

Shelton, Janet

From: Markham, Peter G
Sent: Friday, August 03, 2012 4:28 PM
To: Shelton, Janet
Subject: FW: Department of Revenue After Action Review Questionnaire (Confidential and Internal Record)
Attachments: 201208030 GO After Action Review Questionnaire.pdf

From: Raines, Heather A
Sent: Friday, August 03, 2012 4:25 PM
To: Markham, Peter G
Cc: Pennington, Audrey C
Subject: Department of Revenue After Action Review Questionnaire (Confidential and Internal Record)

Peter,

Please see the attached After Action Review Questionnaire from the Department of Revenue.

We appreciate the opportunity to be of service. If you have any questions, please contact me.

Thank You,

Heather A. Raines
Public Information Specialist
West Virginia Department of Revenue
Office of the Cabinet Secretary
Office: (304) 558-1017
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AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: Office of the Cabinet Secretary

Project/Event: Emergency response to storm-related state of emergency

Prepared by: Audrey Pennington Date of Review: 08/03/12

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Charles Lorensen	Cabinet Secretary	Provide instructions to all agency heads
Mark Matkovich	General Counsel	Notify and instruct OCS employees
Heather McDaniel	Administrative Secretary to the General Counsel	Forward agency messages and updates to the Governor's Office
Heather Raines	Public Information Specialist	Contact agencies on status of operations and forward information to the Governor's Office
Jennifer Papouschek	Office Assistant	Answer phones and respond to general inquiries

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the Office of the Cabinet Secretary's Office (OCS) in all situations, emergency and non-emergency, is to serve as a conduit of information from the agencies to the Governor's Office regarding status of operations and essential functions within the Department.

In order to fulfill this role, Cabinet Secretary Lorensen forwarded all messages from the Governor to the agency heads and provided attendance instructions for Monday, July 2. Secretary Lorensen directed that employees able to attend work should make every attempt to do so, except for those with scheduled leave.

Additionally, the OCS made contact with all agencies on Monday, July 2 and Tuesday, July 3 to assess the agency's status of operations at headquarters and those with field offices. This information was then forwarded to the Governor's Office.

The OCS was secure and operational.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCCESES	HOW TO ENSURE SUCCESS IN THE FUTURE
Completed essential functions	
Contacted all agencies to obtain status of operation	
Consistently provided information to the Governor's Office on agency operations	

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Use COOP	Evaluate, update, and review plan
Emergency Contact List	Routinely update
Understanding of how agencies react in emergency situations	Consult with agencies
Understanding of the agency's idea of their essential functions and employees	Survey the agencies

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: Alcohol Beverage Control Administration

Project/Event: Emergency response to storm-related state of emergency

Prepared by: Erin Brewster Date of Review: 08/02/2012

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Ron Moats	Commissioner	Decide and determine essential functions and personnel; worked at Distribution Center
Erin Brewster	Deputy Commissioner	Decide and determine essential functions and personnel; worked at Distribution Center
Gig Robinson	Public Information Officer	Communicate with staff; worked at Distribution Center

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the Alcohol Beverage Control Administration (ABCA) during this state of emergency was to maintain operations critical to the current issues in the agency and secure headquarters and the Distribution Center. It was vital that ABCA complete and ship orders from the Distribution Center before July 4, conclude the relicensing period, and close out FY2012.

After receiving instructions from Governor Tomblin and Secretary Lorensen, Commissioner Moats issued an e-mail to ABCA employees requesting that all employees able to travel should come to work. ABCA needed to have as many employees as possible to complete these essential functions.

ABCA headquarters and the Distribution Center were both secure and operational.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCSESSES	HOW TO ENSURE SUCCESS IN THE FUTURE
Completed and shipped all orders from the Distribution Center	Ensure warehouse employees understand they are essential to ABCA functions
Met agency essential functions	Calendaring essential functions throughout the year
Communicated with staff	Routinely update Emergency Contact List

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Update the OCS	Assess disruption to the agency, then notify the OCS
Easily access Emergency Contact information	Since staff members used cell phones as a primary source of communication, all cell phones should be equipped with an updated Emergency Contact List

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: State Athletic Commission

Project/Event: Emergency response to storm-related state of emergency

Prepared by: _____ Date of Review: _____

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the State Athletic Commission during a state of emergency is minimal. The Commission holds no permanent office or staff. There were no scheduled events for Monday, July 2.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCCESES	HOW TO ENSURE SUCCESS IN THE FUTURE

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: State Budget Office

Project/Event: Emergency response to storm-related state of emergency on July 2, 2012

Prepared by: Tammy Scruggs Date of Review: August 3, 2012

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Mike McKown	Director	Determine agency essential functions and personnel; communicate with staff

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the State Budget Office in a state of emergency is normally minimal. However, the state of emergency occurred on the first working day of the fiscal year, and according to code, the state may borrow monies from the Rainy Day Fund (Revenue Shortfall Reserve Fund) for General Revenue for cash flow purposes. The State Budget Office facilitates this transfer (coordinates with State Tax Department) and makes sure it occurs to ensure the state's timely payment of expenditures. Director Mike McKown and sufficient staff members were present to complete this transaction, answer phones, and respond to any questions on Monday, July 2.

Also, as this was the first working day for the new cabinet secretary for the Department of Health and Human Resources signature sheets for the employees were updated in the WVFIMS system to allow processing of documents at the DHHR level.

The State Budget Office was secure and operational.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCSESSES	HOW TO ENSURE SUCCESS IN THE FUTURE
Sufficient cash flow was available for General Revenue	Make sure emergency contact list is updated
Met agency essential functions	

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Easily access Emergency Contact information	Since staff members used cell phones as a primary source of communication, all cell phones should be equipped with an updated Emergency Contact List

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: Division of Financial Institutions

Project/Event: Emergency Response to Storm-Related State of Emergency

Prepared by: Sally M. Cline, Commissioner Date of Review: August 3, 2012

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Sally Cline	Commissioner	Determine agency's essential functions and personnel; communicate with staff

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the Division of Financial Institutions during this state of emergency was to assess the level of disruption to banking services for West Virginia consumers and businesses.

On Saturday, June 30, 2012, the Commissioner went to the office at the City Center West Building, which did not lose power, and sent an email to the primary emergency contacts for all West Virginia chartered banks and credit unions notifying them that a representative of the Division of Financial Institutions would be contacting them or their alternate contact on Monday, July 2, 2012 to assess the impact of the previous evening's storm to the state banking system. To this email, the Commissioner attached a copy of our event management database script (see attachment #1). This email and attachment were then forwarded to the Secretary of Revenue and his legal counsel, essential employees within the Division of Financial Institutions (see attachment #2), the President and CEO of the West Virginia Bankers Association, and the Executive Director of the Community Bankers of West Virginia.

After receiving instructions from Governor Tomblin and Secretary Lorensen, on Sunday evening, June 31, 2012, the Commissioner sent a group text message to all office personnel, including the Chief Examiner for Depository Institutions, requesting that, if able, employees were to report to work on Monday, July 2, 2012 to assist with polling state-chartered banks and credit unions to determine their operational status. Each employee who reported to work Monday morning received a list of banks and credit unions to call along with each bank and credit union's emergency contact information and a script of questions to ask. Agency employees were able to contact all institutions, with the exception of three banks, and assess their current circumstances by noon on Monday. The remaining three banks were contacted by 9:00 p.m. on Tuesday, July 3, 2012. In addition to the Cabinet Secretary's Office and the banking associations, the Commissioner updated the FDIC's Field Office Supervisor, who then relayed the information to the FDIC's Regional Director in Atlanta, Georgia.

Although many banking and credit union offices were closed on Saturday, June 30, 2012, most were open and serving customers in a limited capacity by Monday, July 2, 2012. One single-office credit union was unable to open on Monday and operated with limited hours on Tuesday. This office did not receive any direct complaints from consumers or businesses.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCSESSES	HOW TO ENSURE SUCCESS IN THE FUTURE
Communicated with staff	Routinely update emergency contact information for staff in both electronic and paper form.
Contacted all banks and credit unions within the State	Routinely update emergency contact information for all banks and credit unions in both electronic and paper form.
Initially contacted and updated the OCS and other interested parties	Routinely update emergency contact information for the Office of the Cabinet Secretary and other interested parties in both electronic and paper form.
Met essential functions of the agency	

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Easily access emergency contact information	Since our office was fully operational and accessible, we had no problem obtaining emergency contact information for state-chartered banks and credit unions, Division staff, and other contacts. However, this information is also backed-up and maintained remotely in a location almost 60 miles from the main office. Furthermore, contact information maintained on our email server is routinely synced with employees' laptops when they connect to the network. Since staff members used cell phones as a primary source of communication, cell phones should routinely be updated with emergency contact information.
Easily access Disaster Recovery Plan	Although copies of our Disaster Recovery Plan are

	maintained on the network and in paper form, the plan should also be maintained on each employee's encrypted laptop.
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AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: Insurance Commissioner

Project/Event: Emergency response to storm-related state of emergency

Prepared by: Jason Butcher Date of Review: 8/3/2012

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Mike Riley	Commissioner	Determine agency's essential functions and personnel: communicate with staff
Andrew Pauley	General Counsel	On hand to assist Commissioner with Legal Issues
Tonya Gillespie	Assistant Commissioner - Regulation	Assist Commissioner in determining actions to take – also on hand for any financial matters that may arise
Kathy Beck	Dir. Consumer Services	Assists Consumers (will have 5-6 staff members on hand as well)
Jason Butcher	Communications	Communicate with media and staff
Elizabeth Webb	Dir. Agents Licensing	Assist Commissioner with agent/adjuster issues
Samantha Boggess	Dir. Claims Services	On hand to assist injured workers (will have 2-3 staff members on hand as well)
John Beane	IT Director	On hand to assist with any IT issues

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the Insurance Commissioner during this state of emergency was to respond to questions from consumers and insurance adjusters and secure headquarters and field offices.

After receiving instructions from Governor Tomblin and Secretary Lorensen, Commissioner Riley instructed employees that if able, they should come to work. The Consumer Services Division was sufficiently staffed on Monday, July 2, to handle calls from consumers and insurance adjusters.

The Insurance Commissioner headquarters was secure and operational. Field office employees did not attend work and one was without power.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCCESES	HOW TO ENSURE SUCCESS IN THE FUTURE
Consumer services division responded to all questions from concerned West Virginia citizens and insurance adjusters	Ensure all consumer services division employees understand they are essential to the agency's functions
Met agency essential functions	
Communicated with staff	Update Emergency Contact List

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Easily access Emergency Contact information	Since staff members used cell phones as a primary source of communication, all cell phones should be equipped with an updated Emergency Contact List
Update the OCS	Assess disruption to the agency, then notify OCS

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: Lottery Commission

Project/Event: Emergency response to storm-related state of emergency

Prepared by: _____ Date of Review: _____

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
John Musgrave	Director	Determine agency's essential function and personnel; communicate with staff
All senior staff		

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the Lottery Commission during this state of emergency was to maintain the following: continuance and regulation of gaming activities, security at headquarters and casinos, and communication with field employees.

After receiving instructions from Governor Tomblin and Secretary Lorensen, Director Musgrave informed personnel that employees necessary to carry out the Commission's role should come to work. This included Lottery Senior Staff, field managers/supervisors, key administrative staff, finance personnel, security, and IT staff.

The Lottery Commission held a senior staff meeting on Monday, July 2, to discuss the day's operations.

Lottery headquarters and casinos were secure and operational.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCCESES	HOW TO ENSURE SUCCESS IN THE FUTURE
Continued and maintained gaming activity	
Communicated with staff	Routinely update the Emergency Contact List
Held weekly staff meeting	

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Easily access Emergency Contact information	Since staff members used cell phones as a primary source of communication, all cell phones should be equipped with an updated Emergency Contact List
Update the OCS	Assess disruption to the agency, then notify OCS

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: Municipal Bond Commission

Project/Event: Emergency response to storm-related state of emergency

Prepared by: Sara Boardman Date of Review: 8/2/12

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Sara Boardman	Executive Director	Determine agency's essential functions and personnel; communicate with staff
Other staff members		
Patricia Lanham	Accounting Tech	Prepared and processed necessary FIMS documents for new fiscal year and required debt service payments
Tammy Garner	Office Assistant	Reviewed and approved required automatic debit for over 800 bond receipts. Prepared and processed necessary FIMS documents for investment

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the Municipal Bond Commission during a state of emergency is normally minimal. However, Executive Director Sara Boardman and selected staff attended work to process and complete all FIMS transactions and account sweeps for the first working day of the month and new fiscal year.

The Municipal Bond office was operational and secure.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCCESES	HOW TO ENSURE SUCCESS IN THE FUTURE
Completed all transactions and account sweeps	Staff was aware of their role and the priority of the tasks needed.
Identified essential functions	Communicate of key functions and maintain checklist of required few fiscal year functions
Communicated with staff	Continue to keep Emergency Contact List updated

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Update the OCS	Assess disruption to the agency, then notify OCS
Easily access Emergency Contact information	Since staff members used cell phones as a primary source of communication, all cell phones should be equipped with an updated Emergency Contact List

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: Office of Tax Appeals

Project/Event: Emergency response to storm-related state of emergency

Prepared by: A.M. "Fenway" Pollack Date of Review: 8-2-12

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
A. M. "Fenway" Pollack	Chief Administrative Law Judge	Determine agency's essential functions and personnel; communicate with staff
Stephen Lee	Executive Director	Determine agency's essential functions and personnel; communicate with staff

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the Office of Tax Appeals during a state of emergency is minimal. Chief Administrative Law Judge Fenway Pollack was onsite to answer phones and respond to questions. No hearings were scheduled for this date.

The Office of Tax Appeals office was operational and secure.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCSESSES	HOW TO ENSURE SUCCESS IN THE FUTURE
Communicated with staff	Routinely update Emergency Contact List

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Update the OCS	Assess disruption to the agency, then notify OCS
Easily access Emergency Contact information	Since staff members used cell phones as a primary source of communication, all cell phones should be equipped with an updated Emergency Contact List
General preparedness	Conduct biannual reviews with staff (including new hires) of the agency's Business Continuity and Disaster Plan

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: Racing Commission

Project/Event: Emergency response to storm-related state of emergency

Prepared by: Joe Moore Date of Review: 8/2/12

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Jon Amores	Executive Director	Determine agency's essential functions and personnel; communicate with staff

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the Racing Commission during this state of emergency was to maintain the following: continuance and regulation of racing activity, secure headquarters, field personnel at all racetracks, and respond to general inquiries.

After receiving instructions from Governor Tomblin and Secretary Lorensen, Executive Director Amores instructed employees to, if able, attend work and continue with normal tasks. All track employees came to work.

Racing Commission headquarters and racetracks were all secure and operational.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCCESES	HOW TO ENSURE SUCCESS IN THE FUTURE
Continued and maintained racing activity	
Communicated with staff	Updated Emergency Contact List

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Update the OCS	Assess disruption to the agency, then notify OCS
Easily access Emergency Contact information	Since staff members used cell phones as a primary source of communication, all cell phones should be equipped with an updated Emergency Contact List

AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: State Tax Division

Project/Event: Emergency response to storm-related state of emergency

Prepared by: Danny Forinash Date of Review: _____

In responding to the following questions, please use additional sheets as necessary.

Key Participants:

NAME	JOB TITLE	ROLE IN EMERGENCY
Craig Griffith	Commissioner	Determine agency's essential functions and personnel; communicate with staff
Jeff Oakes	Acting Deputy Commissioner	Determine agency's essential functions and personnel; communicate with staff
Danny Forinash	Public Information Officer	Communicate with public and media
Michael Coutz	Director of Compliance and Taxpayer Services	Direct Taxpayer Service Efforts

Please provide a detailed summary of your Agency/Commission's role in responding to the state of emergency.

The role of the State Tax Division during this state of emergency was minimal. The Division believes its functions are essential but does not suffer from temporary interruptions. The Division operates with the understanding there may be times during the year when operations are critical, but this did not apply on Monday, July 2. The State Tax Division facilitated a transfer of monies from the Rainy Day Fund for General Revenue cash flow purposes. This occurs on the 1st working day of the new fiscal year. Patricia Haddy, Operations Director, coordinated with the State Budget Office on this transfer.

Commissioner Griffith issued a message to all Tax employees noting they are not required to report to work on Monday, July 2.

Tax headquarters and field offices were secure, but nonoperational.

What went well and why?

(What were the successful steps taken towards achieving your objective?)

SUCSESSES	HOW TO ENSURE SUCCESS IN THE FUTURE
Communicated with staff	Routinely update the Emergency Contact List
Provided minimal staffing	Designate necessary staff members
Prompt call-backs the following day	Ensure some taxpayer service staffing

What can be improved and how?

(What could have been done better? What can your agency/commission do differently in similar situations in the future to ensure success? What would be your advice to future emergency response teams?)

WHAT CAN BE IMPROVED	RECOMMENDATIONS
Identify money transfer and account sweep dates to ensure timely transactions	Sufficient amount of staff to complete these transactions
Identify essential staff members	Designate some taxpayer service representatives – although not specific staff members – as essential during a particular state of emergency. For example, when the office is closed, Taxpayer Services might ask two staff members to be on hand to take calls.