

Last Reviewed / Updated: August 10, 2010

## 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 **appendix 1**, 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 **appendix 1**, Operational Checklist for further guidance and **appendix 2** for Pandemic Influenza Planning Assumptions.). A pandemic event will most likely last for 12-18 months with as many as three waves of new infections lasting 4-6 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 4<sup>th</sup> 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  
Security & Facilities Manager  
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.
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**, Dr. Ed Bridges

334-242-4441

Ed.Bridges@archives.alabama.gov

b. **Assistant Director for Administration**, Steve Murray

334-353-4692

Steve.Murray@archives.alabama.gov

c. **Assistant Director, Government Records**, Tracey Berezansky

334-353-4604

Tracey.Berezansky@archives.alabama.gov

d. **Assistant Director, Public Services**, Debbie Pendleton

334-353-4693

Debbie.Pendleton@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 **appendix 3**, 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:

- |                          |  |
|--------------------------|--|
| <b>(1) Key Position:</b> | <b>Director</b><br>Dr. Ed Bridges                                  |
| First Alternate:         | Steve Murray, Assistant Director for Administration                |
| Second Alternate:        | Tracey Berezansky, Assistant Director, Government Records          |
| Third Alternate:         | Debbie Pendleton, Assistant Director, Public Services              |
| <b>(2) Key Position:</b> | <b>Assistant Director for Administration</b><br>Steve Murray       |
| First Alternate:         | Frankie George, Accountant   |
| Second Alternate:        | Steve Wheat, Security and Building Manager                         |
| Third Alternate:         | John Hardin, Archivist   |
| <b>(3) Key Position:</b> | <b>Assistant Director, Government Records</b><br>Tracey Berezansky |
| First Alternate:         | Alden Munroe, Archivist  |
| Second Alternate:        | Tom Turley, Local Government Records                               |
| Third Alternate:         | Richard Wang, State Records  |

(4) **Key Position:**     **Assistant Director, Public Services**  
Debbie Pendleton

First Alternate:        Bob Bradley, Curator  
Second Alternate:      Mary Jo Scott, Archivist  
Third Alternate:        Susan Dubose, Education Specialist

(5) **Key Position:**     **Accountant**  
Frankie George

First Alternate:        Steve Murray, Assistant Director for  
Administration

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

First Alternate:        Steve Murray, Assistant Director for  
Administration  
Second Alternate        John Hardin, Archivist  
Third Alternate         Drew Davis, 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 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**  
Dr. Ed Bridges

(2) **Key Position:** Assistant Director for Administration  
Steve Murray

(3) **Key Position:** Assistant Director, Government Records  
Tracey Berezansky

(4) **Key Position:** Assistant Director, Public Services  
Debbie Pendleton

**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

<b>Extent of Emergency</b>	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	18 to 35 staff members	OR	X	X	X	X	X
	25 % to 50% of division	9 to 18 staff members			X	X	X	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.				< 1 Week	1 to 2 Weeks	2 Weeks to 30 Days	31 to 180 Days	More than 180 Days
<b>Expected Duration of the Emergency</b>								

**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

<b>Absenteeism Rate</b>	<b>50%</b>	<b>18 staff members</b>	<b>Check One</b>	X	X	X	X	X
	<b>40%</b>	<b>14 staff members</b>	<input checked="" type="checkbox"/> <b>AND</b>	X	X	X	X	X
	<b>30%</b>	<b>11 staff members</b>			X	X	X	X
	<b>20%</b>	<b>7 staff members</b>	<input type="checkbox"/> <b>OR</b>				X	X
	<b>10%</b>	<b>4 staff members</b>						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.				<b>2 Weeks</b>	<b>4 Weeks</b>	<b>12 Weeks</b>	<b>6 Months</b>	<b>12 Months</b>
<b>Time Since Beginning of Pandemic Outbreak</b>								

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

Once notified, ADAH department heads will activate their respective departmental call-list to notify key Staff members of required actions (see **appendix 4**, Continuity Communications—Internal).

**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 written or **Incident Action Plan**.

(6) Ensure adequate health and safety measures are in place.

(7) <b>Primary Assignment:</b>	<b>Dr. Ed Bridges</b>
First Alternate:	Steve Murray
Second Alternate:	Debbie Pendleton
Third Alternate:	Tracey Berezansky

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 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) <b>Primary Assignment:</b>	<b>Steve Murray</b>
First Alternate:	Tracey Berezansky
Second Alternate:	Debbie Pendleton
Third Alternate:	John Hardin

(2) **Assistant Director of Government Records.** Responsible for all operations directly applicable to the primary mission of the response related to any national emergency, catastrophic emergency, pandemic influenza, or natural disasters which affect ADAH.

(a) **Primary Assignment:** Tracey Berezansky  
First Alternate: Alden Monroe  
Second Alternate: Mike Breedlove  
Third Alternate: Drew Davis

(3) **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 preparing and documenting **Incident Action Plans** (IAP's).

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

(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: Tom Turley  
Second Alternate: Richard Wang  
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. The Security and Facilities Manager also develops the Site Safety Plan (see ADAH Emergency Procedures), reviews the **Incident Action Plan** for safety implications, and provides timely, complete, specific, and accurate assessment of hazards and required controls.

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

(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: Alan Legleiter  
Second Alternate: Mark Palmer  
Third Alternate: Christine Garrett

(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 **appendix 5** for State of Alabama and County Hazard Vulnerability and **appendix 6** for Recovery and Rehabilitation Supplies and Services.

**A. Natural Events.** (See **appendix 7**, Severe Weather Emergency Checklist and Hurricane Preparedness and Response 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.

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 **appendix 8**, Hazard Vulnerability 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.

**C. Human-Initiated Events.** See **appendix 8**, Hazard Vulnerability 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.** (See **appendix 9**, Fire Alarm Building Evacuation Procedures for further guidance.).

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.

## **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
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) Alan Legleiter, 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.** See **appendix 10** for list of computer software inventory and computer hardware inventory.

**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.

**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.  
**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:** Debra Wilkins, (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:** Debra Wilkins, (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.

(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:** Debra Wilkins, (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

**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:** Alden Monroe, (334) 353-4613  
**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

**Positioned at Continuity Facility:** No

**Hand carried to Continuity Facility:** Current year only.

**Virtually Accessible at Continuity Facility:** No.

**Maintenance Frequency:** As required.

(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 Dr. Bridges 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

**Positioned 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 Dr. Bridges 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:** Richard Wang, (334) 353-4673

**Format of Record:** Hard copy

**Positioned 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.

**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.  
**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:** Dr. Ed Bridges, 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 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.
3. Laptop computer with:
  - a. ADAHH 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
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

**b. Secondary:**

(1) **Records Center.** 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 **appendix 11**, Clean-up Checklist).

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 / visquene

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.

**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		\$348.00
Total			\$348.00

**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



**XIV. Appendixes.**

See Attached.