



JOHN D. PERDUE
STATE TREASURER

DANNY ELLIS
ASSISTANT STATE TREASURER

State of West Virginia
OFFICE OF THE STATE TREASURER
CHARLESTON, WV 25305



AFTER ACTION REVIEW QUESTIONNAIRE

Agency/Commission: State Treasurer's Office

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

Prepared by: Kim Ward, Treasurer's Office Communications Specialist **Date of Review:** 8/2/2012

Key Participants/Roles:

Carolyn Atkinson, Deputy Treasurer of Unclaimed Property- Maintain office access to the public; facilitate communication and determine essential operations.

Cindy Hillen, Assistant Director of Unclaimed Property- Maintain office access to public; run time-sensitive required system reports.

Misty Price, Deputy Treasurer of Cash Management- Maintain office access to the public; facilitate communication and determine essential operations.

Karl Shanholtzer, Board of Treasury Investments Chief Financial Officer- Facilitate communication and ensure normal operations.

Kin Richardson, Director of Networking- Ensure normal IT operations.

Phil White, Director of Software- Ensure normal IT operations.

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

The West Virginia State Treasurer's Office focused on continuing to provide normal services to the public.

The Board of Treasury Investments staff were present for the Monday following the storm at normal staffing levels. Since the bond markets and banks were not closed, BTI staff needed to be present to move funds between the investment accounts and the STO's accounts and to ensure that trades were processed correctly. There were no issues encountered.

As "The State's Bank," our Cash Management division wanted to ensure that:

1. All moneys received (all types) by open state agencies were processed and deposited.
2. All outgoing payments (all types) would be dispersed.
3. The daily cash position was set.
4. Any participant investment activity was processed.
5. Banking restrictions were met.
6. Check fraud and erroneous payments were deterred.

To achieve this goal, a skeleton crew reported to work for each of the following divisions: Cash Accounting, EFT/Financial Services, Treasury Operations and Participant Accounting.

Our Unclaimed Property division also remained open for business during this time. On Sunday, July 1, 2012 Carolyn came into the office at Players Club to see whether there was electricity and determine what type of disaster recovery measures needed to be taken. Cindy Hillen was already at the office, running end-of-year reports for herself and other management staff, due to the state of emergency (would typically have been run on Monday, but ongoing electrical service was spotty). On Monday, Carolyn and Cindy reported to work to allow the Players Club office to be open. On Tuesday, July 2, the office was again fully staffed, in spite of many staff members continuing without power at home.

What went well and why?

Communication was our key to success during the state of emergency.

The cash management division has a disaster recovery plan in place. Because of this, staff knew how to co-ordinate and what areas were deemed "critical functions" of cash management. Directors in their respective areas knew what personnel to deem "essential" based on the items listed above and the work load for the day (First day of the Fiscal Year). The Unclaimed Property division demonstrated a great communication plan. Each member of the management staff maintains a call list of employees and emergency contacts-in hard copy format, either at home or in their cars so they were able to coordinate a plan of action of the weekend and share that plan with employees before the office opened for business on Monday morning.

Our staff's willingness to work harder to provide necessary services in spite of difficult conditions ensured that the State Treasury Office was operational throughout the state of emergency.

Despite operating out of multiple office buildings, the Treasurer's Office was not affected by the power outages. Had one of our offices been without power, staff from that office could have continued regular business operations from an alternate location. To prepare for such a need in the future, our IT

department is preparing to do periodic testing for the needs of each department working from alternate locations.

What can be improved and how?

Communication among agencies/spending units. Even though cash management knew to report, we were unclear as to what other agencies were open. Therefore, we did not know what agencies were or were not going to submit information. This did not cause any significant problems to us as we were open to accommodate all agencies' requests, if any, that we received for the day.