These are paper files of ADAH correspondence with county and municipal agencies (going back to the late 1980s), as well as with other agencies involved in the local records program. Also included are background files on records appraisal and other program issues. Although not all of these records would be essential for reconstituting local records program operations, their loss would greatly hamper us. Moreover, the records are appraised as permanent in the department's RDA. Very few of them are backed up in our computer system.
POC: Tom Turley, (334) 353-4607
Format of Record: Hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: Current year only.
Virtually Accessible at Continuity Facility: No.
Maintenance Frequency: As required.

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

(h) Name of Record Group: Local Approved and signed Local Agency RDAs (including RDA signature pages returned by agencies).

Location: Room 3914, GRD Office cabinets and ADAH X Drive.

Description: Paper versions are the “official” RDA copies signed by ADAH Director and RDA signature pages (filed separately) returned by agency heads. Although appraised as permanent, these records are not a #1 salvage priority because copies of the RDAs are distributed to agencies and are available on the ADAH website. Implementation of the RDAs is documented in agency destruction notices.

POC: Tom Turley, (334) 353-4607

Format of Record: Electronic and hard copy

Prepositioned at Continuity Facility: No

Hand carried to Continuity Facility: Current year only.

Virtually Accessible at Continuity Facility: Yes, electronic only.

Maintenance Frequency: As required.

(i) Name of Record Group: Administrative.

Location: Room 3914, GRD Office cabinets.

Description: Approved and signed State Agency RDAs: Original copies with signatures by ADAH Director and agency directors; State agency files (contact data, correspondence, memos, training data, and other related information); Annual State Agency Implementation Reports and Related Files (original copies); Obsolete Records Destruction Notices sent by agencies and approved by ADAH (original copies)

POC: Tom Turley, (334) 353-4607

Format of Record: Hard copy

Prepositioned at Continuity Facility: No

Hand carried to Continuity Facility: Current year only.

Virtually Accessible at Continuity Facility: No.

Maintenance Frequency: As required.

(j) Name of Record Group: Microfilm.

Location: AUT and Coley Wing.

Description: ADAH has on hand 14,784 rolls master microfilm. 9,084 rolls are stored in the Vault in temp and humidity control climate. Approximately 5,700 rolls of acetate microfilm are stored in two freezers located in the AUT. Microfilmed records included: Newspapers, State Government records, Local Government records, Private records.

Alabama Dept. of Archives and History
Continuity of Operations Plan

POC: Tracey Berezansky, (334) 353-4604
Format of Record: Hard copy
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: No
Virtually Accessible at Continuity Facility: No.
Maintenance Frequency: As required.

(4) Public Services Division.

(a) Name of Record Group: Administrative.
Location: Room 3907, PSD Office Computer Files.
Description: Vital records include the electronic posting of information to the Archives Records and Education calendars. These calendar records document all tours and events scheduled for the department. Such postings are scheduled many months ahead of the event. Records also include word processing documents of which many are considered permanent records by records retention schedules. Records also include the school tour database, mailing labels database.

POC: Debbie Pendleton, (334) 353-4693
Format of Record: Electronic
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: No
Virtually Accessible at Continuity Facility: Yes, electronic only.
Maintenance Frequency: Weekly.

(b) Name of Record Group: Administrative.
Location: Room 3907, PSD Office Computer Files.
Description: Vital records include original permanent files on minutes, workshops, symposia, and various other projects which document the work of the Public Services Division. These files are subject to records retention schedules. It could be impossible to replace and reconstruct much of this information.

POC: Debbie Pendleton, (334) 353-4693
Format of Record: Electronic
Prepositioned at Continuity Facility: No
Hand carried to Continuity Facility: No
Virtually Accessible at Continuity Facility: Yes, electronic only.
Maintenance Frequency: Weekly.

(c) Name of Record Group: Private Records Section.
Location: Room 3907, PSD Office filing cabinets.

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Description:

POC: Mary Jo Scott, (334) 353-4694

Format of Record: Hard copy

Prepositioned at Continuity Facility: No

Hand carried to Continuity Facility: No

Virtually Accessible at Continuity Facility: No.

Maintenance Frequency: As required.

7. Telework Assignments. During an infectious pandemic, some Essential Functions may be performed through Telework. The following are the personnel assigned to each Critical Essential Function that will be performed through Telework.

a. **Critical Essential Function:** The mission of the Alabama Department of Archives and History is to ensure the preservation of Alabama's historical records and artifacts and to promote a better understanding of Alabama history.

Supervisor: Steve Murray, Director

Employees assigned to CEF:

- a. Administrative Staff
- b. Public Services

Telephone number: 334-242-4441 and 242-4363

b. **Critical Essential Function:** The Government Records Division of ADAH serves as the contact for state and local government officials seeking assistance with policies, standards, and procedures related to public records.

Supervisor: Tracey Berezansky

Employees assigned to CEF: Government Records division

Telephone number: 334-242-4452

c. **Critical Essential Function:** ADAH serves as the official repository for permanent records of state agencies. Some permanent records listed on the state agency's Records Disposition Authority (RDA) are eligible to be transferred to ADAH for permanent retention.

Supervisor: Tracey Berezansky

Employees assigned to CEF: Government Records division

Telephone number: 334-242-4452

X. Alternate Work Locations. The option to relocate ADAH Staff members to an alternate facility following an impending national emergency, catastrophic emergency, pandemic influenza, or natural disaster is **limited**. **Due to the nature of the ADAH mission and historical assets, protection of these invaluable objects and historical state records is of**

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

primary concern.

In any event, the Alabama Department of Archives and History will prepare emergency “Go-Kits” for each Executive Staff member.

A. ADAH go-kits:

1. Copy of the State Emergency Operations Plan (EOP).
2. ADAH COOP and ADAH Disaster Plan.
3. Laptop computer(s) and external harddrive(s) with:
 - a. ADAH holding and inventory information.
 - b. Essential human resources and payroll information.
 - c. ADAH specific software.
4. Copies of forms needed to continue providing essential services as well as forms that can be used to perform work manually should computer systems not be working properly.

B. Essential personnel are encouraged have a personal go-kit that includes enough personal care items for 3-5 days. Some recommended items include:

1. Changes of clothing.
2. Blanket and pillow.
3. Personal hygiene items, medications, and first aid kit, etc.
4. Drinking water, non-perishable food/snacks, and eating utensils.
5. Flashlight, portable radio, and batteries.

C. Alternate Work Locations should exhibit the following characteristics:

1. Sufficient space, equipment, and resources
2. Capable of being operational within 12 hours after event.
3. Reliable logistic support, systems, and infrastructure support
4. Provide for the health, safety, and security of employees being relocated

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

5. Sufficient communication system
6. Sufficient technology and support
7. Capabilities to use virtual records
8. The Alternate location may or may not be the same for Pandemic influenza outbreaks and All-hazard Emergencies.
9. ADAH Alternate Work Locations:

a. **Primary:**

(1) **On Site.** Another alternative is using existing facilities and virtual office options. For example, Staff personnel with help of the Department of Finance's Information Services Division (ISD) could relocate their computers to other areas of the Archives such as:

(a) **Coley Wing**

(i) Old Government Records Office, Rm. B101F

(ii) Finance Office, Rm. B102

(a) Telephone and data lines available

(iii) Imaging Services, Rm. B104

(a) Telephone and data lines available

(iv) Computer Room, Rm. B108

(a) Telephone and data lines available

(v) Curator's Office, Rm. 2603

(a) Telephone and data lines available

(b) **Main Building**

(i) Registrar's Office, Rm. B110

(a) Telephone and data lines available

Alabama Dept. of Archives and History
Continuity of Operations Plan

b. Secondary:

(1) **Records Center** (2745 Gunter Park Drive West). Although IT support is limited, the Records Center could be used as a rallying point and temporary facility. By physically relocating current ADAH servers from Room 320 to the Records Center, and using a mobile HUB, ADAH Staff could provide limited services.

XI. Reconstitution Operations. Identify and outline a plan to return to normal operations once the threat or disruption has passed. This should be conducted by the Director or in his absence the Assistant Directors for Administration, Government Records, or Public Services. This requires:

A. Five working days prior to resuming normal operations:

1. Inform all Staff members the national emergency, catastrophic emergency, pandemic influenza, or natural disaster, no longer exists, and that all capable Staff members are instructed to return to work and prepare to resume normal operations within five working days.

Staff members will be notified via telephone, email, television, and/or radio announcements.

B. Day 1 and 2. Cleaning. See attached **Clean-up Checklist** and **Recovery and Rehabilitation Supplies and Services** for further guidance.

1. All capable Staff members will meet in the lobby for work assignments.
2. Interior groups are responsible for clearing wind and water debris such as standing water, broken glass, and other trash from the interior of the building.
 - a. Begin cleaning rooms, furniture, floors, walls, etc. as required.
3. Exterior groups are responsible for clearing wind and water debris such as fallen limbs, broken glass, and other trash from the exterior of the building.
4. Trash and debris will be stacked in the area of Union Street and Adams Avenue.

C. Day 3 and 4. Repairs.

1. All capable Staff members will meet in the lobby for work assignments.
2. Interior groups will repair the following (as required):
 - a. Windows (patch with plywood / visqueen)

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

b. Lights and telephones

c. HVAC

d. Gallery display cases

e. Research Room

3. Exterior groups will repair the following (as required):

a. Windows (patch with plywood / visquene

b. Exterior doors

c. Roof

d. Exterior lights

4. The IT Office will verify the following systems are available and operational:

a. Computer stations

b. Data bases. Identifying which (if any) databases were affected by the incident, and working with ISD to ensure an effective transition or recovery of vital records and databases and other records that had not been designated as vital records, as part of the overall reconstitution effort.

D. Day 5. Last Minute Preparations.

1. All capable Staff members will meet in the lobby for work assignments.

2. Interior groups will continue necessary cleaning and repairing not completed during days 1 - 4.

3. Exterior groups will continue necessary cleaning and repairing not completed during days 1 - 4.

E. After Action Report. Within one week of resuming normal operations, have Staff members submit an after-action review of the effectiveness of the ADAH COOP. These should identify any problems encountered and recommendations for improvement. Once reviewed and approved, these recommendations should be implemented into the ADAH COOP.

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

XII. COOP Planning, Training, and Maintenance

A. COOP Budget. Identify the amounts within the organization’s budget that will provide for various essentials during an emergency.

Category	Person Responsible	Date Amount Verified	Amount
Payroll for overtime and special contract personnel	Frankie George		0
Transportation	John Durden		0
Facilities	Steve Wheat		0
Food, shelter, special clothing	Steve Wheat		0
Utilities	Steve Wheat		0
Information technology infrastructure	Iris Bailey		0
Go-Kits and Related Supplies	Steve Wheat		0
Pandemic Influenza Preparedness Supplies	Steve Wheat		0
COOP Training	Steve Wheat		0
COOP Drills and Exercises	Steve Wheat		0
CPR & Basic First Aid	Steve Wheat	June 3, 2015	13
Total			0

B. All Hazards Testing, Training, and Exercise Program. The Archives agrees to hold at least one exercise (Table Top Exercise, Functional, or Full-Scale) each fiscal year. Additionally, The Archives agrees to establish, maintain, and implement an annual training program based on preparedness courses offered by AEMA or recommended by AEMA, ADPH, county EMA, and other sources such as the South Central Public Health Partnership (<http://www.southcentralpartnership.org>).

Event	Training (X or blank)	Exercise (X or blank)	Date	Location	Attendance Expected

C. Pandemic Influenza Testing, Training, and Exercise Program. The Archives agrees to utilize resources provided by the Alabama Department of Public Health (ADPH) to conduct the training and drills specified in the following table.

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Organization Unit	Date of Infection Control and Social Distancing Training	Date PI Exercise Completed	Date Annual and New Employee PI Training	Date Telework Exercise Completed
[add rows as needed]				

XIII. Organizational Census

The following table identifies the risk to ADAH staff members based on their risk assessment instrument sheets completed in December 2009.

Organizational Unit	Number of Full-Time Employees	Number of Part-Time Employees	Number of Contract Employees	Total Number of Employees	Employee Pandemic Influenza Risk Assessment			
					Number of Employees			
					Very High	High	Medium	Lower Risk
Alabama Dept. of Archives & History	40	6	0	46			6	40

The Archives will monitor employee availability and absences during an emergency. The Order of Succession section on pages 5 and 6 will define the individuals that are required to report personnel status to the Director, daily at 8:30 AM. In the absence of other means of documentation, the Employee Status Work Sheet will be used to document employee status. The attached **Staff Status** sheet contains a table that may be used for monitoring Staff availability and absences.

Human Resource and Personnel Policies already in place will apply. Policies may be relaxed during an event and expedient measures such as working from home, teleconferencing, and hiring contract workers may be temporarily introduced. The Alabama Department of Archives and History will adhere to such policies as they are adjusted and directives will be issued through Incident Command System.

Alabama Dept. of Archives and History

Continuity of Operations Plan

XIV. Attachments.

COOP 1 Operational Checklist

In the event the Alabama Dept. of Archives and History is completely closed due to any national emergency, catastrophic emergency, pandemic influenza, or natural disasters, the following steps must be taken to secure the building.

I. Electrical power.

___ Plan for complete loss of power.

___ Back-up all servers

___ Power down:

___ All Computers

___ All Printers

___ All Copiers

___ Unplug all necessary electrical equipment such desk lamps, pencil sharpeners, microwaves, coffee pots, etc.

___ Empty all refrigerators and freezers (excluding those storing microfilm), turn off, and leave doors open.

___ Turn off all lights with exception of the one light kept on at the Union Street entrance, Main Lobby, 2nd Floor by elevator, and 3rd Floor West Wing cubicle area.

___ Once all electronic equipment, electrical equipment, and unnecessary light are off, secure all power at circuit breakers.

II. Natural gas.

___ Secure all boilers and gas sources to prevent inadvertent chances of fire.

III. Air Conditioning.

___ Secure all air handlers with exception of one to service West Wing Basement Storage.

IV. Water.

___ Secure potable water to building, to prevent inadvertent water damage due to broken pipes and plumbing fixtures.

___ **DO NOT** secure fire main water.

V. Trash.

___ Empty and remove all trash and garbage from building to prevent potential spoilage of leftover foodstuff, fire hazards, and pest infestation.

Alabama Dept. of Archives and History
Continuity of Operations Plan

VI. Alarms.

- ___ Physically lock all exterior doors with exterior key (Ensure all door latches, top and bottom, are engaged).
- ___ Disengage power to handicap door at Adams Avenue.
- ___ Notify Capitol Police once building is locked down.
 - ___ Provide additional notification instructions as necessary.
- ___ Notify Security Administrator (Karen Slauson) once building is locked down.
 - ___ Provide additional notification instructions as necessary.
- ___ Notify Fire Alarm Monitoring Company once building is locked down.
 - ___ Provide additional notification instructions as necessary.

VII. Interior doors.

- ___ Close and lock all interior doors to Galleries, Offices, and storage areas once above steps are taken.
- ___ Close Fire Doors between Coley Wing and Main Building.
- ___ Close Fire Doors in West Wing on 3rd floor.

VIII. Exterior doors.

- ___ Physically lock all exterior doors with exterior key (Ensure all door latches, top and bottom, are engaged).
- ___ Turn off power to Adams Avenue Handicap Door.

IX. Manning.

- ___ Establish 24/7 manning to protect historical

COOP 2 Pandemic Influenza Planning Assumptions

I. Planning Assumptions

- A. Susceptibility to the pandemic influenza virus will be universal.
- B. Efficient and sustained person-to-person transmission signals an imminent pandemic.
- C. The clinical disease attack rate will likely be 30% or higher in the overall population during the pandemic. Illness rates will be highest among school-aged children (about 40%) and decline with age. Among working adults, an average of 20% will become ill during a community outbreak.
 - 1. Some persons will become infected but not develop clinically significant symptoms. Asymptomatic or minimally symptomatic individuals can transmit infection and develop immunity to subsequent infection.
- D. Of those who become ill with influenza, 50% will seek outpatient medical care.
 - 1. With the availability of effective antiviral drugs for treatment, this proportion may be higher in the next pandemic.
- E. The number of hospitalizations and deaths will depend on the virulence of the pandemic virus. Estimates differ about 10-fold between more and less severe scenarios. Two scenarios are presented based on extrapolation of past pandemic experience (Table 1). Planning should include the more severe scenario.
 - 1. Risk groups for severe and fatal infection cannot be predicted with certainty but are likely to include infants, the elderly, pregnant women, and persons with chronic medical conditions.
- F. Rates of absenteeism will depend on the severity of the pandemic.
 - 1. In a severe pandemic, absenteeism attributable to illness, the need to care for ill family members and fear of infection may reach 40% during the peak weeks of a community outbreak, with lower rates of absenteeism during the weeks before and after the peak.
 - 2. Certain public health measures (closing schools, quarantining household contacts of infected individuals, “snow days”) are likely to increase rates of absenteeism.
- G. The typical incubation period (interval between infection and onset of symptoms) for influenza is approximately 2 days.
- H. Persons who become ill may shed virus and can transmit infection for up to one day before the onset of illness. Viral shedding and the risk of transmission will be greatest

Alabama Dept. of Archives and History
Continuity of Operations Plan

during the first 2 days of illness. Children usually shed the greatest amount of virus and therefore are likely to post the greatest risk for transmission.

I. On average, infected persons will transmit infection to approximately two other people.

J. In an affected community, a pandemic outbreak will last about 6 to 8 weeks.

K. Multiple waves (periods during which community outbreaks occur across the country) of illness could occur with each wave lasting 2-3 months. Historically, the largest waves have occurred in the fall and winter, but the seasonality of a pandemic cannot be predicted with certainty.

Table 1. Number of Episodes of Illness, Healthcare Utilization, and Death Associated with Moderate and Severe Pandemic Influenza Scenarios*

Characteristic	Moderate (1958/68-like)	Severe (1918-like)
Illness	90 million (30%)	90 million (30%)
Outpatient medical care	45 million (50%)	45 million (50%)
Hospitalization	865,000	9,900,000
ICU care	128,750	1,485,000
Mechanical ventilation	64,875	745,500
Deaths	209,000	1,903,000

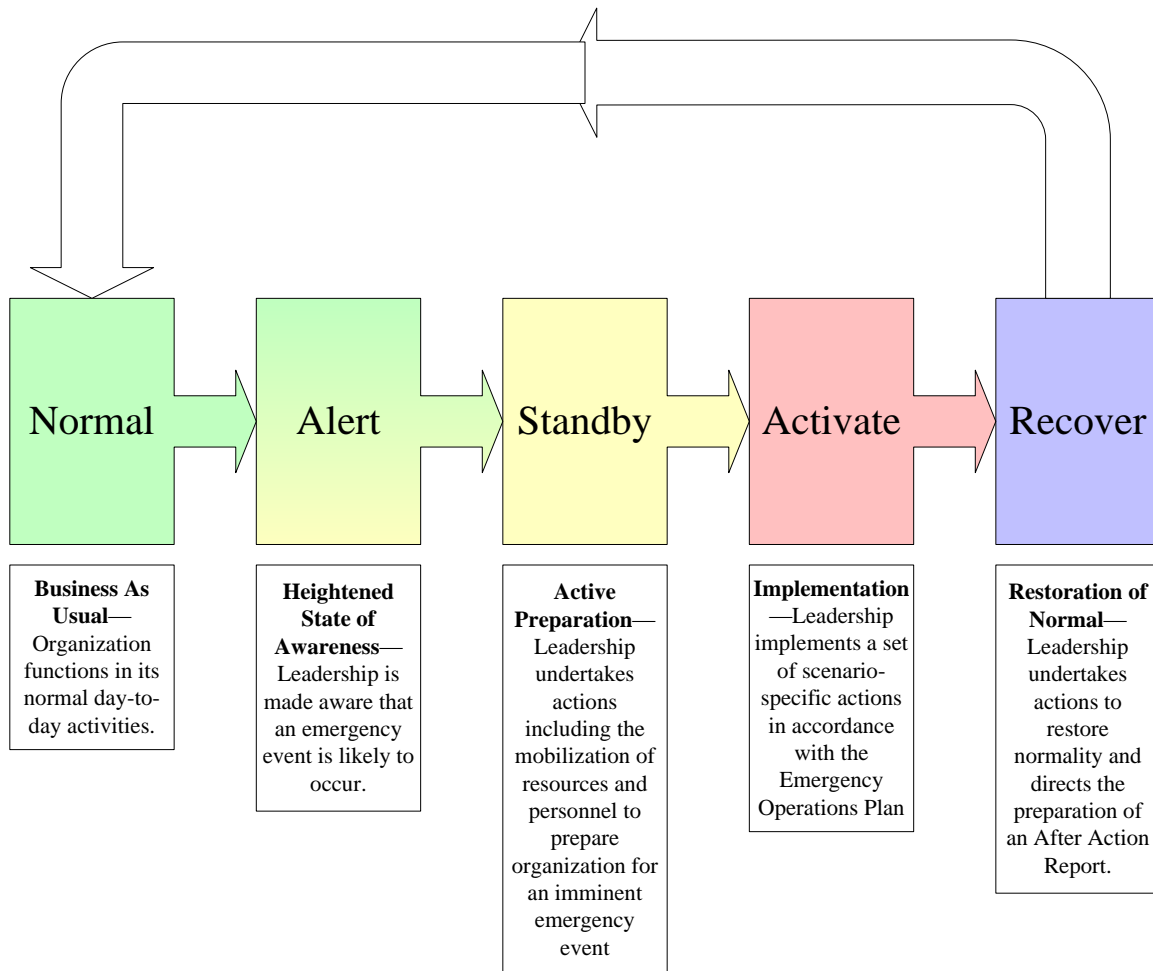
*Estimates based on extrapolation from past pandemics in the United States. Note that these estimates do not include the potential impact of interventions not available during the 20th century pandemics.

COOP 3 Continuity Plan Operational Phases and Implementation

I. ALERT, STANDBY, ACTIVATE PHASES

The Alabama Dept. of Archives and History has adopted the model shown below as the definition of phases of awareness for All-Hazard emergencies EXCEPT pandemic influenza. The Director or his designee is responsible for establishing the Operational Phase. Upon the designation of the Activate Phase the ICS process goes into effect and the Time-Based Operational Phases will be applied.

Figure 1. Alert, Standby, Activate Phases



**Alabama Dept. of Archives and History
Continuity of Operations Plan**

COOP 4 Continuity Communications – Internal

Archives and History Telephone Listing			June 4, 2015		
Aaron, Haley	353-3425	232	Kennedy, Burns	353-4613	261
Amaio, Shaelyn	353-4689	262	Kunau, Sara	353-4712	235
Auditorium AV Room	353-4684	N/A	Logan, Kathy (Volunteers)	353-4745	282
Bailey, Iris	353-4638	224	Mason, Dwan	353-4946	336
Barr, Ken	353-4659	271	McDonald, Angelia (RC)	277-9898	N/A
Basement / Records Area	353-4646	272	McDonough, Meredith	353-5442	331
Berezansky, Tracey	353-4604	243	McQueen, Sarah	242-4364	276
Blocker, Ryan	353-4717	279	Murray, Steve (353- 4687)	242-4441	247
Bradley, Bob	353-4696	269	Cell	306-8819	
Bridges, Ed	353-4685	256	Museum Info Desk	353-1936	288
Brown, Frank	353-4609	231	Museum A/V Room	353-7785	N/A
Conner, Georgia Ann	353-3312	241	Neeley, Graham	353-4629	260
Conservation Lab	353-4731	333	Nutt, Kevin	353-4725	267
Copy Room, 3rd Floor	353-4644	236	Palmer, Mark	353-4636	264
Custodial Office	353-4728	N/A	Pendleton, Debbie	353-4693	275
Director's Office	242-4441	248	Processing Area (P.S.)	353-4698	270
Dupree, Nancy	353-4674	255	Processing Area (G.R.)	353-4615	277
Durden, John (R. Center)	277-9898	N/A	Public Services	242-4364	276
Energen Conf. Room	353-4653	257	Puckett, Glenda	353-4729	253
Floyd, Corlis	353-4946	336	Records Center	277-9898	N/A
Fouche, Dorothy	353-4746	254	Reference Desk	242-4435	250
Foundation Office	353-4594	251	Research Room	353-4648	252
Friends Museum Store	353-4691	249	Rudder, Justin	353-5358	291
Garmon, Wes	353-3288	220	Rudolph, Brittany	353-3287	280
George, Frankie	242-4361	225	Scanning Office	353-4748	244
Gore, Allison (Friends)	353-4691	249	Scott, Mary Jo	353-4694	265
Government Records	242-4452	237	Smith, Coleman	353-4605	240
Hallford, Keri	353-4695	226	Smith, Rachel	353-3519	284
Hamil, Sherrie	353-4726	229	Staff Break Room	353-4639	221
Hands on Gallery	353-4712	235	Thomas, Tunisia	242-4441	248
Hands on Gallery Office	353-3423	222	Tour Line	242-4364	N/A
Hardin, John	353-5441	330	Turley, Tom	353-4607	234
HVAC Rodney Turley	353-4631	N/A	Voices Gallery	353-7786	N/A
Pager	519-9367		Wheat, Steve	353-4719	246
Jackson, Dianne	353-4634	239	Cell	833-2598	
Jones, Linda	353-4711	N/A	Wilson, Pat	353-4706	228

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Jones Training Room	353-4936	444	Zeigler, Anne	353-4709	263
Kerr, Norwood	353-4654	258	Reference Room - FAX	240-3433	
Building Address:			3rd Flr Copy Room - FAX	353-4321	
Alabama Dept. of Archives and History			Director's Office - FAX	353-4359	
624 Washington Avenue			Records Center - FAX	277-9454	
Montgomery, AL 36130-0100			AD Services - FAX	240-3125	
			Capitol Police	242-0700	

Alabama Dept. of Archives and History
Continuity of Operations Plan

COOP 5 State of Alabama and County Hazard Vulnerability

4. Table 1 – Hazard Analysis

HAZARD RANKING		RISK			IMPACT		
		HIGH	MED	LOW	HIGH	MED	LOW
NATURAL HAZARDS							
1	Flooding	H			H		
2	Tornados/Wind Storms	H			H		
3	Hurricanes	H			H		
4	Winter/Ice Storms	H				M	
5	Lightning	H					L
6	Drought		M				L
7	Hail		M				L
8	Extreme Temperatures		M				L
9	Wildfire			L			L
10	Urban Fire			L			L
11	Earthquakes			L			L
12	Landslides/Subsidence			L			L
TECHNOLOGICAL HAZARDS							
1	Energy Crisis		M			M	
2	Transportation (Air/Sea/Rail)		M			M	
3	Terrorism			L	H		
4	Chemical Stockpile (CSEPP)			L	H		
5	Radiological (Attack)			L	H		
5	Radiological (Fixed Facility)			L		M	
6	Dam Failure/Breach			L		M	
7	Hazmat (Fixed Facility)			L		M	
8	Cyber-Terrorism			L		M	
9	Hazmat (Transportation)			L			L
10	Civil Disturbance			L			L
11	Radiological (Transportation)			L			L

C. Assumptions

1. Incident management activities will be initiated and conducted using the National Incident Management System (NIMS).

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

COOP 6 Recovery and Rehabilitation Supplies and Services

Recovery and Rehabilitation Supplies and Services	Primary Communication Method	Primary Communication Address
State Services Dept.	(334) 353-0371	425 South Union Street Montgomery, AL 36104
Electrical Shop, State Services Dept.	(334) 353-0371 / 0397	425 South Union Street Montgomery, AL 36104
Plumbing Shop, State Services Dept.	(334) 353-0371 / 0396	425 South Union Street Montgomery, AL 36104
Carpenter Shop, State Services Dept.	(334) 353-0371 / 0399	425 South Union Street Montgomery, AL 36104
Information Services Division	(334) 242-2222	Folsom Administrative Building 64 N. Union Street Montgomery, AL 36130
Alabama Gas Company	(334) 832-4477	
Alabama Power	(800) 245-2244	
Montgomery Water Works & Sanitary Sewer Board	(334) 206-1600	22 Bibb Street Montgomery, AL
American Lock and Key	(334) 286-9801	4028-F Troy Hwy Montgomery, AL 36116
Diversified Elevator	334-285-3863	297 State Highway 143 Millbrook, AL 36054
<u>Blast Freezing</u> <u>Vacuum Freeze</u> <u>Drying</u> <u>Desiccant Drying</u>		
American Freeze Dry, Inc.	(856) 546-0777	411 White Horse Pike Audubon, NJ 08106
Belfor USA	(800) 472-0030	2300 Fourth Street Atlanta, GA 30084
Blackmon-Mooring-Steamatic Catastrophe, Inc. (BMSCAT)	(817) 926-5296 (800) 433-2940 - 24 hr. hotline	303 Arthur Street Fort Worth, TX 76107
Document Reprocessors	(800) 437-9464 (585) 554-4500	5611 Water Street Middlesex, NY 14507
McDonnell Aircraft Company (vacuum drying)	(314) 232-0232	Department 256 Building 102 Post L140 PO Box 516 St. Louis, MO 63166

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Munters Moisture Control Services	(800) 959-7901 (770) 242-0936	6900 Peachtree Industrial Blvd. Suite I Norcross, GA 30071
NASA	(256) 544-0964	Huntsville, AL
P & G Construction Company	(800) 844-8783 (256) 461-9585	8066 Flagstone Dr. #C Madison, AL 35758
SERVPRO	(888) 284-6786 (334) 284-1612	5939 Troy Highway Montgomery, AL 36116
Solex Environmental Systems	(800) 848-0484 (713) 963-8600	1003 Wirt Road Suite 107 Houston, TX 77055
<u>Cleaning</u>		
Clean Aire, Inc.	(800) 776-1117 - 24 hour hotline	1006 Rabbit Run Hopkins, SC 29061
<u>Commercial Freezer Units Adapted for Drying</u>		
Wei T'o Associates, Inc	(708) 747-6660	21750 Main Street Unit 27 Matteson, IL 60443
<u>Containers (for transporting wet materials)</u>		
ProText, Inc.	(301) 320-7231	PO Box 30423 Bethesda, MD 20824
Georgia Pacific	(256) 739-8175	315 5 th Street SW Cullman, AL 35055
Georgia Pacific	(256) 859-5770	3420 Stanwood Blvd Huntsville, AL 35810
Baker Distributing	(334) 263-3863	2721 Poplar Street Montgomery, AL 36107
Cole Parmer Instrument Company	(800) 323-4340 (847) 549-7600	625 East Bunker Ct. Vernon Hills, IL 1844
Dickson	(800) 323-2448	930 S Westwood Ave. Addison, IL 60101-4917
<u>Film/Microfilm Salvage</u>	(201) 440-2500	100 Challenger Road Ridgefield Park, NJ 07660
Agfa		
Eastman Kodak Company Disaster Recovery Laboratory	(800) 352-8378	1700 Dewey Avenue B-65, Door G, Rm 340 Rochester, NY 14650

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Fuji Photo Film U.S.A., Inc.	(800) 829-3854	PO Box 7828 Edison, NJ 08818
Specs Bros.	(800) 852-7732	PO Box 5 Ridgefield Park, NJ 07660
VidiPax	(800) 653-8434 (212) 563-1999	450 West 31 st Street 4 th Floor New York, NY 10001
Virtual Image Technology, Inc.	(803) 547-8888 (803) 547-8720	11632 Harrisburg Rd Ft. Mills, SC 29715
<u>Rubber Sponges</u>		
Quality Rubber Co.	(800) 597-9947 (660) 826-4641	415 Metallic Lane Sedalia, MO 65302
University Products, Inc.	(800) 628-1912	517 Main Street PO Box 101 Holyoke, MA 01041
<u>Smoke and Soot Damage Removal</u>		
Re-Oda Chemical Engineering	(216) 247-4131	100 Industrial Pkwy Chagrin Falls, OH 44022
<u>Fumigation, Ethylene Oxide (Eto)</u>		
Sterilizing Services	(800) 556-6462	35 Cumberland Industrial Road Cumberland, RI 02864
<u>Cold Storage - Refrigerated Warehouses</u>		
Americold Logistics, Inc.	(334) 284-6900	4550 Newcomb Ave. Montgomery, AL 36108
Industrial Cold Storage	(904) 786-8038	2625 W. 5 th Street PO Box 41064 Jacksonville, FL 32254
Jaxport Refrigerated Services, Inc.	(904) 358-2206	2701 Tallyrand Ave. PO Box 2639 Jacksonville, FL 32203
Public Quick Freezing and Cold Storage Co.	PO Box 41430 1741 W. Beaver Street Jacksonville, FL 32203	(904) 354-1446
South Atlantic Cold Storage, Inc.	(904) 353-4119	2421 Dennis Street Jacksonville, FL 32204

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Americold Logistics, Inc.	(404) 344-8720	Atlanta Gateway Park Warehouse 6150 Xavier Drive SW PO Box 43267 Atlanta, GA 30336
Americold Logistics, Inc.	(404) 349-4704	1740-B Westgate Parkway, SW Atlanta, GA 30336
Americold Logistics, Inc.	(404) 755-3537	3300 Lakewood Avenue, SW Atlanta, GA 30310
Americold Logistics, Inc.	(678) 441-1400	10 Glenlake Parkway South Suite 800 Atlanta, GA 30328
Commercial Cold Storage, Inc.	(770) 448-7400	4300 Pleasantdale Rd, NE Atlanta, GA 30340
Stanford Refrigerated Warehouses	(912) 746-6623	1945 Waterville Rd. Macon, GA 31206
<u>Professional Preservation Advice - Regional Centers.</u>		
The Southeastern Library Network, Inc.	(404) 592-4804	Preservation Services 1438 West Peachtree St., NW Suite 200 Atlanta, GA 30309
<u>Professional Preservation Advice - Conservators</u>		
National Center for Film & Video Preservation	(213) 856-7637	2021 North Western Avenue Los Angeles, CA 90027
Film Technology	(213) 464-3456	6900 Santa Monica Boulevard Hollywood, CA 90038
Conservation Center for Art & Historic Artifacts	(215) 545-0613	264 South 23rd Street Philadelphia, PA 19103
Jessica Hack	(504) 366-0786	407 Delaronde New Orleans, LA 70114
The Textile Conservation Center	(617) 686-0191	Merrimack Valley Textile Museum 899 Massachusetts Avenue North Andover, MA
Textile Conservation Workshop	(914) 763-5805	Main Street South Salem, NY 10590
Allen Cochran Harpers Ferry National Historical Park	(304) 535-6371 Ext. 6538	PO Box 65 Harpers Ferry, WV 25425

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

COOP 7 Clean-up Checklist

Clean-up Checklist

Date: _____

Room number / name: _____

Person in charge: _____ Staff ____ Volunteer ____

Damage Survey (Interior)

Status of windows: _____

Description of damage: _____

Broken glass removed: _____

Windows temporarily repaired: _____

Status of Displays: _____

Description of damage: _____

Artifacts' status / removed to: _____

Debris removed: _____

Status of walls: _____

Description of damage: _____

Portraits' status / removed to: _____

Status of ceiling: _____

Description of damage: _____

Debris removed: _____

Status of floors: _____

Description of damage: _____

Debris / water removed: _____

Status of lighting: _____

**Alabama Dept. of Archives and History
Continuity of Operations Plan**

Description of damage: _____

Powered secured at breaker: _____

Electrician notified: _____

Status of electronic equipment (computers, printers, copiers, etc.): _____

**Take all damaged computers, printers, etc. to Coley Wing, Rm B101.
DO NOT discard any equipment with **BLUE** or **GREEN** bar codes!**

Damage Survey (Exterior)

Status of roof: _____

Description of damage: _____

Debris removed: _____

Status of exterior walls: _____

Description of damage: _____

Debris removed: _____

Status of exterior lighting: _____

Description of damage: _____

Powered secured at breaker: _____

Electrician notified: _____

Status of power lines: _____

Description of damage: _____

Electrician notified: _____

Status of trees: _____

Description of damage: _____

Debris removed: _____

Alabama Dept. of Archives and History
Continuity of Operations Plan

Miscellaneous damage / observations: _____

