



Arkansas Disaster Preparedness and Response Plan (DPRP)

Office of Early Childhood (OEC)

Distribution List: Assistant Commissioner, Assistant Directors, Director of Finance and Chief Information Officer

**Office of Early Childhood
Arkansas Department of Education
Disaster Preparedness and Response Plan
(DPRP)**

Approved by the following Office of Early Childhood (OEC) personnel:

_____ Tonya L. Williams Assistant Commissioner <i>DPRP Primary Point of Contact</i>	_____ Date	_____ Laura Webb Director of Finance <i>DPRP Back-up Point of Contact</i>	_____ Date
_____ Brandy Ishmon Assistant Director Direct Support and Operations	_____ Date	_____ Lori Bridges Assistant Director Content and Development	_____ Date
_____ Dawn Jeffrey Assistant Director Compliance	_____ Date	_____ Jennifer Douglas Assistant Director Local Leads	_____ Date
_____ Arijit Sarkar Chief Information Officer	_____ Date		

OEC's mission critical functions that depend on an information technology component - in order of priority, are:

1. OEC Compliance
2. OEC Direct Services and Operations

Document Development

This document was developed by the Arkansas Department of Education – Office of Early Childhood to create a plan to provide guidance to staff on how to continue operations in Arkansas in the event of a disaster.

Responsible parties for of this plan are the following:

- Tonya Williams, Assistant Commissioner, OEC
- Brandy Ishmon, Assistant Director, Direct Support and Operations
- Dawn Jeffrey, Assistant Director, Compliance
- Lori Bridges, Assistant Director, Content and Development
- Jennifer Douglas, Assistant Director, Local Leads
- Laura Webb, Director of Finance, OEC
- Arijit Sarkar, Chief Information Officer, ADE

The plan is meant to be a living document with revisions annually or as needed. The following are the updates to the document. Comments and revisions to the document may be sent to the Arkansas Department of Education – Office of Early Childhood. Licensing Requirements for providers are to complete the Child Care Emergency Plan and file this plan with Arkansas Office of Emergency Management, in reference to State Licensing Requirements (Sections 1200, 1201.1 and 1201.2).

Version	Date	Notes
1.0	September 2024	Plan Published

II. References

- The DPRP is in reference to the Child Care Emergency Plan and the School Readiness Licensing Manual.
- Agency documentation procedures
 - Child Care Licensing:
Daily procedures located with workers, Document Owner-Dawn Jeffrey
Contingency procedures located with Dawn Jeffrey
 - Child Care Vouchers:
Daily procedures located with workers, Document Owner- Brandy Ishmon
Contingency procedures located with Brandy Ishmon
 - Background Check:
Daily procedures located with workers, Document Owner- Dawn Jeffrey
Contingency procedures located with Dawn Jeffrey
- Department of Finance and Administration, Office of Accounting, Financial Management Guide
- Arkansas Department of Education Administrative Procedures Manual
- Arkansas Department of Education, Emergency Procedures, ADE Central Office Complex

Distribution

The following will receive a copy of the entire Arkansas Department of Education (ADE) DPRP:

- Jacob Oliva, Secretary, Arkansas Department of Education (ADE) (OEC DPRP POC)
- Arijit Sarkar, Chief Information Officer, ADE Office of Information Technology (OIT)
- Karthik Basker, Deloitte (Primary POC)

The following will receive a copy of this section from the OEC DPRP POC:

- Tonya L. Williams, Assistant Commissioner
- Laura Webb, Director of Finance
- Lori Bridges, Assistant Director
- Brandy Ishmon, Assistant Director
- Dawn Jeffrey, Assistant Director
- Jennifer Douglas, Assistant Director
- Matthew Bond, Information Systems Manager

Additionally, OEC should inform all personnel identified in this section of their participation and be supplied with the pages relevant to their duties.

About

OEC is committed to ensuring that all children in Arkansas have access to high quality and developmentally appropriate early childhood programs. This goal is accomplished through registering and licensing of school readiness providers, coordinating criminal background checks on school readiness employees, processing child care eligibility and billing for school readiness providers, and managing the State's pre-kindergarten program called the Arkansas Better Chance Program. OEC serves over 191,000 children and over 1900 providers with 126 OEC staff members.

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I. Introduction

The Office of Early Childhood (OEC) understands a potential disaster could not only disrupt the continuity of governmental and business functions, but also operations of essential and other community services. It is critical that agencies have plans in place to manage operations with minimal losses and disruptions during a disaster. Should a disaster occur, the OEC Assistant Commissioner may request alternate work plans.

In the case of a disaster, agencies must plan for employees being unable to return to work for significant periods of time. In addition, businesses, social organizations or schools may be required to take unique measures to help speed the disaster recovery efforts. Depending on the circumstances, life and safety issues are also significant. As we recover from such disasters, it is important to ensure that core business activities can be maintained for several weeks, possibly months, with limited staff. OEC will identify its mission critical operations and essential positions within its structure.

II. Purpose, Scope, Planning Assumptions, Situation

A. Purpose. The purpose of this document is to establish a Disaster Preparedness and Response Plan (DPRP) for the Department of Education – Office Early Childhood (OEC) within the State of Arkansas. This plan will establish a timely and efficient response and define the business framework for the agency. It will also define the spectrum of services and authorities that the plan will have until normal services are restored to an acceptable operating level.

B. Scope. The scope of this plan is limited to the restoration of services impacting the normal day to day operation of OEC. This plan is meant to be implemented in the event of a disaster that impedes the daily functions of the agency.

C. Plan Objectives

- Serves as a guide for OEC management teams.
- References and points to the location of any data that resides outside this document.
- Provides procedures and resources needed to assist in recovery and restoration of “normal” business operations as quickly as possible.
- Identifies vendors and customers that must be notified in the event of a disaster that impacts OEC operations.
- Assists in minimizing confusion experienced during a crisis by providing a document to follow with testing and reviewing recovery procedures.
- Identifies alternate sources for supplies, resources and locations.
- Documents storage, safeguarding and retrieval procedures for records.

D. Planning Assumptions. This plan will account for factors that may affect its successful implementation during a disaster. The following conditions may or may not impact the success of the plan.

- All essential personnel possess portable state equipment to perform services.
- All non-essential personnel have access to a computer, Wi-Fi, and required state systems to perform job functions remotely.
- Disaster will be short-term.

- Key personnel (Assistant Commissioners, Assistant Directors, Managers/Team Leaders or Alternates) will be available following a disaster.
- This document and all-important records are stored electronically and are accessible immediately following the disaster.
- Each unit will have its own plan to handle unique recovery procedures, critical resource information and procedures.
- System access is available to key personnel outside of the agency.

E. Situation Assessment. OEC will work with partnering agencies/organizations, to allow continuity of services. The agency will assess all locations where a satellite office is located and determine what steps should be taken to protect personnel affected by the disaster.

1. *Scope and Scale of the Disaster.*

For continued personnel services, the scope of the disaster will determine which course of action should be performed. As the complexity of the disaster changes or reports from the field are validated, this estimate may change. Based on current information, the agreed upon number of staff shall continue to perform services to citizens.

2. *Critical Services.*

Services such as State's CCDF system, AASIS, and DocuShare are critical and necessary to complete daily tasks. Support for the disaster may result in employees working from a designated location or from their home dependent upon the nature of the disaster. Essential personnel must possess required equipment to perform critical services.

3. *Shortfalls.*

Depending on the scope of the disaster, essential personnel may not be able to meet all required needs of citizens such as:

- The Compliance Unit may not be able to visit provider sites and/or process criminal background checks.
- Behavioral Help Contractors may not be able to perform on-site assessments to determine the need of referred clients.
- Potential cases of fraud or non-compliance may occur from the lack of visibility of OEC staff in the field which is required to monitor services.
- Shortfalls will continue to be assessed to determine if additional plans will need to be created.

III. Concept of Operations

A. General. The plan becomes effective when a disaster occurs. However, the plan will not be initiated until OEC Leadership monitors the situation and provides guidance to essential personnel. Once the plan is initiated it will continue until normal operations resume at the original or a replacement location and control is returned to the appropriate functional management.

B. Essential Personnel Responsibilities. Depending on the scope of the disaster, OEC may require additional personnel to act on behalf of the agency.

- Each essential personnel will designate an alternate backup.

- All the members should keep an updated calling list of their work team members' work and cell phone numbers, both personal and work.
- All team members should keep a binder with this plan, contact information, and required documents to perform job duties for reference at home in case the disaster happens after normal work hours.
- All employees, especially essential personnel, should familiarize themselves with the contents of this plan.

Individual Roles and Responsibilities	
OEC Assistant Commissioner	Responsible for notifying Assistant Directors and/or Administrators of alternate work locations
Assistant Directors & Administrators	Responsible for notifying each unit and key personnel of what duties should continue to be performed
Program Managers & Supervisors	Responsible for ensuring essential services are performed
Essential Personnel	Responsible for continuing specialized task with the assistance of Program Managers and/or Supervisors
IT Manager	Responsible for ensuring all essential systems are operational

C. Technology Requirements. Key personnel will ensure all required staff have access to the appropriate systems and technology requirements to ensure job functions are performed. Personnel can access the systems through an ADE issued laptop/tablet or remotely from a desktop computer. Additionally, personnel can access emails online, via the office365 webpage, on any desktop computer.

1. *Cisco VPN*

The user would need to have an ADE laptop or tablet. VPN access is requested through the online DHS 5008 Submission and needs to be submitted from the device the user will be using. Approval must be granted prior to use.

- Connect device to Wi-Fi.
- Log into Cisco VPN by clicking on the *show hidden icons* symbol located in the bottom right-hand corner of the tablet/laptop, next to the battery icon.
- Once the icon is clicked, a box will show, containing several additional icons.
- Click on the ball icon that reflects *Cisco AnyConnect* when you hover over it.
- Click Connect and enter ADE System log in credentials.
- Upon successful login the user would be connected to the ADE Network.

2. *Emails* - Users can check their emails through outlook.office365.com.

- Click on link and enter log in credentials.

D. Invoking the Plan. The OEC Assistant Commissioner, Assistant Director, and/or Arkansas Department of Education Office of the Secretary will notify essential personnel, during a disaster, when the plan is to be activated. Once the plan is activated, it will remain in effect until operations are resumed at the original location or a replacement location has been identified.

1. *Phase 1: Planning Phase (Low Risk).*

This includes preparedness activities that occur during normal operations. OEC Leadership and/or Subject Matter Expert (SME) will work with personnel to ensure regular training is conducted and all personnel are prepared should an event occur. Information Technology will

ensure all OEC Leadership and essential personnel have access to the required systems to perform duties.

Pre-Disaster Steps
The Agency leadership may review/revise the plan pre-disaster.
1. Leadership will work with essential personnel to ensure accuracy of the plan. Any changes can be made pre-disaster.
2. Leadership will assess available resources and ensure essential personnel have available resources to use during an incident/event.
3. The needs of all units will be identified pre-disaster to determine if additional resources need to be identified and incorporated in the plan.
4. The plan will be edited to reflect any changes.

2. Phase 2: Disaster Phase (Elevated Risk)

For a notice event, the director will assess all locations around the state where services are performed. If a facility is within close proximity of an OEC office, the threat is considered to be elevated or credible.

Elevated and/or Credible Threat Steps
1. OEC Assistant Commissioner will receive guidance from the Office of the Secretary and/or ADE key personnel regarding the location.
2. If the location has not been compromised but is at risk of being compromised, the Assistant Commissioner will notify the Assistant Director along with key personnel to immediately relocate staff to a more secure location.
3. If there is not a secure location within reasonable proximity, the staff will be required to telework and perform all essential duties remotely. If staff is required to conduct face-to-face client interviews/meetings, staff will be required to perform the interviews/meetings by phone to avoid travel during the elevated risk.
4. Each unit will follow the flow chart attached.

3. Phase 3: Disaster Phase (Facility Shut Down)

- During this phase, the disaster has occurred and requires immediate safety precautions for staff and/or key personnel. Refer to the below table if the OEC Office is compromised or staff is instructed to remain home.
- Alternate locations are attached in the appendices. If a facility has been compromised, the attached document will be reviewed to determine feasible alternate locations.
- Any work performed and/or documented at an alternate location must be kept in a confidential location when working outside of the normal work setting. Staff will follow all ADE security guidelines when working outside of the office.

Immediate Response due to Disaster

1.	OEC Assistant Commissioner will immediately notify the Office of the Secretary and/or ADE key personnel regarding the location and will instruct all staff to report to a different site, if possible.
2.	If the alternate location has not been compromised but it is at risk of being compromised, the Assistant Commissioner will notify the Assistant Director along with key personnel to immediately instruct employees to work from home.
3.	Staff location will be documented on the attached Personnel Location List.
4.	If required to conduct face-to-face client interviews/meetings, staff will perform the interviews/meetings by phone to avoid travel during the disaster phase.
5.	Staff will reschedule any monitoring visits for a later time until it is safe to travel and document accordingly.
6.	All staff will notify supervisor by email regarding duty start/end time and lunch start/end time which will be documented by the supervisor on the attached Personnel Sign In and Out Form.
7.	Staff will submit reports and participate in weekly conference calls with supervisor to obtain updates.
8.	Each unit will follow the flow chart attached.
9.	Staff are not return to the office until notified by OEC Leadership or essential personnel.

4. Phase 4: Recovery Phase (Normal Operations)

The OEC Assistant Commissioner, Assistant Director, and/or appointee will continue to monitor the event. Once information has been received from ADE Office of the Secretary that the event has subsided, staff may be instructed to return to their normal duty stations. Should it be deemed necessary to work at remote locations, staff will be notified by their supervisor and/or key leadership within OEC. Staff are **not** to return to their duty station until otherwise instructed.

IV. OEC Specific Risk Mitigation and Contingency Strategies

This section, of the Arkansas ADE DPRP, contains OEC-specific risk mitigation and contingency strategies in preparation for a critical system or information technology (IT) outage. This includes the inability to connect to a supporting application. Also provided is a Contingency Alert Communications Flow chart, which explains how information will be communicated in case of a contingency. A Mission Critical Function and System table follows, which contains the systems used to support the function and key staff and points of contact. The next table contains maximum acceptable outages for each system and how the system can be phased back, if access is lost.

Each mission critical function is reviewed. Following a summary of the business function, paragraphs describe the actual process, inputs, interfaces, outputs, and dependencies (as applicable). An analysis of the potential risks is presented in tables in the format presented in the table on the following page. Following the risk analysis, risk mitigation and contingency strategies are summarized. These strategies include the activity(s) administrator and manager. Because ADE Agencies and Offices have emergency operation plans (for emergencies such as tornadoes, etc.), this DPRP does not duplicate those procedures – but does summarize risk mitigation and contingency activities. Detailed instructions for ongoing risk mitigation and contingency activities are maintained by the Agencies/Offices.

Risk mitigation and contingency actions are validated, via a discussion with OIT increasing the successful execution of this plan, should the need arise. ADE Agencies/Offices are responsible for conducting detailed walkthroughs with identified staff.

RISK TITLE	
Risk	Description of the risk
Reason	Explains why the risk may occur
Likelihood of Occurrence	'High,' 'Medium,' or 'Low' rating with explanation for the rating
Impact on Mission	'High,' 'Medium,' or 'Low' rating with explanation for the rating
Window of Vulnerability	Contains a date range of dates that the function is at risk
Sufficient Risk to Require Action?	Contains a 'Yes' or 'No' with explanation of the why; if 'No' then the following boxes usually are not completed
Risk Mitigation	Risk mitigation strategies
Recommended By	Person or source of the risk mitigation strategy
Contingency	Suggested contingencies
Recommended By	Person or source of the contingency strategy
Decided By	Person(s) who agree decides the strategy(s) are acceptable

V. Assumptions

As stated in Section II, ADE made the following assumptions prior to preparing individual Agency and Office DPRPs and assessing risks:

- Applications and software have been tested (this DPRP does not address application or software errors)
- Data transfers (batch processes, etc.) take place as scheduled (including normal backup or contingency if a primary scheduled transfer does not occur)
- County offices have identified alternative work sites in the event of a disaster
- Emergency procedures exist for the Central Office (maintained by ADE Finance) and for county offices (maintained by DCO); contractors, vendors, and DIS maintain emergency procedures for their environments; the Department of Emergency Management is working on a plan to address telephone outages (possible with HAM radios)
- Agency and offices maintain and/or update specific detailed step-by-step procedures to perform their key mission critical business functions both in their day-to-day operations and if an IT outage occurs; hard copies and soft copies of documentation are stored in redundant, separate locations
- Personnel who perform the functions described in this plan are trained (except as noted) in their duties and that agencies/offices provide sufficient training
- The organization that 'hosts' or stores/backups application and/or data are responsible for disaster recovery of the application and/or data.

OEC also makes the following assumption:

- Mail services will be working properly.

VI. Business Continuity and Contingency Team

The primary Business Continuity & Contingency Team (and backups) and their responsibilities are listed in the table below.

CONTACT AND TITLE	RESPONSIBILITY	CONTACT INFO Phone
Tonya L. Williams Assistant Commissioner	Redirect resources and participate in triad as necessary	501-320-8953 (O) 501-944-9650 (C)
Laura Webb Director of Finance OEC DPRP Backup POC	Fulfills role of the DPRP POC in their absence	501-682-4478 (O) 501-551-6427 (C)
Lori Bridges Assistant Director Content and Development	Alert OEC DPRP POC and all OEC Agency Staff as necessary	501-682-5557 (O)
Dawn Jeffrey Assistant Director Compliance	Alert OEC DPRP POC and Criminal Records / Licensing Staff as necessary	870-698-4327 (O) 870-251-6945 (C)
Brandy Ishmon Assistant Director Direct Support and Operations	Alert OEC DPRP POC and all OEC Agency Staff as necessary	501-320-8930(O) 501-615-5392 (C)
Jennifer Douglas Assistant Director Local Leads	Alert OEC DPRP POC and all OEC Agency Staff as necessary	501-712-6398 (C)
Matthew Bond Information Systems Manager Information Technology	Alert key OEC Staff, OIT, vendors, and providers as necessary	501-910-6482 (O)
Pamela Carlisle Program Administrator Child Care Development Fund	Alert OEC DPRP POC and Direct Support and Operations Unit Staff as necessary	501-320-8930 (O) 501-615-5392 (C)
Kayla Bodi Program Administrator Arkansas Better Chance	Alert OEC DPRP POC and Direct Support and Operations Unit Staff as necessary	501-910-6479 (O) 501-644-4835 (C)

A. Communication Flow

ADE Contingency Alert Communications flow diagram is presented on the following page. This communication flow is designed to communicate invocation of a contingency in case of a critical IT outage. This communication flow does not replace existing communication structures, within ADE or within and among ADE Agencies and Offices. The person who discovers an IT outage follows the established communication of technical problems within their Agency/Office. Should a contingency be invoked, the person invoking the contingency identified in their DPRP section informs the following individuals:

- Agency/Office DPRP POC
- Their Agency/Office Director
- Arijit Sarkar (ADE DPRP POC), OIT
- Others as identified in the DPRP section and/or Agency/Office guidelines.

At the center of this communication flow of contingency alert is a triad of ADE organizations that collects and disburses information as necessary:

- Office of Communications
- Office of Information Technology
- Applicable ADE Agency/Office Director(s).

The Office of Communications will disseminate information, as determined by the triad, to other Directors to share with their staff, or will communicate directly throughout ADE. The Office of Communications will also disseminate ADE information to all appropriate external communication channels (e.g. newspaper, radio, etc.).

OIT will communicate with and obtain the necessary resources from DIS, technical contractors, and the Arkansas Department of Emergency Management (ADEM) to solve business continuity system issues. If an IT outage involves a major federal program (e.g. food stamps, Temporary Assistance to Needy Families (TANF), or Medicaid, the applicable Agency/Office Director will communicate with the Federal Government. Should a problem arise that is not addressed in this DPRP, the triad will work together to address the issue.

B. Mission Critical Business Functions and Systems

The table below contains a list of functions deemed mission critical based upon discussions with senior OEC staff and ADE/OIT staff.

FUNCTION	ECIO STANDARD CATEGORY*	FUNCTION OWNER	KEY STAFF AND BACKUPS	SYSTEM(S)	OEC SYSTEM POC
1. School Readiness Licensing	Public Safety	Dawn Jeffrey	Mary Oliver, Onika Luster	Child Care Licensing ELS System	Matthew Bond
2. School Readiness Assistance	Other	Brandy Ishmon	Patricia Johnson Pamela Carlisle	Child Care Billing State's System	Matthew Bond
3. Criminal Records	Public Safety	Dawn Jeffrey	Neondra Cain	Criminal Records Background Check	Matthew Bond
4. Information Technology	Other	Matthew Bond	Scott Snider	Enterprise Data Warehouse	Matthew Bond

** Categories from Executive Chief Information Officer's Standard on Business Continuity: Public Safety, Public Health, Sustenance Payments, State Revenue, Education, Other Procedures for performing these mission critical business functions are documented. Each member of staff performing the function has a copy of their updated procedures.*

VII. Systems and Maximum Acceptable Outages

Should there be a critical IT outage, technical personnel need to know how to prioritize recovery activities. The table below lists the systems that support OEC's mission critical business functions, OEC's maximum acceptable outage (MAO) – and rationale or reason for the MAO. This table also includes information on how the system can be phased back gradually or if the entire system, and all functionality, must be available to all users at same time (100%).

SYSTEM	MAO	RATIONALE	PHASED BACK
ELS	1 Week	Child Care Licensing could function indefinitely without ELS, but other systems such as the State's CCDF system, Child Care Billing and the Health and Nutrition system rely on information contained in this system to function properly. Outages in this system would have negative ramifications for all Agency activities.	100%: system must be available to all users at same time
State's CCDF system	2 Weeks	Providers have delayed billing from 1-2 weeks prior to a system shutdown. If the system were down for two weeks and with a week to generate a check to a provider, a provider would be without payment in excess of one month.	State's CCDF system must be backed up 100% first, then system must be available to all users at same time
Compliance - Background Check	1 Day	Compliance - Background Check requests and responses are required to ensure the safety of children in school readiness settings. These checks need to be completed as soon as possible once the request has been submitted to us.	100%: system must be available to all users at same time
Enterprise Data Warehouse (EDW)	90 Days	While it is important to detect fraud as soon as possible, retroactive actions can take place when system becomes available. If other systems are down, this will need to be prioritized to get historical data to work from during the downtime.	Can be available to only one user, then brought to 100% as necessary.

VIII. School Readiness Licensing

OEC licenses school readiness providers in the State of Arkansas based upon received applications. This process includes receiving licensing fees and maintaining lists of licensed providers. In a typical State Fiscal Year, there are approximately 2,300 providers licensed in the State of Arkansas. The Agency utilizes the Enterprise Licensing System (ELS) to track licensing requirements for the state.

A. Process

ELS's primary purpose is to keep track of information about all licensed and registered school readiness facilities in the State of Arkansas. ELS records basic information about each licensed facility such as owner, address, licensed capacity, hours of operation, and many other important licensed features. There is also the ability to keep track of all visits when a licensing specialist makes an on-site visit. ELS also can record complaints that might be received by the State of Arkansas. There are numerous reports and notices that support the data recorded.

B. Input

OEC (central office or support staff in central and county offices) enters the facility tax identification number, the facility director's name, and the center's name. OEC central office staff

complete the entry after approval, entering the date the approval was signed and the beginning (and expiration if new provisional license or probationary provisional) dates of the license.

C. Interfaces

Data is entered via the DIS WAN or table interface using PCs operating under Windows 10 Enterprise. There are interfaces with the State's CCDF system, HNP, CHRIS, Portal and Child Care Search, as well as nightly data jobs for the ADE Enterprise Data Warehouse.

D. Output

The mission critical outputs of this system are current, updated records in ELS. The systems that interface with ELS rely on the activity of ELS, to work properly.

E. Dependencies

This process is dependent on ADE Finance entering the receipt date of the license fee.

F. Risk and Contingencies

1. Risk Analysis

This section describes the risks of a critical IT outage and the associated impacts on the Agency's mission. Associated risks are listed with this mission critical function and are listed in the below table.

Inability to Enter Licensing Information Into ELS	
Risk	Unable to enter licensing information into ELS
Reason	Cannot access ELS to enter applications or data.
Likelihood of Occurrence	Low – short term and periodic down time for the system
Impact on Mission	Medium – School Readiness Licensing can use paper forms when documenting monitoring or taking applications for a School Readiness license until the system is restored. OEC
Window of Vulnerability	Every business day
Sufficient Risk to Require Action?	Yes, because of the impact of accessing information and entering monitoring results into the ELS system.
Risk Mitigation	Have 100 licensing applications and (500) 521 licensing compliance forms on hand.
Recommended By	Dawn Jeffrey
Contingency	Process applications and authorizations manually (last tested – continual testing)
Recommended By	Dawn Jeffrey
Decision Maker	Tonya Williams

INABILITY TO PERFORM SITE VISITS	
Risk	The Licensing staff are unable to perform site visits because they are unable to use the ELS system to identify the exact name and location of all facilities on their caseload.

Reason	Cannot access ELS
Likelihood of Occurrence	Low – short term and periodic down time for the system
Impact on Mission	Medium – School Readiness Licensing will print the Current Facility Info Report off on the first of each month and file it to retain a current list of licensed facilities and necessary pertinent information such as name, location and contact information for each site.
Window of Vulnerability	Every business day
Sufficient Risk to Require Action?	Yes, because of the inability to access information on the location of licensed facilities.
Risk Mitigation	Print and file the Current Facility Info Report monthly.
Recommended By	Dawn Jeffrey
Contingency	Process application and authorizations manually (continual testing)
Recommended By	Dawn Jeffrey
Decision Maker	Tonya Williams

INABILITY TO PRODUCE REPORTS	
Risk	Failure to produce reports to be reviewed for the prioritization of work assignments and to help guide management decisions.
Reason	Cannot access ELS
Likelihood of Occurrence	Low – down time on this system has been brief and periodic in nature
Impact on Mission	High – OEC can't produce reports, some may be state/federally mandated
Window of Vulnerability	Every business day
Sufficient Risk to Require Action?	Yes, the risk is high because data needed for reports can't be obtained unless EDW is available.
Risk Mitigation	Print and store monthly reports to be reviewed for management decision until the system is running correctly again. If EDW is available, use EDW to extract necessary data elements to complete state/federal reporting requirements.
Recommended By	Dawn Jeffrey
Contingency	Review previous reports until the ELS system is operational again.
Recommended By	Dawn Jeffrey
Decision Maker	Tonya Williams

INABILITY TO LICENSE NEW CHILD CARE FACILITIES	
Risk	Applications for facilities to be licensed are not processed within the required 60 day time frame.
Reason	Cannot access ELS
Likelihood of Occurrence	Low – short term and periodic down time for the system
Impact on Mission	High- The law requires applications be processed within 60 days. The inability to obtain information in ELS would prevent licensing specialist completion within these time frames.
Window of Vulnerability	Every business day

Sufficient Risk to Require Action?	Yes, because the inability of accessing accurate information from the ELS system.
Risk Mitigation	A paper provisional license would be granted until ELS was able to assign the license numbers.
Recommended By	Dawn Jeffrey
Contingency	Process applications and authorizations manually (continual testing)
Recommended By	Dawn Jeffrey
Decision Maker	Tonya Williams

INABILITY TO TRACK FACILITY MONITORING OR COMPLAINTS/MALTREATMENT ALLEGATIONS	
Risk	Complaints against licensed facilities are not handled in a timely and thorough manner and children are at risk.
Reason	Cannot access ELS
Likelihood of Occurrence	Low – short term and periodic down time for the system
Impact on Mission	High- Serious complaints must be initiated within 24 hours and less serious complaints with 3 business days. Lack of information in the ELS system would prevent licensing specialist from reviewing compliance history and initiating/investigating within these time frames.
Window of Vulnerability	Every business day
Sufficient Risk to Require Action?	Yes, because of the inability to access accurate information from the ELS system.
Risk Mitigation	This risk will rely on EDW being online. Without EDW or some sort of historical data backup, this process will be impractical to rely on a paper backup. OEC licenses close to 2,500 facilities/homes in Arkansas and keeping compliance history in paper format would take up too much room.
Recommended By	Dawn Jeffrey
Contingency	Process applications and authorizations manually (continual testing)
Recommended By	Dawn Jeffrey
Decision Maker	Tonya Williams

2. *Risk Mitigation: Ensure 100 Forms Available for Manual Processing*

Dawn Jeffrey will ensure that 100 state licensing applications forms are located in the Central Office in preparation for a contingency.

3. *Contingency: Inability to Enter Licensing Information*

Criteria – Inability to enter licensing information

Trigger – Two Weeks

Plan Invoked By – Tonya L. Williams

Plan Executed By – Dawn Jeffrey

CANNOT ENTER LICENSING INFORMATION			
	Action	When	Owner
1.	Alert staff to follow existing manual process for completing forms	Immediately following IT outage	Dawn Jeffrey

2.	Request additional staff if required	Upon determination of need	Dawn Jeffrey
3.	Send a weekly report to the Family Support and Health and Nutrition Program Units with effective dates of newly opened and closed licensed facilities	Upon completion of item 1	Dawn Jeffrey

Returning to Normal			
	Action	When	Owner
1.	Enter manually processed data beginning with oldest information first	Upon notice that system is operational and tested	Dawn Jeffrey
2.	Alert ADE Finance which weeks of information are data entry only and claims that have already been processed	As data is being entered	Dawn Jeffrey
3.	Begin using system as normal	Upon completion of Item 1	Dawn Jeffrey

Recovering Lost Data			
	Action	When	Owner
1.	Run summary report upon notification system is available	Upon notice that system is operational and tested	Dawn Jeffrey
2.	Look for last license issued/updated prior to IT outage	Upon completion of item 1	Dawn Jeffrey
3.	If last license information is missing, review backwards until last issued license information is found; re-enter missing information	Upon completion of Item 2	Dawn Jeffrey

IX. School Readiness Assistance

OEC issues Transition Employment Assistance (TEA), Extended Service Support (ESS), Low Income, Foster Care, and Protective Services School Readiness Assistance for subsidized school readiness through State's CCDF system that became operational in July 2005. This process enables parents/guardians to obtain free or reduced fee school readiness based on various factors including family income. In a typical State Fiscal Year, 15,000 children and 8,500 families are served.

A. Process

1. Programs

State's CCDF programs help staff determine eligibility for federally subsidized school readiness services (School Readiness Assistance), maintain waitlists, authorize services, and reduce fraud/overpayments. The system is designed to accurately determine a client's eligibility for School Readiness services based on program specific business requirements for Low Income, Foster Care, Protective Services, Transitional Employment Services, and Extended Support Services. It interfaces with other IT systems to access existing data, validate eligibility, and reduce fraud/overpayment. It disallows

authorizations and/or truncates authorizations, based on various checks when an authorization is created to ensure a valid facility license type, facility operating hours, age, and care type. Concurrency checks save money, as it ensures the correct care is selected for the time of day and length of time being requested. The State's CCDF system performs automatic system deobligations that reduce overpayment/fraud when actions such as case closure, facility closure, and client disqualification actions occur. The system requires a re-determination of client eligibility, when changes occur. It manages the program budget facilitating allocation and tracking of funds and interfaces with Internet billing to facilitate payment. Reports, notices, alerts, and batch processes are tools used to support management and staff actions.

2. Billing System

The State's CCDF Billing System (School Readiness billing system) was developed to replace the previous versions of the State of Arkansas' Internet and telephone billing systems that had been in use for several years. The State's CCDF Billing System became operational in July 2005 simultaneously with the main State's CCDF System. With recommendations from OEC staff, users of the previous systems, and the use of a newer development platform, Microsoft.NET, many improvements were made regarding the general usability and accessibility for the visually impaired. The new system includes a web-based billing interface used by school readiness providers and a web-based maintenance interface used by OEC. For data security and ease of maintenance, a "web service" was created and placed in a secure network area that can be accessed by the facilities outside the ADE domain. This central data access object handles the data exchange web-based billing systems used by school readiness providers allowing for easier maintenance when application changes are needed. School Readiness facilities can now select billing using a list of authorized service days that are available rather than having to type the information in. Related information about service authorizations is also provided to aid in the provider billing process such as the total authorized amount, the total amount billed on an authorization to date, and the amount in process. Other enhancements include more web-based reporting for the Internet billing system and additional reports submitted via email for the web-based billing system. The maintenance application allows for the management of provider's status and access to the billing applications, and reports for School Readiness service authorizations and School Readiness payments.

B. Risk Analysis, Mitigation and Contingencies

1. Risk Analysis

This section describes the risks of a critical IT outage and the associated impacts on the Agency's mission. Risk(s) associated with this mission critical function are listed below.

RISK TITLE: PROVIDERS ARE UNABLE TO BILL OR ACCESS AUTHORIZATION INFORMATION	
Risk	Providers will not be able to bill for services rendered. Facilities would not be able to access their list of approved children or any updates or changes to authorization worksheets. Facilities would not be able to see any notices that are put out by OEC.
Reason	Providers bill electronically CCB and will therefore not be able to pay staff or bill for services rendered.
Likelihood of Occurrence	Medium - There is no scheduled down time and instances of not being able to bill are very rare

Impact on Mission	Medium – Delayed payment
Window of Vulnerability	24 hours a day, seven days a week, year around.
Sufficient Risk to Require Action?	Providers will be required to provide attendance records. All authorizations associated with that facility will be backdated or a claim will be submitted when the system becomes available according to the attendance records.
Risk Mitigation	Providers will be required to submit attendance records.
Recommended By	Brandy Ishmon
Contingency	Manual processing of application and billing based on attendance record
Recommended By	Brandy Ishmon
Decided By	Tonya Williams

RISK TITLE: ENTERING DATA INTO STATE’S CCDF SYSTEM	
Risk	OEC cannot enter authorization information and would lose access to client information, which would prevent any client communications from being sent out. We would not be able to provide service to any additional families or renew existing families for service due to not being able to key data into The State’s CCDF System. Claims could not be processed to pay for any grants. We would lose the ability to move money between counties and cost centers. Clients would not be able to move facilities due to not being able to key a new authorization. Foster Care referrals could not be processed.
Reason	Cannot access application or data and the inability for clients to not be able to move facilities is in conflict with federal regulations requiring parental choice.
Likelihood of Occurrence	Low – based on history
Impact on Mission	Low (short term, 1 week) – previously unavailable, including planned outages Medium/High (long term) – vendors/providers may withhold services/products
Window of Vulnerability	Year around
Sufficient Risk to Require Action?	Yes – could cause an interruption in payments and potential interruption in service to ADE clients
Risk Mitigation	Providers will be required to provide attendance records. All authorizations associated with that facility will be backdated or a claim will be submitted when the system becomes available according to the attendance records.
Recommended By	Brandy Ishmon
Contingency	Manual processing of applications, Claims or delayed payment.
Recommended By	Brandy Ishmon
Decided By	Tonya Williams

2. *Risk Mitigation: Cannot Submit Authorization Information*

Applicable risk mitigation actions and procedures are described below. Also included are the personnel responsible for these activities, and the start and stop dates/times. The communication process for activating these actions is presented.

Risk	Impact	Risk Mitigation	Start /Stop	Communicate Via	Action Owner	Add'l Cost
Cannot submit authorization information	Low-Medium	Notify providers manually of authorizations and approval to care for children	Ongoing	Email/Phone	Brandy Ishmon	Minimal

3. Contingency: Inability to Process Authorizations

Criteria – Inability to process authorizations

Trigger – Two Weeks

Plan Invoked By – Tonya L. Williams

Plan Executed By – Brandy Ishmon

CANNOT PROCESS CLAIM INFORMATION			
	Action	When	Owner
1.	Alert staff to follow existing manual claim authorization process	Upon notice from Tonya L. Williams	Brandy Ishmon
2.	Request additional staff if required	Upon determination of need	Brandy Ishmon

Returning to Normal			
	Action	When	Owner
1.	Enter manually processed data beginning with oldest information first	Upon notice that system is operational and tested	Brandy Ishmon
2.	Alert ADE Finance which weeks of information are data entry only and which claims have already been processed	As data is being entered	Brandy Ishmon
3.	Begin using system as normal	Upon completion of Item 1	Brandy Ishmon

Recovering Lost Data			
	Action	When	Owner
1.	Run summary report and identify last date of billing activity	Upon notice that system is operational and tested	Brandy Ishmon
2.	Broadcast e-mail to providers to verify their billing information for period since last payment activity with a highlight that entries made after date identified in item 1 need to be reentered	Upon completion of item 1	Brandy Ishmon
3.	Assist providers	Upon completion of Item 2	Brandy Ishmon

C. Resources and Constraints

The resources necessary to implement the strategies and any resource restrictions are for staff to handle possible increased telephone calls.

X. Compliance - Background Check

OEC submits requests for criminal background checks, FBI fingerprint checks, and Central Registry Child Maltreatment checks for school readiness providers (school readiness facilities' staff, voluntary registered homes, relative registered homes).

A. Process

OEC receives requests for criminal background checks via surface mail. The OEC criminal records staff checks each request by first searching the Background Check system for the facility information, social security number, and name of the individual for whom the background check is being done. If no record exists, OEC creates a record by entering mandatory information into the system. The current date is automatically entered. Staff enters the type of background check requested and payment source. Following background check requests, the computer generates (sorted by date entered, type, and payment source) lists of documents requested. The reports are reconciled with the request forms and combined according to Arkansas State Police (ASP) requirements. Staff enter results into the system, email the result to the investigating agency. OEC staff enters non-expedited results upon receipt from the FBI (for fingerprint checks). Result letters are generated and mailed to requestors. The Central Registry sends child maltreatment check results directly to the requestors, with copies to OEC. The copies are used to enter the results. The first week of each month, staff prints a system-generated report of requests entered during the prior 30 days (with 'no results') to ensure all requests receive a response.

B. Input

For facilities requesting record checks, OEC first enters the license number of the facility. Demographic information about the individual being checked is entered (SSN, date of birth, etc.) as well as the type of record check, program code and funding source. Record check results are obtained by searching for the record of the request, then entering the date the result was anticipated. If the result is "clear" (no record found) it is entered as "OK"; if a record is found to prohibit the individual from working in a school readiness facility, "PROBLEM" is selected, and notations are made in the record as to the type of charges or problems shown.

C. Interfaces

This process operates on a PC running Windows. There are interfaces with ELS to pull in license information for facilities.

D. Output

The mission critical outputs are the requests that are sent to the investigating agency and the letter informing requestors of the results.

E. Dependencies

In addition to the ADE assumptions, this process is dependent upon the investigating agency fax machines to/from Arkansas State Police Central Registry mails.

1. Risk Analysis

This section describes the risks of a critical IT outage and the associated impacts on the Agency's mission. Risk(s) associated with this mission critical function are listed below.

Risk: Inaccurate Data Output	
Risk	System fails to provide accurate information.
Reason	Cannot access application or inaccurate data is produced due to inaccurate data on background check request.
Likelihood of Occurrence	Low – down time on this system has been brief and periodic in nature
Impact on Mission	High – OEC cannot run background checks or obtain data
Window of Vulnerability	Every business day
Sufficient Risk to Require Action?	Yes, the risk is high because individuals with prohibiting offenses could be working with children without the background check system running to identify and prohibit employment. In addition, OEC would be unable to gather accurate data.
Risk Mitigation	Collect and log request and have them ready for prompt processing after the system is restored.
Recommended By	Dawn Jeffrey
Contingency	Collect and log request and have them ready for prompt processing after the system is restored.
Recommended By	Dawn Jeffrey
Decided By	Tonya Williams

RISK: CANNOT PROCESS BACKGROUND CHECKS TIMELY	
Risk	Requests for background checks are not processed accurately or in a timely manner. This would result in the failure to remove persons from working in school readiness who represent a risk to children.
Reason	Cannot access application or data to run accurate and complete background checks.
Likelihood of Occurrence	Low – down time on this system has been brief and periodic in nature
Impact on Mission	High – OEC cannot run background checks.
Window of Vulnerability	Every business day
Sufficient Risk to Require Action?	Yes, the risk is high because individuals with prohibiting offenses could be working with children without the background check system running to identify and prohibit employment.
Risk Mitigation	Collect and log request and have them ready for prompt processing after the system is restored.
Recommended By	Dawn Jeffrey
Contingency	Collect and log request and have them ready for prompt processing after the system is restored.
Recommended By	Dawn Jeffrey
Decided By	Tonya Williams

2. Contingency: Cannot Research Criminal Background History

This section describes the criteria and triggers to implement the contingency. The process for returning to normal is also included, as well as details on how to recover lost or damaged data.

- **Criteria** – System unavailable to check criminal background history
- **Trigger** – Three days following IT outage
- **Plan Invoked By** – Tonya L. Williams
- **Plan Executed By** – Dawn Jeffrey

Cannot Perform Criminal Background Check			
	Action	When	Owner
1.	Alert staff to follow existing manual tickler log	Upon notice from Tonya L. Williams	Dawn Jeffrey
2.	Request additional staff if required	Upon determination of need	Dawn Jeffrey
3.	Keep paper copies of letter	Upon completion of item 1	Staff

Returning to Normal			
	Action	When	Owner
1.	Enter manually processed data beginning with oldest information first	Upon notice that system is operational and tested	Dawn Jeffrey
2.	Begin using system as normal	Upon completion of Item 1	Dawn Jeffrey

Recovering Lost Data			
	Action	When	Owner
1.	Identify if entry associated with the last letter sent prior to IT outage exists	Upon notice that system is operational and tested	Dawn Jeffrey
2.	Re-enter data if information is determined to be missing	Upon determination of discrepancies in Item 1	Dawn Jeffrey

3. Resources and Constraints

The resources necessary to implement the strategies and any resource restrictions will include data entry staff.

XI. Exclusions (Compliance Reporting)

The Compliance Unit relies extensively on IT services for research documents used in day-to-day core activities. The Unit uses two primary systems in maintaining an accountability program within the Agency. One system is a business intelligence system called the Enterprise Data Warehouse. The other is an Exclusion Database System to keep track of providers that have been excluded from ADE funded programs.

A. Process

The Exclusions System deployed in 2017. It was developed to provide a central data repository of excluded providers to all OEC business applications. The system provides an exhaustive search of licensed school readiness facilities, directors, and owners. It will allow the user to exclude a single facility, multiple facilities by TIN, an individual person, or any identifiable entity. The system also allows the user to place a facility's payments on administrative hold and provides a utility to track individual payments that are being held. The SQL Server Database makes the data easily accessible to other applications such as ELS, The State's CCDF System, State's system Billing, and

HNP. These systems can search the Exclusions database as a part of their claim/authorization process to determine if a facility is eligible to receive funding from OEC.

B. Input

Once OEC staff determines the type of report required and enters criteria for the query, DSS or Exclusion Database Systems extracts the requested data from the various production databases and displays a report preview on a PC monitor.

C. Output

The mission critical outputs are the daily billing reports and material supporting OCC Fraud Unit investigations and Overpayment Processing Unit collection actions.

D. Dependencies

Data is entered via the DIS WAN using PCs operating under Windows10 Enterprise.

The ADE Enterprise Data Warehouse (EDW) is available.

1. Risk Analysis

This section describes the risks of a critical IT outage and the associated impacts on the Agency's mission. Risk(s) associated with this mission critical function are listed below.

CANNOT EXTRACT PROVIDER BILLING INFORMATION	
Risk	OEC cannot access provider billing information or client payment information
Reason	Cannot access OEC databases or applications
Likelihood of Occurrence	Low – based on history
Impact on Mission	Medium – reviews can be postponed
Window of Vulnerability	Every business day
Sufficient Risk to Require Action?	Yes – providers dependent on pay
Suggested by	Laura Webb
Contingency	Postpone billing queries until system is restored – release warrants to providers
Suggested by	Laura Webb
Decided by	Tonya L. Williams

2. Contingency: Cannot Extract Provider Billing Information

This section describes the criteria and triggers to implement the contingency. The process for returning to normal is also included, as well as details on how to recover lost or damaged data.

a. Criteria - Cannot extract provider billing data

b. Trigger – Three days following IT outage

c. Plan Invoked By – Tonya L. Williams

d. Plan Executed By – Laura Webb

CANNOT EXTRACT PROVIDER BILLING DATA			
	Action	When	Owner
1.	Alert staff to discontinue billing reviews	Upon notice from Tonya L. Williams	Laura Webb
2.	Notify finance to disperse provider warrants	Upon notice from Laura Webb	Laura Webb
3.	Keep paper copies of Excel spreadsheet containing review history	Upon completion of item 1	Staff

Returning to Normal			
	Action	When	Owner
1.	Compare Excel file to billing summary to determine billing cycles that were not reviewed	Upon notice that system is operational and tested	Laura Webb
2.	Begin using system as normal	Upon completion of item 1	Laura Webb

Recovering Lost Data			
	Action	When	Owner
1.	Identify if restored data is consistent with Excel file printout	Upon notice that system is operational and tested	Laura Webb
2.	Re-enter missing data if necessary	Upon notice that system is operational and tested	Laura Webb

XII. Functions Associated with Fiscal Management

Agencies and Offices must be able to generate purchase requisitions and be able to draw down/transfer funds to deliver services and payments to clients and providers. This function is dependent on the Arkansas Department of Education Finance including both daily and contingency mode operating instructions/guidelines. Should there be a critical IT outage, ADE Finance will issue direction on how to proceed. ADE Finance will help ADE Agencies and Offices support ADE Finance's contingency activities.

XIII. Points of Contacts and Meeting Attendee Information

Agencies and Offices should maintain, and have readily available in a known location, a list of frequently used and/or important key contact information (e.g. specific names of people and their telephone number) for vendors, technical assistance, other state agencies, and emergency personnel. Additionally, any Agency/Office lists and ADE directories must be readily available in a known place for staff use.

DPRP updates and Contingency Activities should be communicated to:

<i>ADE DPRP Point of Contact</i>
Tonya Williams, Assistant Commissioner
Tonya.L.Williams@ADE.arkansas.gov
Phone 501.320.8953

XIV. OEC DPRP List of Activities and Next Steps

A. Activity with Specific Dates

Refer to the below table, for activity.

Activity	When	Action	Who
Risk Mitigation	Every September/ October or when key people or business functions change	Review/update DPRP, send Arijit Sarkar updates	Matt Bond

B. Next Steps

OEC should conduct activities following development of this plan, including but not limited to the actions listed below:

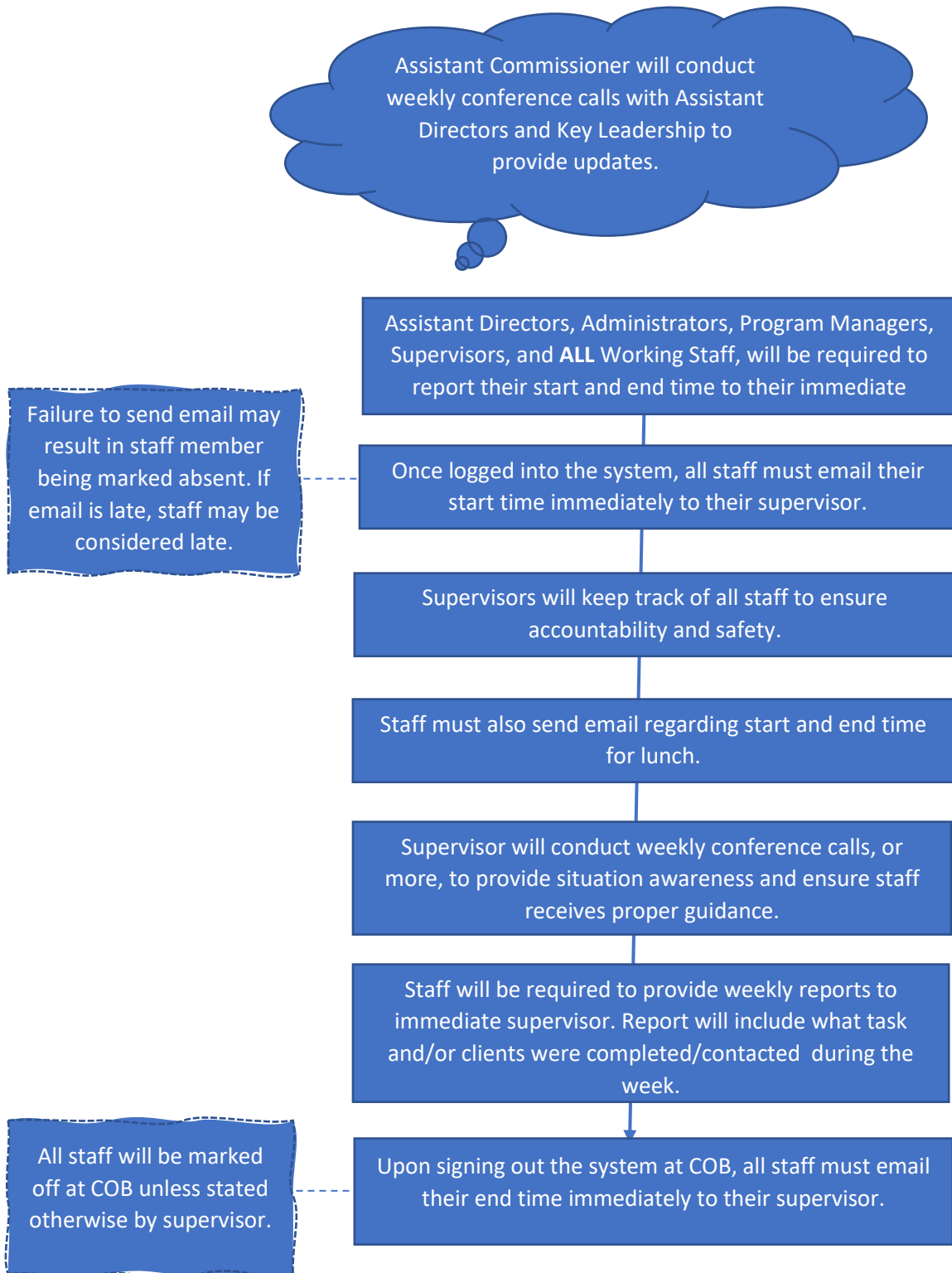
- Ensure backups for key staff are trained and have performed the key staff's duties
- Ensure documentation exists and is maintained for key functions
- Ensure all necessary personnel have a copy of this plan
- Ensure key contact information lists are available and distributed (including vendors, providers, etc.)
- Confirm resource availability, access, and role in other Agency contingencies for each resource identified in the resources and constraints section
- Update this plan as business rules, personnel, and contact information changes
- Ensure that staff backup important files and store separately from their computer
- Conduct dry runs of contingency activities to test plans and participate in ADE-scheduled runs; identify gaps and update DPRP sections.

C. Confirmation of Activities

In the winter of 2009, DPRP POCs and their backups provided information when key activities either took place, or when they were scheduled to occur.

Appendix A. Staff Workflow

Staff will be required to report to supervisor daily



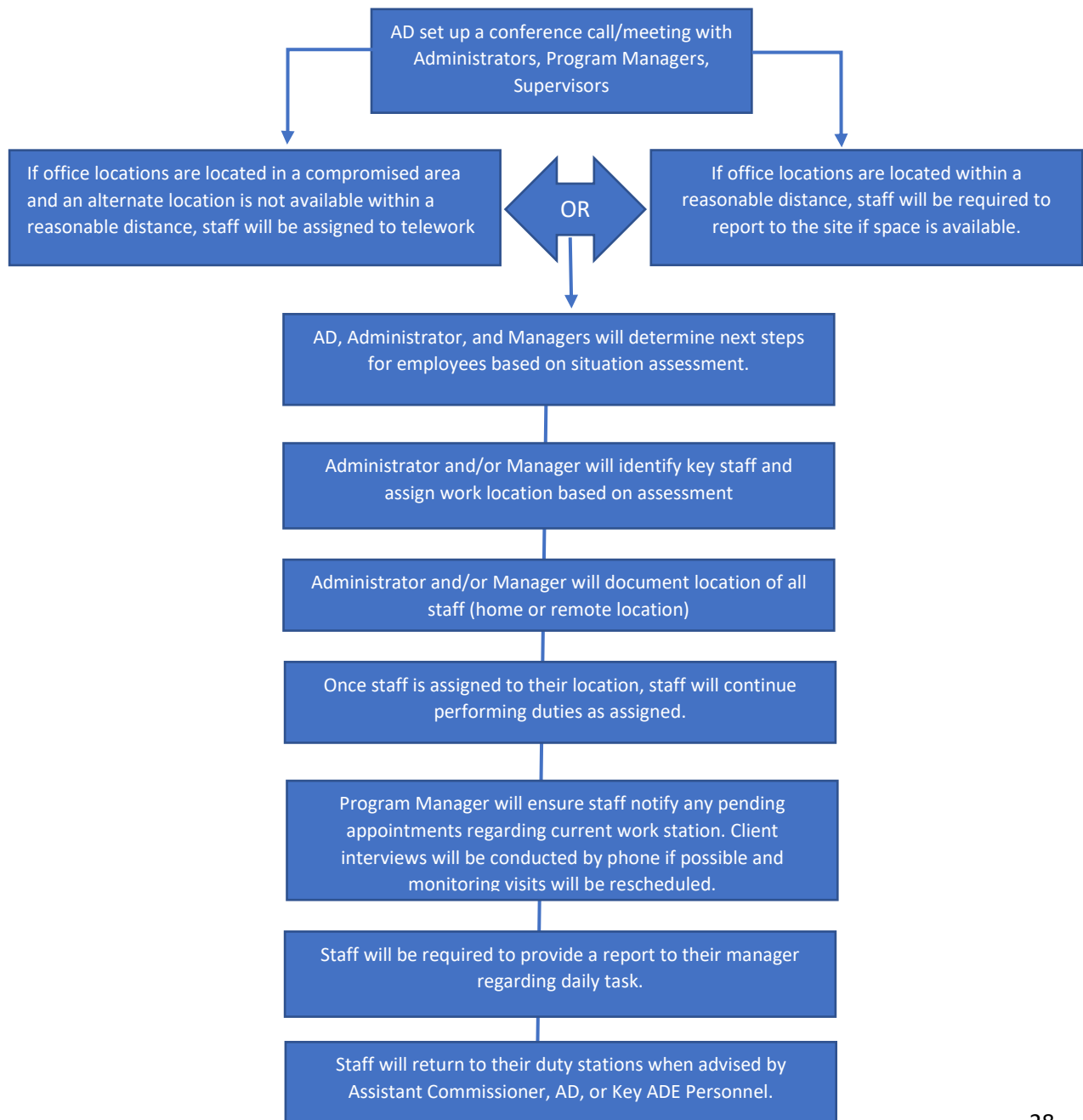
Appendix B. Key Personnel Notification by Units

Directors Notification



In some cases, a mass alert will be sent to all employees. Should this occur, the Assistant Commissioner will instruct Assistant Directors and key personnel to begin implementation of the plan.

Assistant Director Notification and Staff Workflow



Appendix C. Personnel Location List

[illegible]

Appendix D. Personnel Sign-In Sheet

[illegible]

Appendix E. Staff Report

Staff Report			
Unit		Supervisor	
Client Contact	Purpose		Date
Additional Task Completed			
<i>i.e. Completed XYZ Procedure, Reviewed XYZ Procedure, Spoke with XYZ Facility/Provider</i>			

Appendix F. ADE OEC County Office List

<p>Bradley County DHS 902 Halligan Warren, AR. 71671 (870) 226-5878 Bradley County</p>	<p>Fulton County DHS 222 Byron Road Salem, AR. 72576 (870) 895-3309 Fulton County</p>	<p>Pulaski County South DHS 1105 MLK Jr. Little Rock, AR. 72203 (501) 682-9200 Pulaski County</p>
<p>Benton County DHS 900 SE 13th Court Bentonville, AR. 72712 (479) 273-9011 Benton County</p>	<p>Garland County DHS 115 Stover Lane Hot Springs, AR. 71913 (501) 321-2583 Garland County</p>	<p>Pulaski County Southwest DHS 6801 Baseline Road Little Rock, AR. 72219 (501) 371-1100 Pulaski County</p>
<p>Carroll County DHS 304 Hailey Rd. Berryville, AR. 72616 (870) 423-3351 Carroll County</p>	<p>Green County DHS 809 Goldsmith Road Paragould, AR. 72451 (870) 236-8723 Green County</p>	<p>Scott County DHS 131 Hwy 71 Bypass S. Waldron, AR. 72958 (479) 637-4141 Scott County</p>
<p>Craighead County DHS 1600 Browns Lane Access Road Jonesboro, AR. 72401 (870) 972-1732 Craighead County</p>	<p>Jefferson County DHS 1222 West 6th Pine Bluff, AR. 71601 (870) 534-4200 Jefferson County</p>	<p>Washington County DHS 4044 Frontage Road Fayetteville, AR. 72703 (479) 521-1270 Washington County</p>
<p>Crawford County DHS 704 Cloverleaf Circle Van Buren, AR. 72956 (479) 474-7595 Crawford County</p>	<p>Miller County DHS 3809 Airport Plaza Texarkana, AR. 71854 (870) 773-0653 Miller County</p>	<p>White County DHS 608 Rodgers Drive Searcy, AR. 72143 (501) 268-8696 White County</p>
<p>Crittenden County DHS 401 South College Blvd West Memphis, AR. 72301 (870) 732-5170 Crittenden County</p>	<p>Monroe County DHS 600 North 11th St. Clarendon, AR. 72029 (870) 747-3329 Monroe County</p>	
<p>Faulkner County DHS 1000 East. Siebenmorgan Conway, AR. 72033 (501) 730-9900 Faulkner County</p>	<p>Prairie County DHS 663 Market Street Devalls Bluff, AR. 72041 (870) 998-2581 Prairie County</p>	

Appendix G. Child Care Emergency Plan - Template

(Name of Facility)

Child Care Emergency Plan

In compliance with Minimum Licensing Requirements Section 1200 Safety 1201.1
and 1201.2

Quick Reference

The list below provides direction in particular situations. Refer to the section(s) indicated for specific procedures.

IMMEDIATE EVACUATION

- Smoke in the building
- Fire (or explosion)
- Gas Leak
- Bomb Threat

EVACUATION AND RELOCATION

- Hazardous Spill may require relocation
- Brush or Forest Fire may require relocation
- Radiological Emergencies may require relocation

SHELTER IN PLACE

- Tornado
- Earthquake
- Hazardous Chemical Spill may require Shelter in Place until advised to relocate.
- Armed Intruder
- Hostage Situation
- Radiological Emergency until evacuation order is received.

The emergency evacuation pack is located at **location(s) pack(s) are kept.**

Always take the evacuation pack with you to include emergency contact information for children's parents or guardians and emergency services contact information.

Children with special needs will be attended **by a specified staff or group of staff** to include ensuring any medications that are on site for a child will be taken with the child in the event of the emergency relocation of the facility staff and children.

EVACUATION

There are several hazardous situations that could call for an evacuation. The most common would be a fire in or near the facility, rising flood waters, or an evacuation order issued by the local police, fire, or other governmental authority. A fire within the building will be announced by the sounding of the fire alarms/smoke detectors as well as the audible alarm designated by the facility. A verbal order to evacuate for any other reason will be given by the person in charge of the facility at the time.

If the emergency is limited to the facility only, staff and children will be moved to the designated assembly area which is a minimum of 50 feet from the building.

If the entire area has to be evacuated due to a hazard announced by Emergency Personnel (law enforcement, fire department, emergency services personnel, national guard), staff and children will be moved to the pre-designated relocation site at least two miles from the center. All person involved in transporting will be familiar with the predetermined relocation site. The person in charge will ensure a notice of the relocation is posted on the entry to the facility which includes contact information. On arrival at the pre-designated relocation site, the person in charge will direct selected staff to notify parents or guardians to come get their children at the pre- designated relocation site.

In any evacuation all children will be accounted for at the start, and again, at the completion. During any evacuation a quick assessment of the situation will be made and any minor injuries to staff or children will be noted. These will be cared for as soon as time permits.

IMMEDIATE EVACUATION

This is an evacuation of the facility building(s) to a safe area a minimum of 50 feet from the facility building(s), and out of the way of emergency responders.

In case of smoke, a fire, or gas leak an immediate evacuation to the pre-designated assembly area will be necessary. Any Staff becoming aware of smoke, fire or gas leak will immediately cause the alarm to be sounded for immediate evacuation. All staff and children will exit the building and assemble in the pre-designated assembly area. No one will remain in or near the building.

The following responsibilities are to be assumed by facility staff when the alarm is sounded:

- The lead Staff in each care area will quickly survey the care area and any adjacent bathrooms, closets, vacant rooms, and hallways to ensure everyone is evacuating when the alarm is sounded.
- Each lead Staff will be responsible for accounting for the children in their immediate care and all other staff working with them.
- The person in charge will be responsible for picking up the emergency pack and taking it to the assembly area.
- The person in charge at the time of the alarm will notify 9-1-1 from a telephone outside the building. **If the evacuation is for a gas leak**, the person in charge will also contact the gas company at xxx-xxxx.
- When safely in the assembly area each lead staff person from each care area will notify the person in charge of the status of other staff and the children in their immediate care. If anyone did not evacuate the building the person in charge will be made aware of the name and the last known location of that individual inside the building.
- The person in charge will brief emergency services, upon their arrival, on the emergency causing the evacuation and the identity of anyone suspected as not having evacuated the building along with their last known location.
- Everyone will stay clear of the building until the “all clear” is given by emergency services to return to the building.

Bomb Threat

A bomb threat usually comes by phone. A copy of a Bomb Treat Checklist will be kept near the phone. The checklist is used to get the details from the caller that might help find the device, determine when the device is supposed to explode, and possibly figure out who the caller is. When the caller is finished, immediately call the local law enforcement agency at xxx-xxxx.

The staff will follow the **IMMEDIATE EVACUATION** steps above in evacuating the children to safety.

EVACUATION AND RELOCATION

In the event of a situation requiring relocation outside the local area of the facility such as notification by emergency services personnel of a hazardous spill requiring relocation, brush or forest fire, or other danger threatening the safety of occupants of the immediate area of the facility, all staff and children will relocate as a group to the pre-designated relocation site unless otherwise directed by emergency services personnel.

Children identified with special needs will be attended during the evacuation and relocation by a specified staff or group of staff to include ensuring any medications that are on site for a child will be taken with the child in the event of the emergency relocation of the facility staff and children.

The following responsibilities are to be assumed by facility staff during the relocation:

- The lead Staff in each care area will ensure all children in their care attending at the time are present and accounted for. Any child absent from the normal care area for other services such as therapy will be identified and the person in charge notified.
- Each lead Staff will be responsible for accounting for the children in their immediate care and all other staff working with them.
- The person in charge will be responsible for picking up the emergency pack for transport to the pre-designated relocation site.
- The person in charge will immediately notify the predetermined method of transport of the need for relocation and ensure the attendance roster for the facility is with the vehicle(s).
- The person in charge will ensure the notification poster is attached to the facility entrance providing the relocation site and contact information.
- When safely in the pre-designated relocation site each lead staff person from each care area will verify all children have arrived safely and notify the person in charge of the status of other staff and the children in their immediate care. Any medical needs or injuries will be brought to the attention of the person in charge and first aid or medical attention provided as necessary.
- Children will not be released except to an identified authorized pick-up person.

SHELTER IN PLACE

Sheltering in place will be used in emergencies such as severe storms, hazardous spills, earthquake, or other situations listed below unless evacuation is directed by emergency services personnel. When the decision is made to take shelter inside the facility, the staff and children will remain in the building until the person in charge directs otherwise. Any children or staff outside the facility will be brought in, accounted for.

During severe weather, if windows are not felt to be secure, staff and children will be moved to interior rooms and hallways.

The facility will monitor National Oceanographic and Atmospheric Administration (NOAA) weather radio or a local radio/TV station for public warnings when weather conditions indicate. Outside sirens **ARE NOT** sounded unless there is a danger of a tornado. The National Weather Service (NWS) issues the following advisories:

- a) Severe Thunderstorm Watch: Indicates that weather conditions are such that a thunderstorm may develop.
- b) Severe Thunderstorm Warning: Indicates that a severe thunderstorm has developed and will probably affect those areas stated in the bulletin.
- c) Tornado Watch: Means that weather conditions are such that a tornado may develop.
- d) Tornado warning: Means that a tornado has been sighted or indicated on RADAR and protective measures should be taken immediately.

In the event of a tornado warning,

- Staff and children will move to a previously designated safe room or to an interior hallway.
- Have everyone sit facing the wall, protecting their head and face with their arms against the wall.
- All windows and doors will be firmly closed and locked.
- The person in charge will ensure the evacuation pack is with the staff and children in shelter.
- The person in charge will verify all staff and children are accounted for.

In the event of a hazardous chemical spill,

- Remain inside the building unless directed to evacuate by emergency services personnel.
- Windows and doors will be shut,
- All fans, air conditioners and ventilators will be turned off,
- Plastic sheeting and duct tape will be utilized to seal off gaps around windows and doors.

- The **person in charge** will verify all staff and children are accounted for.
- Any children outside for play will be immediately brought into their classroom and roll taken to ensure all are accounted for.
- Staff and children will stay in the facility until the authorities give an all clear.

In the event of an earthquake,

Earthquakes generally occur without warning. Seismologists can identify areas where earthquakes are most likely to occur, but cannot yet predict the exact time and place.

During the shaking the staff will keep calm and will not leave the location. All children in the staff's care will be immediately accounted for. Staff will ensure the safety of children during, and after, the earthquake.

- If indoors - stay there.
 - Children will be directed to take cover under desks, tables or other heavy furniture.
 - If furniture for shelter is not available in the area, the children will be moved to the hallways.
 - Staff and children will stay away from windows, unsecured bookcases, or other heavy items that could fall.
- If outdoors - stay in the open.
 - Staff will move the children away from the building as a group into an open area, and away from utility poles or over wires.
 - Staff will ensure they and the children do not come in contact with downed utility poles and overhead wires.

After the shaking stops, staff will move children that are in the building to an open area outside the building. Any staff and children outside the building will not re-enter the building.

- The **person in charge** will verify with each lead staff person that all of the children in their care are accounted for.
- Any children requiring medical attention will be identified and emergency medical services contacted. (minor scrapes will be handled with first aid by staff).

Armed Intruder - Call 9-1-1.

Staff will try to move the children to safety, either in a room inside behind locked doors or quickly taken outside the building.

- DO NOT try to confront the intruder

- If the intruder does confront you, try to remain calm and to calm down the intruder.

Hostage Situation - Call 9-1-1.

Don't endanger yourself or any of the children by trying some sort of rescue. Pay attention to the captor(s), try to get details of what they want and accommodate them. Provide as much information as possible to the police when they arrive.

If allowed, staff should follow the **IMMEDIATE EVACUATION** section steps in exiting the building.

Radiological Emergencies due to Nuclear Power Plant Incidents

If you are within ten miles of a nuclear power plant (or if you THINK you are) contact your EMA office to ensure that your plans fit into the larger plans that are maintained for the entire Emergency Planning Zone around the plant.

Facility staff and children will

- Remain inside the building until directions are received from emergency services personnel on evacuation routes. *(Insert how the facility will determine evacuation routes, i.e., FM Radio, phone contact with local emergency services or law enforcement)*
- Windows and doors will be shut,
- All fans, air conditioners and ventilators will be turned off,
- The person in charge will verify all staff and children are accounted for.
- Plastic sheeting and duct tape will be utilized to seal off gaps around windows and doors, if the staff and children are sheltering in place.
- Any children outside for play will be immediately brought into their classroom and roll taken to ensure all are accounted for.
- Staff and children will stay in the facility until the person in charge gives other directions.

MISSING CHILD

In the event a staff person identifies a child as missing, that staff person will immediately notify the person in charge.

The person in charge will immediately verify the child is not in any of the care areas, bathrooms, closets, utility rooms, playground, etc.

If the child is not found in the facility, the person in charge will

- Call local law enforcement having jurisdiction at xxx-xxxx.
- Call the child's parent or guardian. If the parent or guardian is not reached the emergency contact persons on the child's enrollment form will be called. Attempts will be made to contact the child's parent or guardian; or emergency contact, until one of them has been contacted.
- Ensure that all other children, who are supposed to be there, are verified to be in the facility.
- Staff will ensure each child in their care is in the indoor care area with them pending further direction.
- Cooperate with law enforcement in the search for the missing child.

The person in charge will cause Child Care Licensing to be notified at 1-800-445-3316, after the safety and accountability of the other children has been ensured and the parent and law enforcement notifications have been made.

COMMUNICATIONS

- ❖ Always have a backup form of communications, other than commercial telephone.
- ❖ Cell lines will most likely not be available during a disaster. Everyone will be trying to use these.
- ❖ Think about two-way radios. Most of these have a range of up to two miles.
- ❖ What is your alarm system? Do you have a separate alarm sound for fire, tornado, earthquake, etc? Have you practiced with these different alarms?
- ❖ Do you have out of state contact for your children? Your staff?

Memorandum of Understanding Between

(Name of your facility)

And

(Name of Designated Relocation Site)

Calendar Year 20XX

January 1, 20XX to December 31, 20XX

I. Parties

This constitutes an agreement between (Your facility name here) hereafter known as Party A and (Name of facility you are agreeing with) hereinafter known as Party B and collectively referred to as the Parties, for the purpose of temporary shelter.

II. Purpose

Pursuant to this agreement, the Parties will cooperate to provide temporary shelter for children and staff of Party A in the event of a disaster/emergency situation in which Party A would need to evacuate their facility.

III. Responsibilities of Parties

Responsibility of Party A:

- (a) It is the responsibility of Party A to notify Party B in the event the need for shelter should arise.
- (b) Update the agreement on an annual basis.
- (c) Keep Party B informed of any changes to Party A's evacuation plan.
- (d) Notify Party B if enrollment should increase.

Responsibility of Party B:

- (a) Party B agrees to have a person available for contact to allow access to the building to be used as shelter by Party A during the hours of XX AM to XX PM Monday through Friday.
- (b) It is the responsibility of Party B to notify Party A, should they no longer have control of the relocation building, or other circumstances arise which prohibit use of the building by Party A.
- (c) Should Party B choose to cancel the agreement, a thirty-day written notice is required.

IV. Contacts:

The contacts of each party to this agreement are:

(Name of your facility here)

(Name of relocation site)

Point of Contact Title

Telephone

Email

Dear Parent:

This letter is to make you of our concern for the safety and welfare of children attending (insert name of childcare facility). Our Emergency Plan provides for response to all types of emergencies. Depending on the circumstance of the emergency, we will use one of the following protective actions:

- *Immediate evacuation* - Students are evacuated to a safe area on the grounds of the facility in the event of a fire, etc.
- *In-place sheltering* - Sudden occurrences, weather or hazardous materials related, may dictate that taking cover inside the building is the best immediate response.
- *Evacuation* - Total evacuation of the facility may become necessary if there is a danger in the area. In this case, children will be taken to the relocation facility at (insert name and address of relocation facility). There will also be a notice posted on the entrance to (the facility name) providing information on the relocation site.
- *Modified Operation*, May include cancellation/postponement or rescheduling of normal activities. These actions are normally taken in case of a winter storm or building problems (such as utility disruptions) that make it unsafe for children but may be necessary in a variety of situations.

Please listen to (list your local radio/television stations here) for announcements relating to any of the emergency actions listed above.

We ask that you not call our main number during the emergency. Our staff will contact you, or other emergency contacts identified by you, in the event the children and staff are relocated or if there are injuries. The contact with you, or the other emergency contact, will be at the numbers provided by you. We encourage you to periodically update the contact information to ensure we have you listed correctly.

You may call xxx-xxx to reach a member of our staff. We ask for your patience in that effort since we will be ensuring the safety of all the children and will take any calls as they are received.

I specifically urge you **not** to attempt to make different arrangements during an emergency. This will only create additional confusion and divert staff from their assigned emergency duties.

A copy of our Emergency operating procedures may be viewed at any time at our facility. It is located near our front door. This plan is updated on an annual basis, as is required by our licensing agency.

Sincerely,

CHILD CARE FACILITY

CHILDREN AND STAFF

HAVE

RELOCATED TO

***(Relocation Site Name &
Location)***