

# ACCOOP

## ARKANSAS CONTINUITY OF OPERATIONS PLAN FOR ASBD

Last updated January 31, 2022



The State of Arkansas relies on critical services that can only be delayed for a short time and are essential to the well-being of our citizens. The Arkansas Continuity of Operations Plan has set the guidelines for continuing essential services from the incident to full recovery. The following plan will provide documentation needed to keep those essential services operational during an event.

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*Effective Date:* 01-31-2022

## TABLE OF CONTENTS

### SECTION 1 – INTRODUCTION

Plan Summary .....	1
ACOOOP Planning Responsibilities.....	2
When to Activate.....	3

### SECTION 2 – PERSONNEL

Employees .....	1
Organizational Chart.....	14
Job Duties.....	15
Orders of Succession .....	17
Reporting Structure .....	18
Employee Emergency Contacts .....	21

### SECTION 3 – POLICIES

Statewide Catastrophic Disaster Policy (for Banks) .....	1
Catastrophic Disaster Mitigation Strategies .....	4
Devolution .....	8
Pandemic Influenza Policy .....	9
Inclement Weather Policy.....	17

### SECTION 4 – PROCEDURES

Emergency Plan .....	1
Bomb Threat and Suspicious Object Checklists .....	4
Fire Routes .....	6
Maintenance (Key Fob) .....	9

### SECTION 5 – PREPARATION

Tests, Training, and Exercises .....	1
Employee Attributes .....	6
Reporting Classifications / Essential Personnel.....	14
Team Assignments .....	15
Cross Training Plan .....	18
Teams Tasks .....	19

# ASBD – ACOOP

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Accounting and Payroll .....	19
Catastrophic Disaster .....	20
Executive .....	21
Pandemic – Flu.....	23
Computer Operations .....	25
Security .....	26
Examination Team.....	26
Administrative Support .....	27
Team Task Checklist .....	28
Accounting and Payroll.....	28
Catastrophic Disaster .....	29
Executive .....	30
Pandemic – Flu.....	32
Computer Operations .....	34
Security .....	34
Examination Team.....	35
Administrative Support .....	35
Emergency Office Supplies .....	36
Relocation Site.....	37
 SECTION 6 – ACTIVATION / RECONSTITUTION	
National Incident Management System (NIMS) .....	1
Call List .....	2
Media Statement.....	7
Emergency Legislation .....	8
Memorandum (s) of Understanding .....	12
Alternate Locations .....	13
Disaster Recovery Server Backup.....	15
Vita Files, Records and Databases .....	16
Payroll .....	17

# ASBD – ACOOP

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Software Required ..... 18

Equipment – Types and Counts ..... 20

Essential Functions ..... 22

SECTION 7 – APPENDICES AND ANNEXES

Vendor Disaster Recovery Call List..... 1

Emergency Contacts ..... 3

    Arkansas State Agencies ..... 3

    Other Arkansas Offices ..... 5

    Other State Regulatory Agencies ..... 6

    Federal Regulatory Agencies ..... 7

    Emergency Service Agencies..... 10

    Federal Law Enforcement ..... 11

    Other Government Agencies ..... 11



## SECTION 1 – INTRODUCTION

### **PLAN SUMMARY**

A well-managed Bank Department is one that is aware of the need to protect its employees' interests, protect its commitment to state banks, the depositors, and consumers of the State of Arkansas, and effectively manage the funds derived from assessments of state-chartered financial institutions. The major concern of management in the event of a disaster is the recovery procedure. For planning purposes, we must assume that most disasters considered likely will arrive with very little warning, have a rapid development, and have a potential for substantial destruction. We should have the capability to react, cope with, and recover from any emergency that may occur.

When a plan exists and people are familiar with it, reaction times are reduced, and coordination is improved. Since time is of the essence and resources are a necessity in this type of event, we will set forth the procedures and guidelines to implement a formalized plan to safeguard the Bank Department's personnel, on-site visitors and the Department's assets. The completed plan is a tool, which can be used in protecting the safety and soundness of the Department. It will serve to provide guidelines for guiding emergency decisions.

This Arkansas Continuity of Operations Plan (ACOOOP) provides methods and procedures that are to be used if the Bank Department experiences a disaster and loss of service delivery capability. This plan is also the basic structure of the disaster recovery effort. What is outlined here will serve as starting points and is subject to modification as it is a living document.

The State Bank Commissioner will activate the ACOOP. Activation of the plan is determined by the amount of time estimated to effect normal day-to-day operations of the Bank Department. It may be necessary for the Executive Committee to meet and advise the Commissioner to implement all or part of the plan.

# ASBD – ACOOP

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*Effective Date:* 05/03/2021

## **ACOOP PLANNING RESPONSIBILITIES**

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# ASBD – ACOOP

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Effective Date: 05/03/2021

## **WHEN TO ACTIVATE THE ACOOP PLAN**

A disaster may vary in magnitude and severity. Three classes of disaster are identified for the purpose of this plan:

**Class I** Any unplanned processing delay from which recovery is less than eight hours.

This class of emergency is in the management reach of normal daily business. The ACOOP need not be implemented, although certain guidelines or instructions may be used.

*Examples: Power Failure, Communication line interruptions, Hardware malfunction, Personnel injury, or illness.*

**Class II** Any event that will halt processing for more than eight hours but less than 36 hours.

This class of disaster may or may not require full implementation of the plan.

*Examples: Fire or flooding in a critical area with minimum damage, Hardware failure, Facility evacuation under duress, e.g., bomb threat, broken gas lines, and all Class I examples.*

**Class III** Any cause for interrupted processing more than 36 hours, particularly as a result of natural or man-made disasters.

This involves the inability to process major elements of all systems and/or abandonment of the data center.

*Examples: Explosion or fire causing major or total damage to hardware or data storage facilities, natural disasters such as flooding, earthquakes, tornadoes, or electrical storms. Also, civil disorder such as strikes, riots or terrorist's activities, and all Class II examples.*

**NOTE: Class III disasters require full implementation of the Plan.**

This plan will be tested in various segments on an annual basis. During actual testing of procedures, records will be maintained to record significant events or problems. The plan will be reviewed and updated on an on-going basis as needed.















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*Effective Date:* 05/03/2021

## **JOB DUTIES**

**Administrative Analyst** – Responsible for coordinating office staff activities, researching, and preparing special reports, and developing/ revising and recommending administrative policies and procedures to supervisor

**Assistant Deputy Commissioner** – Responsible for administration of the Examination and Supervision Division of the State Bank Department, directing the activities of examination teams in monitoring the performance and overall supervisory and regulatory activities pertaining to state-chartered banks, trust companies, bank holding companies, and other financial institutions

**Bank Examiner** – Responsible for performing, collecting, and correlating information, required for the detail or operations portion of an examination of state-chartered banks and other financial institutions

**Bank Senior Examiner** – Responsible for collecting and correlating information required for the detail or operations portion of the examination of state-chartered banks and serving as the Examiners-in-Charge if the detail or operations portion of smaller, less complex examinations

**Certified Bank Senior Examiner** – Responsible for serving as Examiner-in-Charge of complex bank examinations, visitations, and/or investigations of state-chartered banks and financial institutions

**Certified Examinations Manager** – Responsible for supervising the examination, visitation, and investigation of state-chartered banks and other financial institutions in Arkansas

**Chief Counsel** – Responsible for legal aspects of all processes at ASBD

**Commissioned Bank Senior Examiner** – Responsible for serving as Examiner-in-Charge of smaller, less complex examinations and examining, visiting, and investigating state-chartered banks and financial institutions to ensure safety, soundness, and compliance with applicable laws and regulations

**Commissioner** – Leads ASBD and is primarily responsible for the regulation and supervision of all state-chartered banks and trust companies

**Deputy Commissioner** – Directly supervises and evaluates assigned department managers to assure attainment of designated goals, fulfillment of statutory responsibilities, compliance with internal policies and procedures, and enforcement of applicable laws and regulations

**Executive Assistant to the Commissioner** – Supervision of administrative support staff and report processing. Direct assistance to the Commissioner

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**Research Project Analyst** – Works under administrative direction and is responsible for leading and conducting special research studies and monitoring and coordinating project/program activities

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Effective Date: 01/31/2022

## **ORDER OF SUCCESSION**

Bank Commissioner: **Susannah Marshall**

██████████  
██████████

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Deputy Bank Commissioner: **John Ahlen**

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Deputy Bank Commissioner: **Dharmin Patel**

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Administrative Staff Supervisor: **Cynthia Nixon**

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## **REPORTING STRUCTURE**

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## EMPLOYEE EMERGENCY CONTACTS

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# ASBD – ACOOP

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Effective Date: 05/03/2021

## SECTION 3 - POLICIES

### **Statewide Catastrophic Disaster Policy (Banks)**

#### **MISSION STATEMENT**

*The mission of the Arkansas State Bank Department (ASBD) is to maintain a legal and regulatory structure for Arkansas's financial industry. This structure provides the public with convenient, safe, and competitive banking, which fosters economic development within this State. Our mission is accomplished through efficient allocation of available human and other resources existing in our Examination, Information Technology and Administrative Services Divisions.*

The Bank Department believes that the banking system serves an important role in recovering from a major disaster. It is recognized that the first phase of a recovery effort will focus on saving lives and other urgent tasks. However, citizens in the affected area are expected to have three basic needs shortly afterwards - food, water, and gas. It is anticipated that cash will be necessary to buy these goods. Other payment options such as credit and debit cards are unlikely to be functional. Automated Teller Machine (ATM) and Interactive Teller Machines (ITM) will probably be inoperable. Banks are thus faced with major cash demands in a difficult communications and security environment.

This policy is designed to facilitate communication between our office, state-chartered banks, other relevant agencies, and the public. These procedures are intended to assist banks with communication efforts, cash needs and other issues. The ASBD plan will seek to build upon rather than interfere with mandatory and comprehensive internal disaster policies already existing in the industry.

It is noted that the term "Statewide Catastrophic Disaster Policy" is intended to denote a major, widespread calamity of the utmost severity. This type of event is distinguished from meaningful, but more traditional emergency situations from which banks can recover in the ordinary course of business. In a catastrophic situation, all personnel should be prepared to "Expect the Unexpected". This policy is designed to be a "Living Plan" and will be modified as needed.

#### **ASBD PROCEDURES**

##### **I. Pre-Disaster**

The Bank Department will maintain Emergency Contact Information for a designated officer at each state-chartered bank. This information will be organized by geographical peer groups. The Bank Emergency Contact list will be updated annually.

The Bank Department will maintain an Agency Contact list for other regulatory agencies, emergency relief organizations, and law enforcement personnel. This list will be updated annually.

The Bank Department will establish an internal notification system for ASBD employees. This system will serve to provide a status assessment for the Bank Department Executive Committee, Statewide Catastrophic Disaster Committee and other staff members. The notification system will be updated annually.

# ASBD – ACOOP

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## II. Post-Disaster

The Commissioner will implement this program by declaring a “Catastrophic Disaster” at his/her discretion. The Committee will attempt to contact every state-chartered bank in an affected area to determine the scope of damage and which institutions are open to the public. The Statewide Catastrophic Disaster Committee and other ASBD employees will provide assurance to citizens that the banking system remains secure and that operations will resume.

The ASBD website will contain information on the status of banks in the affected disaster area. The Commissioner and Deputy Commissioners will handle media interviews.

<http://www.arkansas.gov/bank/DisasterPolicy>

## Resources

Arkansas Continuity of Operations Program

<https://acoop.arkansas.gov>

Pandemic Influenza Federal Response Stages

<http://www.pandemicflu.gov/plan/federal/federalresponsestages.html>

FEMA Pandemic Annex Template

<https://www.fema.gov/>

## Communications

- Arkansas State Bank Department (ASBD) will maintain a website, and email platform to keep all ASBD employees updated
- Employee contact information and call lists will be updated timely in ACOOP to ensure the most current employee information is available and this information should be tested often using tests and exercises via Emergency Communication System (ECS) from Federal Reserve Bank (FRB)
- Because most disasters occur during the evening or nighttime, all management and supervisory positions will keep a copy of ASBD’s COOP plan available at work and at home
- All staff working from home or other off-site locations should communicate via e-mail or telephone as usual
- ASBD Examiners who are allowed and able to work from home during a Pandemic or Catastrophic Disaster are required to check in daily, and to inform their supervisors of a change in status
- Regularly scheduled employee meetings including executives, supervisors, and the disaster committee will be postponed or conducted electronically via e-mail or teleconferencing
- A notice to the public and employees that a decision has been made to close the building for normal business will be issued under the advisement of the Governor’s office and/or the ASBD Commissioner

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## **CATASTROPHIC DISASTER MITIGATION STRATEGIES**

### ***I. COMMUNICATION EFFORTS***

- a) It will be difficult to communicate with affected banks in a catastrophic disaster situation. Regular phone lines will not be working, and cell phones will not operate if towers are down.
  - ✚ The Bank Department will maintain Emergency Contact information for each state-chartered bank. This list will be updated annually with data on a designated officer.
  - ✚ The ASBD will provide bankers with emergency phone numbers and a list of Bank Department employees ready to assist in a disaster. This list will also be updated annually.
  - ✚ The Bank Department will maintain a Government Emergency Telecommunications Service (“GETS”) card to provide priority status for outgoing calls when phone systems are overloaded.
  - ✚ Bank Department employees recognize that text messaging may be successful when cellular phones are otherwise inoperable. All Department cell phones have text messaging capability and should only be used in the event of an emergency.
- b) It will be hard for the public and various agencies to determine basic information such as is the bank physically able to open and does the bank need additional cash reserves to operate. Consumers and the media will be attempting to determine what branches are available for use. There may be a public perception that community banks are unable to handle a large-scale disaster as well as larger, multi-state banks.
  - ✚ The ASBD Statewide Catastrophic Disaster Committee will contact each bank in the affected area to determine their status as soon as possible depending on their circumstances.
  - ✚ The ASBD will serve as a clearinghouse for information. Members of the Statewide Catastrophic Disaster Committee will be available to answer questions from the public. The Bank Department will strive to assure citizens that their money is secure and that banks will be reopening soon. We will inform citizens of open branches and where cash is available. The Bank Department will provide updated information on the status of affected banks on our website.
- c) Communication efforts with other regulatory agencies, emergency relief offices and law enforcement personnel may be strained during a disaster.

# ASBD – ACOOP

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- ✚ A contact list for the following agencies has been established to identify appropriate personnel. Face-to-face meetings have been conducted with these individuals, when possible, to facilitate cooperation and promote familiarity between agencies.
- ✚ The ASBD is now included in the Arkansas Department of Emergency Management disaster plan “call list” with a designated Emergency Management Liaison Officer (John Ashby) and access to the ADEM Emergency Operations Center.
- ✚ The FDIC and Fed will be informed of the status of our banks.
- ✚ The ASBD will work with the following agencies to assist in recovery efforts:

**Arkansas Department of Emergency Management (ADEM)** - This organization manages disaster relief efforts for the state working in conjunction with county and city emergency management officers and many different agencies. The Bank Department has requested general assistance from ADEM, including priority fuel status for vehicles and generators in the banking industry. The Bank Department has also requested that ADEM assist with a “passage point” identification system for bankers to access National Guard “do not cross” lines. It is possible that ADEM will be able to communicate with local sheriffs to lift curfews for couriers (armored cars) to delivery money after hours. ADEM may also assist in various functions such as information on evacuation routes, where ATM / ITMs will be needed, location of shelters, and other information.

**Arkansas State Police** – The Bank Department has requested general security for bankers when possible, including under Marshall Law conditions.

**Army National Guard** – (Working under ADEM command) The Guard will be enforcing Marshall Law. They will be in communication with ADEM to potentially allow bankers with identification to access affected areas to assess damage. The Guard has also been requested when available to provide security for branches working with minimal employees and a large volume of cash.

**Arkansas State Highway Department** – The Bank Department is working with this office to allow mobile branches to cross state lines.

**Arkansas State Insurance Department** – The Bank Department has a contact at this office if a formal identification and passage point system with official credentials is designed.

**FEMA** – This agency has a general contact and may be able to provide payment examples.

**FDIC** – The ASBD and FDIC will share general information on the status of Arkansas state-chartered banks. The ASBD will include affected banks in FDIC conference calls when appropriate. The FDIC is expected to support BSA forbearance in a disaster situation.

**Federal Reserve Bank** – This agency is responsible for supplying cash and providing back-up delivery sites, if necessary. The Federal Reserve is expected to support BSA forbearance.

# ASBD – ACOOP

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**Red Cross** – The Bank Department has requested that the Red Cross provide examples of vouchers and other instruments to be cashed by suppliers or clients.

**Social Security** – The SSA has provided an example of hand-written emergency checks.

## II. CASH NEEDS

- a) Cash needs are overwhelming as the local economy transforms into a “cash society”. Bank computers, ATM / ITMs, credit and debit cards are inoperable without electricity. Area stores post “CASH ONLY” signs. The Red Cross pays vendors with large vouchers to be cashed. Insurance companies write emergency vouchers in the field that will be presented for cash. Local employers make payroll in cash. Banks and consumers are carrying lower cash levels than in the past and cash on hand may be contaminated in the disaster. All these factors strain a bank’s ability to make cash available to the public. It is important to meet cash demands to avoid a “run” situation.
  - ✚ The Federal Reserve will supply ample cash for delivery. The Fed has exhaustive plans for providing back-up delivery sites. Our office will facilitate communication efforts between banks and the Federal Reserve.
  - ✚ Banks will be ready to share cash if Federal Reserve sites are unreachable. Bankers can share facilities if only one branch is operable in town.
- b) Traffic flow may be severely impaired due to closed roads and/or law enforcement “Do Not Cross” lines. This will increase the difficulty of reaching a Federal Reserve site and returning cash to a bank location.
  - ✚ Encourage bankers to establish relationships in advance with their county judges and local emergency managers to promote recognition and access.
  - ✚ Communicate with ADEM to allow access for bankers with ID.
- c) A potential fuel shortage affecting both vehicles and generators.
  - ✚ ADEM/FEMA may provide priority access for couriers/bankers and generators.
- d) Security concerns for bankers making their own cash pick-ups and a lack of security at branches suddenly operating with limited personnel and a large volume of cash.
  - ✚ The National Guard and/or State or local Police and/or U.S. Marshall’s office may provide security in cash transport situations or may provide a presence in guarding branches when necessary.



# ASBD – ACOOP

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- e) It is difficult for banks to determine the validity of Red Cross vouchers, FEMA vouchers, and hand-written Social Security checks.

- ✚ Distribute example copies to banks when possible.

- f) It is difficult to determine the validity of “Not on Us” checks.

- ✚ Publicize cooperation & promote agreement between banks.

### **III. OTHER ISSUES – BANK PREPAREDNESS**

- a) Competing issues may keep emergency planning from being discussed by executive officers and directors.

- ✚ The Commissioner and Bank Department are working to publicize the importance of emergency planning, thus making it a higher priority issue for our banks. The ASBD will facilitate outside speakers at banking events and distribute educational correspondence. Policy information will be made available on the ASBD website.

- b) In other states, disaster recovery plans have been found to be inadequately tested, involve a back-up site too close to the main office, or the work was too large for the system.

- ✚ The Bank Department will recommend that back-up sites be located a sufficient distance from the main office and that plans are sufficiently tested.

- c) With branch computer systems inoperable without electricity, computer systems inoperable without electricity, it is impossible to get information out to branches.

- ✚ Banks can “hand-write” transactions and convert to the “know your customer” method of cashing checks.

- d) All facilities are inoperable

- ✚ Mobile facilities are to be brought in as part of a standard disaster recovery plan.

# ASBD – ACOOP

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*Effective Date:* 05/03/2021

## **DEVOLUTION**

Last Update: May 3, 2021

Devolution is the statutory granting of powers from the central government of a state to the government at national, regional, or local level. It differs from federalism in that the powers devolved may be temporary and ultimately reside in central government thus the state remains, de jure, unitary.

If ASBD facilities are no longer available at 1 Commerce Way, Suite 401, Little Rock, AR 72202, ASBD personnel will implement ASBD Continuity of Operations Plans and resume services to the state of Arkansas from an alternate location specified in said plans.

If ASBD facilities and personnel are no longer available, the Arkansas Governor's Office will manage the restoration of services provided by ASBD.

# ASBD – ACOOP

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*Effective Date: 05-03-2021*

## **PANDEMIC INFLUENZA POLICY**

The purpose of this plan is to ensure that during the time of a pandemic flu or other infectious disease outbreak that the Arkansas State Bank Department (ASBD) can provide a safe working environment for its staff and continue to provide essential services for the state of Arkansas.

It is assumed that the Pandemic Influenza Federal Response Stages will serve as the activation criteria. The plan is ready to be put into effect immediately if requested by the Governor, or sooner at the discretion of the Secretary of Commerce, and/or the ASBD Commissioner acting under the advisement of the agency's Pandemic Flu Team (ASBD Statewide Disaster Committee).

The below items are intended for implementation during a state of Pandemic flu declared for Arkansas and/or its surrounding states by a high-level directive or at the discretion of the Arkansas State Bank Department Commissioner.

### ***Response Functions***

In the event of a catastrophic emergency or a state of pandemic flu, ASBD is to provide support for Arkansas state-chartered banks and the public. The Bank Department will strive to proactively furnish disaster relief information. ASBD Statewide Catastrophic Disaster Committee members will be available to aid bankers.

It is noted that the term "Statewide Catastrophic Disaster Policy" is intended to denote a major, widespread calamity of the utmost severity. This type of event is distinguished from meaningful, but more traditional emergency situations from which banks can recover in the ordinary course of business. In a catastrophic situation, all personnel should be prepared to "Expect the Unexpected". This policy is designed to be a "Living Plan" and will be modified as needed.

### **(Pre-Disaster)**

The Bank Department will maintain Emergency Contact Information for a designated officer at each state-chartered bank. This information will be organized by geographical peer groups. The Bank Emergency Contact list will be updated annually.

The Bank Department will maintain an Agency Contact list for other regulatory agencies, emergency relief organizations, and law enforcement personnel. This list will be updated annually.

The Bank Department will establish an internal notification system for ASBD employees. This system will serve to provide a status assessment for the Bank Department Executive Committee, Statewide Catastrophic Disaster Committee, Security Committee, and other staff members. The notification system will be updated annually, or more frequently as needed.

### **(Post-Disaster)**

The Commissioner and/or Deputy Commissioners will handle media interviews.

<http://www.arkansas.gov/bank/DisasterPolicy>

# ASBD – ACOOP

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## Resources

Arkansas Continuity of Operations Program

<http://www.dis.arkansas.gov/security/coop.htm>

Pandemic Influenza Federal Response Stages

<http://www.pandemicflu.gov/plan/federal/federalresponsestages.html>

FEMA Pandemic Annex Template

[http://www.fema.gov/pdf/government/coop/influenza\\_coop\\_annex.pdf](http://www.fema.gov/pdf/government/coop/influenza_coop_annex.pdf)

## Communications

- Arkansas State Bank Department (ASBD) will maintain a website, and email platform to keep all ASBD employees updated
- All ASBD employees will be made aware about ASBD Pandemic Flu Plans and policies
- All employees will know their roles and responsibilities during a Pandemic flu
- Employee contact information and call lists will be updated timely in ACOOP to ensure the most current employee information is available and this information should be tested often using tests and exercises via Emergency Communication System (ECS) from Federal Reserve Bank (FRB)
- Because most disasters occur during the evening or nighttime, all management and supervisory positions will keep a copy of ASBD's ACOOP plan available at work and at home
- Supervisors verify the presence of adequate data communications for homes and/or other temporary work locations
- Supervisors verify the security of data communications when sensitive data is involved
- All staff working from home or other off-site locations should communicate via e-mail or telephone as usual
- ASBD Examiners who are allowed and able to work from home during a Pandemic or Catastrophic Disaster are required to check in daily, and to inform their supervisors of a change in status
- Regularly scheduled employee meetings including executives, supervisors, and the disaster committee will be postponed or conducted electronically via e-mail or teleconferencing
- When the Pandemic begins to rise, staff will be kept aware of policies being implemented via e-mail or another electronic form

# ASBD – ACOOP

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- A notice to the public and employees that a decision has been made to close the building for normal business will be issued under the advisement of the Governor's office, Secretary of Commerce and/or the ASBD Commissioner
- Employees will be notified as to where they are to report and how they are to be contacted including both during and after hours (if applicable)

## Leave and Benefits

- If an employee catches the flu virus, employees will first use their sick leave and then their annual leave. If all these days have been used, then that employee can use leave in accordance with Department of Finance and Administration's (DFA) Policies of Catastrophic Leave Program and applicable law (e.g., FMLA). Employees will be informed on where to locate the specifics of the DFA Catastrophic Leave Program if a Pandemic flu state is declared
- ASBD will ensure that leave and benefit information is readily available to all employees, including but not limited to:
  - a) Catastrophic leave
  - b) Family Medical Leave Act
  - c) Leave without pay and other limits of benefits when on leave without pay
- Employees will continue to be encouraged to donate to the catastrophic leave bank
- Employees are encouraged to effectively manage leave to use in the event of a prolonged illness/event/absence
- ASBD will MAINTAIN ALIGNMENT WITH DFA LEAVE WITHOUT PAY POLICIES

**Department of Finance and Administration Policy - Leave of Absence Without Pay (LWOP):** Employees may not take leave without pay (LWOP) as authorized by Department of Finance and Administration Office of Personnel Management's Policy number 55, "until all their annual leave has been exhausted..."

- ASBD will keep an adequate staff with the knowledge and resources to process Family Medical Leave Act applications, catastrophic leave donations/eligibility and other processing needs. DFA may provide additional assistance if needed
- Employees are to be made aware of the 6 months LWOP maximum limit
- Employees are to be made aware that accrual of leave stops after 10 days of LWOP
- The program Empowering Arkansas State Employees (EASE) will BE UTILIZED FOR:
  - a) Employees to submit time sheets and leave requests

# ASBD – ACOOP

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b) Leave and time approval by:

- Immediate Supervisor
- APPROVAL BY ANOTHER SUPERVISOR IF APPROVAL RIGHTS HAVE BEEN REASSIGNED
- Accounting Staff

c) Maintain leave balances

- ASBD will consider advocating progressive back-to-work schedules for those who have been ill
- Supervisory duties can be delegated due to depth of staffing if others are unavailable
- ASBD will not implement a requirement for doctor's verification of illness when out for a few days during a state of Pandemic flu

*\*All Leave and Benefit information can be overridden by a directive or other mandate from the Governor's office.*

## Security and Privacy

- A receptionist will continue to be stationed at the front desk during business hours
- All assets moved to alternate locations will be logged using each item's asset id tag number
- Physical security is always provided on laptops via a fingerprint scanner
- No physical security policies will be relaxed during a state of Pandemic flu
- Routine data back-up will not be interrupted because it is an automatic process
- System patching along with virus and anti-spyware updates are automatic pending an e-mail notification to the IT Staff, so those updates will continue as scheduled
- Access to private and sensitive data (personnel records, medical records, other data with restricted access, etc.) will be protected in its current location by being locked up
- ASBD will ensure that all employees understand the appropriate use of employee, customer, and vendor contact information shared for continuity of operations
- ASBD will comply with HIPAA and other regulatory compliance related to sharing health information about employees during the time of a Pandemic flu (minimum necessary information may be shared; summary data is allowed)

# ASBD – ACOOP

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## Social Distancing

- Each employee will maintain, as provided, a separation of at least six feet
- ASBD will consider implementing work shifts, either by hours or days of the week as well as staggering work shifts
- The training and board rooms can be used to ensure that each worker is sufficiently separated from others
- When possible, staff can work from home at the discretion of the Commissioner
- Employees will be discouraged from entering anyone else's work area and to not cut through other's work areas
- Traffic flow patterns will be implemented to reduce employee-to-employee contact
- ASBD services that normally require face-to-face meetings will be postponed or conducted electronically via teleconferencing or e-mail
- All staff should use provided hand sanitizer when entering their work area
- All staff should go directly to their workspace and avoid contact with others
- Staff should follow workplace sanitation practices when using shared equipment (printer, copier, fax machine)
- Travel will be limited to that necessary to maintain or restore state services
- Staff will be informed of the dangers of contracting the flu by use of mass transportation
- All training sessions should be postponed or conducted online

## Supplies and Personal Protective Equipment (PPE)

- Because the spread of the flu can be reduced by use of PPE, ASBD will maintain an adequate supply of hand sanitizer, gloves, masks, cleaners, and facial tissue during heightened levels of Pandemic
- Heating, ventilation, and air-conditioning systems (HVAC) dilute flu viruses, so they will always remain on and will be set to bring in outside air rather than recirculation the air in the building

## Suspension of Services

- Processes and sub-processes have been identified across the agency and those which can be suspended have also been identified
- Processes that expose employees to risk of flu exposure have been identified

# ASBD – ACOOP

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- If there is a mass amount of the public contacting this agency about bank closures and the like additional man communication measures will be implemented, such as activities of the Emergency Communications System
- ASBD will also consider setting up a call-center to handle a large amount of inbound calls if necessary
- All legislatively mandated entitlements, statutory requirements, and State and Federally mandated reporting requirements have been identified and will be continued to the best of ASBD's ability
- All face-to-face training sessions will be evaluated for necessity

## Work from Home

All examiners can work from home when instructed to do so.

- Examiners can work from home (if permitted) when a and/or b and c of the following apply:
  - a) The bank that he/she is working in implements a Pandemic flu policy that disallows his/her presence in its building
  - b) Instructed to do so by his/her supervisor because ASBD's Pandemic flu policies have been implemented
  - c) The point in the process of the exam itself allows for continuation at an alternate site or needed information can be obtained electronically after approval provided by Supervisor
    - ASBD is currently reviewing processes that can be done by certain examiners given that their daily job duties are suspended
    - All eligible employees should be prepared to work from home with their issued equipment (laptop)

## Workforce Staffing

- Employee skill sets have been identified and included in ASBD's ACOOP plan
- Geographical location of workers will be considered when implementing Pandemic flu policies and special provisions will be addressed to each "out of range" worker as necessary
- Areas that must be staffed have been identified and provisions to keep them staffed have been addressed



# ASBD – ACOOP

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## Workplace Sanitation, Ingress and Egress

- All employees, vendors and contractors working in ASBD facilities will follow posted sanitation procedures
- Staff should use a paper towel or other barrier when opening doors
- Staff should go directly to their own work area and avoid direct contact by others
- ASBD will ensure that all staff understand and follow cough etiquette and hand hygiene procedures
- ASBD will ensure that a sick employee that is waiting on a ride home will remain isolated from others
- ASBD will consider closing or reassigning common areas such as break, lunch, and conference rooms

## Workplace Sanitation, Reducing Risks

- The ventilation systems should be checked to ensure they are functioning properly
- If not a risk to physical security, doors may be kept open to further circulate the inside air
- Employees are to voice feedback or concerns by e-mailing their supervisor
- Staff should keep their own work areas neat using provided cleaning supplies
- While using cleaning supplies, and before returning them to their designated place, staff should wear gloves to avoid contracting germs that may be lingering on the containers
- Staff should take out their own trash receptacles to a designated area for dumping
- Staff who have been exposed to the flu should work from home (if eligible) for at least 2 days
- Staff who have had the flu should go on leave or work from home (if eligible) for at least 2 weeks
- Staff who have any flu symptoms must leave the office immediately
- Staff should sanitize hands before using shared equipment (printer, fax, copy machine)
- Staff should sanitize any surfaces they touch on or around shared equipment
- Staff should not use any shared coffee pots, microwaves, refrigerators, or water fountains/coolers

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# ASBD – ACOOP

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*Effective Date: 01/31/2022*

## **INCLEMENT WEATHER POLICY**

Arkansas Department of Commerce (ACOM) observes the inclement weather policy for state government. Governor's Policy Directive #7 outlines the general policies that govern office and staffing procedures during inclement weather, as detailed below. The general policy regarding inclement weather is that state government does not normally close its offices because of hazardous driving conditions. However, the obligation to provide services to the citizens of the state must be balanced with the risk of danger to state employees. It is therefore appropriate that guidelines which reflect the needs of our citizens' and employees' safety be established.

The Department Secretary, directors, and administrators shall designate "critical" and/or "direct care" personnel, who will be required to reach their workstations by the time of regular office opening regardless of weather-related conditions to assure that offices are open to the public and services are provided. Prior designation will allow critical personnel to prepare for weather conditions, and if need be, arrange alternative methods of getting to work.

*In the Little Rock metropolitan area:* In the event of early morning severe inclement weather conditions, the Governor's Office will determine whether this inclement weather policy will be placed into effect and will announce its implementation to the media before 6:30 a.m. if possible. The announcement will include the affected counties. On days declared to be covered by the inclement weather policy, all employees should be at their workstations by 10:00 a.m. Employees arriving by 10:00 a.m. will be given credit for a full day's attendance. Employees arriving after 10:00 a.m. will be charged the full amount of time involved in the tardiness, and employees not coming to work at all will be charged a full day's absence. Managers are responsible for adapting the arrival time for employees who work a schedule that does not normally require them to report at 8:00 a.m.

When severe inclement weather occurs during office hours, department directors and agency administrators have the discretion to allow employees to leave work early for safety reasons. Decisions to allow employees to leave work early, however, should recognize the requirement to maintain designated critical personnel and assure service delivery to the citizens for the full workday. Employees who are on the job, and who are allowed to leave early, will not be charged leave for that time.

*In the areas outside of Little Rock metropolitan area:* The ACOM Secretary or the highest-level field supervisor will determine when the inclement weather policy is implemented based on weather conditions in different parts of the state. If the agency administrator chooses to delegate this authority to the field supervisor, such delegation should be made immediately and communicated to the employees under the supervisor. Local media shall be used to notify employees of policy implementation by 6:30 a.m. if possible. Where this approach is not possible, employees should be instructed to contact their supervisor when bad weather exists.

# ASBD – ACOOP

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When the inclement weather policy is implemented in an area outside the Little Rock metropolitan area, the attendance provisions applicable to employees in the Little Rock metropolitan area will be applied to employees in the affected area.

# ASBD – ACOOP


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Effective Date: 05/03/2021


## SECTION 4 – EMERGENCY ACTION PLAN

### **EMERGENCY PLAN**


All personnel need to familiarize themselves with the plan to make certain it is followed as closely as possible when the need arises. Various emergency situations can occur with little or no warning and should be reported to the Bank Commissioner as soon as possible.

 **EVACUATION** – ASBD’s policy requires immediate evacuation when the fire alarm system is activated within the building.

- All staff, visitors and any other individuals within the department should **promptly** evacuate the building using the nearest designated exit routes.
- ASBD’s designated exit is 4S – North **(the Yellow Route)**. If safe to do so, take the **Yellow** Route to avoid congestion in the stairwells.
- Always keep to the right side of corridors and stairwells as you exit.
- After exiting the building, occupants are to go directly to their designated Emergency Assembly Area (EAA) and follow guidance provided by their designated safety representatives and emergency responders.
- ASBD’s designated EAA is the **Yellow** assembly area in the parking lot. (If you walk out the front of the building just past the flagpoles and veer left and you will see the **Yellow** sign.

 **EXTINGUISHERS** – There are four (4) extinguishers located throughout the ASBD’s area.

- There is one at the front of the department on the south wall across from the receptionist desk.
- Two extinguishers can be located on the south side of the department under the fire extinguisher locator signs.
- There is also one under the sink in the breakroom.

 **SEVERE WEATHER SHELTER** – Emergency shelter in place means seeking immediate shelter inside a building. This may need to be taken during

# ASBD – ACOOP

a tornado, earthquake, active shooter, building intruder, or the release of hazardous materials in the outside air, or a civil disturbance.

- **Tornado Warning** – You should immediately seek shelter in the nearest facility or building (preferably in a room with no windows). Be prepared to kneel facing a wall and cover your head.
- **Earthquake** – Remain calm. Get under a sturdy table, desk, or heavy furniture. Brace yourself in an inside corner away from windows.
- **Hazardous materials (HAZMAT)** – Accidental release of toxic chemicals into the air. The air quality may be threatened and sheltering in place keeps you inside an area offering more protection. Close all windows and doors. Move to a shelter preferably above the first floor.
- **Active shooter, building intruder or a civil disturbance** – Go immediately to a safe location in your building. If possible, take refuge in a room which can be locked. If unable to lock the door secure it by any means possible.

*For additional information on best practices and tips for surviving an active shooter incident go to:*

<http://training.fema.gov/EMIWeb/IS/IS907.asp>

FLOOR	BUILDING COVERAGE	PRIMARY EVACUATION ROUTE Color-Coded Exits		EMERGENCY ASSEMBLY AREA Color-Coded PARKING LOTS		SHELTER IN PLACE LOCATION
4th	Lobby	Green	Yellow	Parking Lot Green	Parking Lot Yellow	Restrooms Only
	4N - North End	Blue		Parking Lot - Blue		Restrooms and Marked Interior Rooms
	4N - South End	Green		Parking Lot - Green		Restrooms and Marked Interior Rooms
	4S - North End	Yellow		Parking Lot - Yellow		Restrooms and Marked Interior Rooms
	4S - South End	Orange		Parking Lot - Orange		Restrooms and Marked Interior Rooms

# ASBD – ACOOP

EMERGENCY	EMERGENCY ASSEMBLY AREA (EAA) - SHELTER IN PLACE
Weather-Related - Tornado Warning	Basement corridors, basement offices, basement restrooms, if feasible) or the lowest level of the building (stay away from windows and doors)
Earthquake	Seek shelter under sturdy desk, table, or structural location such as a doorway or interior corners. Remain inside unless unsafe to do so.
Hazardous Materials (HAZMAT) Release	Seek shelter in office space in the upper floors. If possible, make sure windows and doors to the outside are secure.
Civil Disturbance - Active shooter	If possible, take refuge in a room which can be locked. If possible, close and lock the building's or room's door(s). If unable to lock the door secure it by any means possible. The room should also provide limited visibility to anyone that is outside of it. Hide under a desk, in a closet, or in the corner. After getting to a safe location and without jeopardizing your safety, try and obtain additional clarifying information by all possible means (e.g. TV, radio, email, etc.) Report any suspicious activity if you can do so without jeopardizing your safety... Call 911 if possible.

- **Bomb Threat** – Bomb threats and suspicious objects in today's climate of terrorism must be taken seriously. All threats and suspicious objects need to be treated as if it is a real possibility of a bomb being planted in, around or delivered to the building and its spaces. Facility Management and Directors or Administrators will be in the best position to determine the credibility of the threat. Building Management should be notified by calling (501) 324-9291.

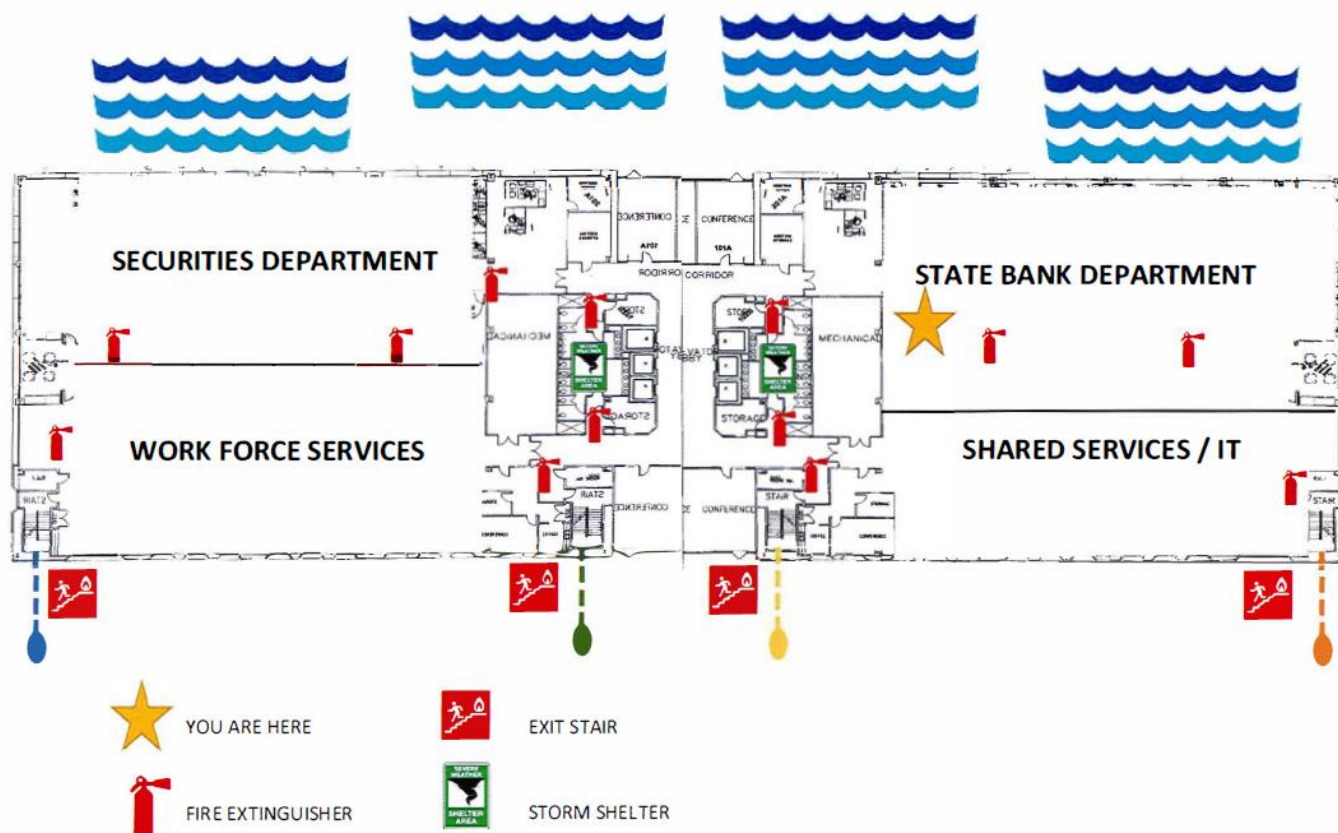
DEPARTMENT OF COMMERCE BUILDING			
Building Address:	One Commerce Way, Little Rock, AR		
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# ASBD – ACOOP

Effective Date: 05/03/2021

## FIRE ROUTES

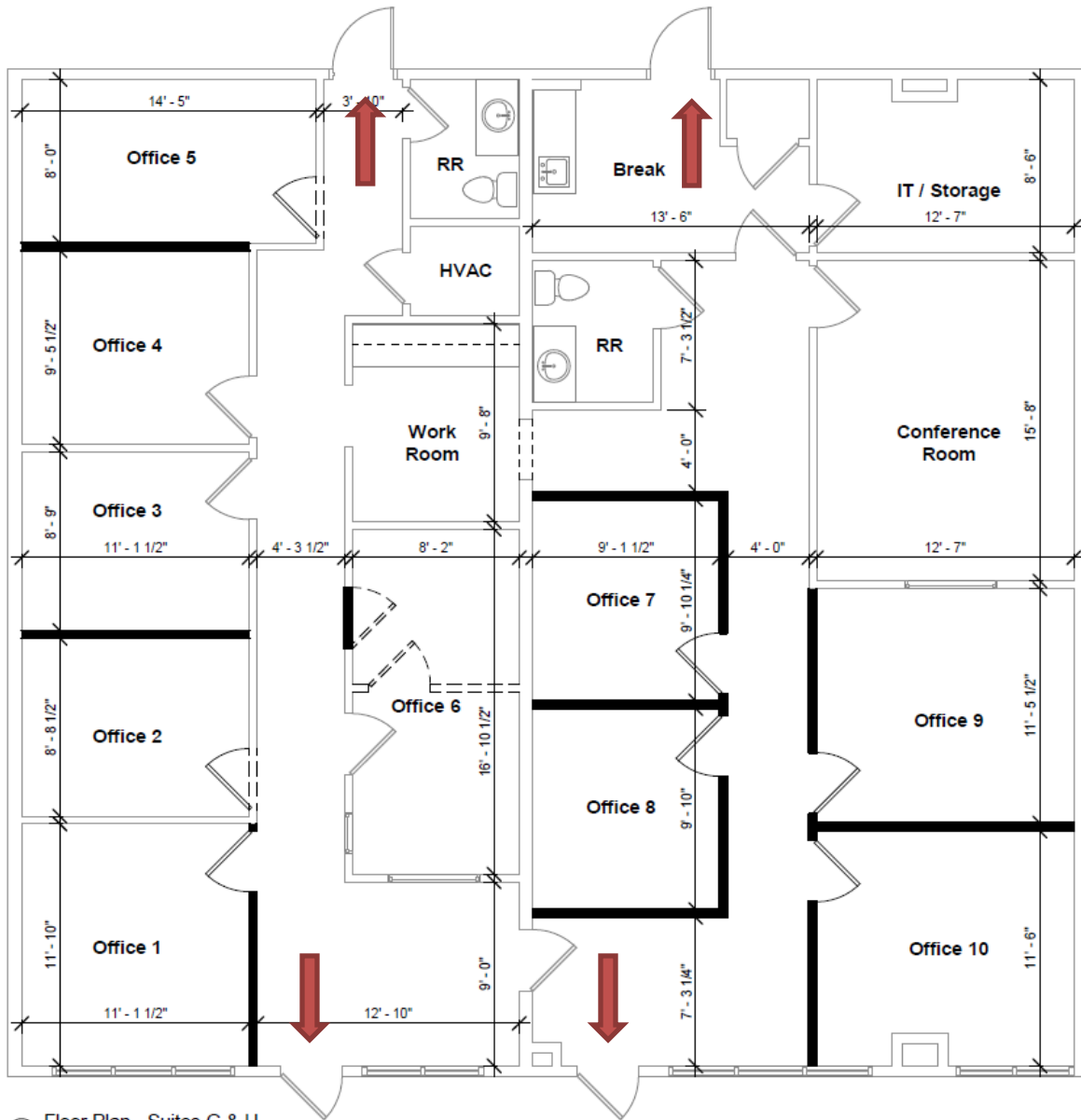
### LITTLE ROCK OFFICE





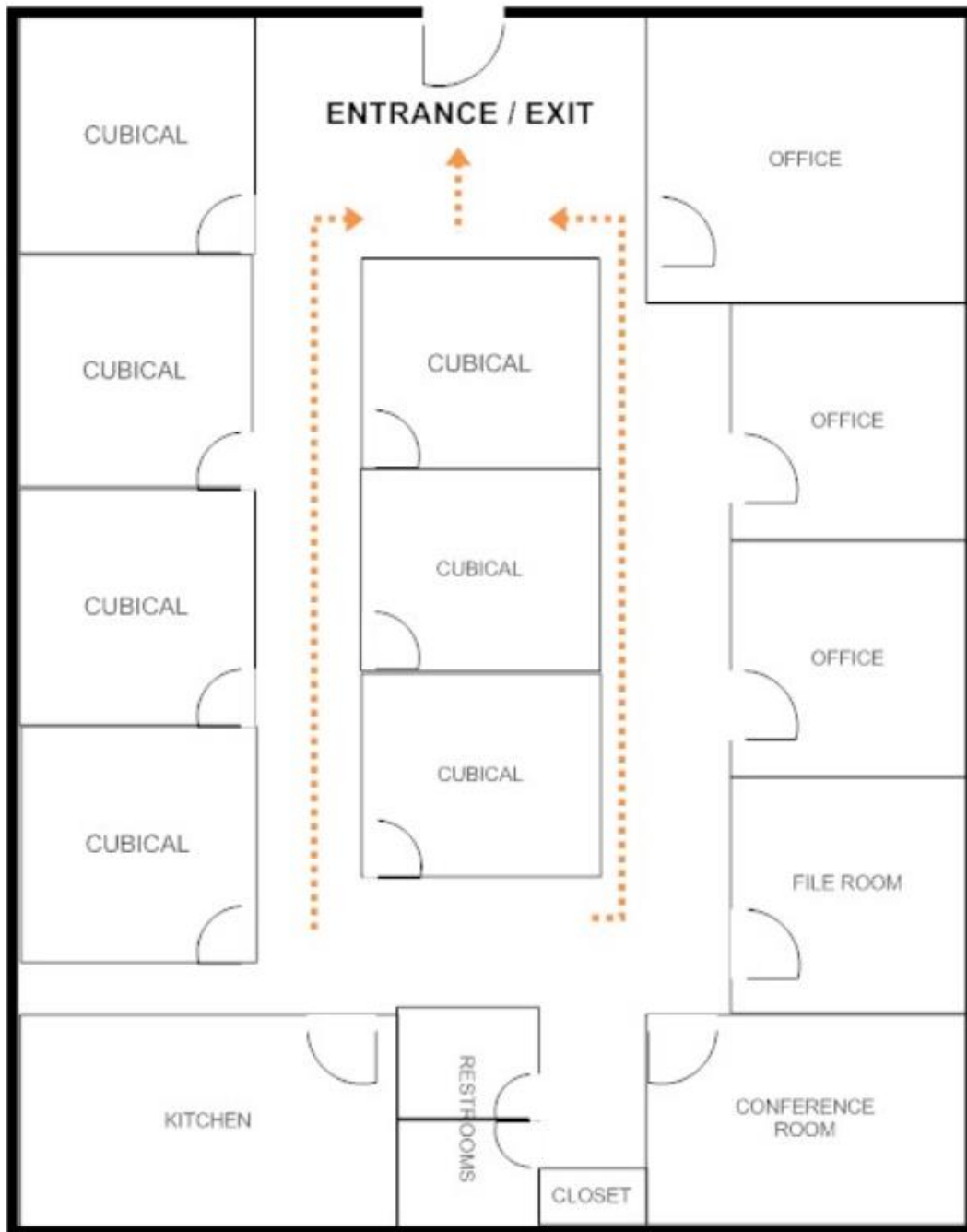
# ASBD – ACOOP

## JONESBORO OFFICE



# ASBD – ACOOP

## SPRINGDALE OFFICE



# ASBD – ACOOP

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*Effective Date:* 05/03/2021

## **KEY FOB MAINTENANCE**

The Bank Department submits an Access Key Card Request form to the Division of Building Authority. The form is emailed to [ABAMaintRequest@dfa.arkansas.gov](mailto:ABAMaintRequest@dfa.arkansas.gov). Parking Passes are obtained from the Shared Services HR Department of the Department of Commerce.

# ASBD – ACOOP

## ***BOMB THREAT CHECK LIST***

If a bomb threat call is received, signal a co-worker to call the Police and the Commissioner or Alternate. Attempt to keep the caller on the line. Use the list below to record information.

Date Reported: \_\_\_\_\_ Time: \_\_\_\_\_

How Reported: \_\_\_\_\_

Exact Words of Caller: \_\_\_\_\_

### *Questions to Ask*

When is the bomb going to explode? \_\_\_\_\_

Where is the bomb right now? \_\_\_\_\_

What kind of bomb is it? \_\_\_\_\_

Why did you place the bomb? \_\_\_\_\_

Where are you calling from? \_\_\_\_\_

### **Description of Callers Voice:**

☐ Male ☐ Female ☐ Young ☐ Middle Age ☐ Old ☐ Accent

Tone of Voice: \_\_\_\_\_

Background Noise: \_\_\_\_\_

Whom did it sound like? \_\_\_\_\_

### **Other Voice Characteristics:**

☐ Slow ☐ Rapid ☐ Normal ☐ Excited ☐ Loud

☐ Broken ☐ Sincere ☐ Disguised ☐ Other: \_\_\_\_\_

Time call ended: \_\_\_\_\_

Remarks: \_\_\_\_\_

Recipient Name: \_\_\_\_\_

Phone: \_\_\_\_\_ Location: \_\_\_\_\_

# ASBD – ACOOP

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## ***SUSPICIOUS OBJECT CHECKLIST***

If a Suspicious Object is found, signal a co-worker to call the Police and the Commissioner or Alternate. Attempt to keep clear of the Suspicious Object. Use the list below to record information.

Date Reported: \_\_\_\_\_

Time: \_\_\_\_\_

How Reported: \_\_\_\_\_

Exact Description of Object: \_\_\_\_\_

*What you should do:*

1. Do NOT handle or touch the Object.
2. Move people away from the Object.
3. Do not use portable radio equipment or cell phones within 100 feet of the Object.
4. Where is the Suspicious Object located?
5. Call 911 or call the State Police (618-8100)

*Description of Suspicious Object:*

☐ Paper ☐ Cardboard ☐ Box ☐ Metal

☐ Suitcase ☐ Square ☐ Round

*Area Location of Suspicious Object:*

☐ In Building Which Building \_\_\_\_\_ Floor \_\_\_\_\_ Direction (N,S,E,W) \_\_\_\_

☐ Outside Building Which Building \_\_\_\_\_ Floor \_\_\_\_\_ Direction (N,S,E,W) \_\_\_\_

Remarks: \_\_\_\_\_

Recipient Name: \_\_\_\_\_

Phone: \_\_\_\_\_ Location: \_\_\_\_\_

# ASBD – ACOOP

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Effective Date: 01/31/2022

## SECTION 5 – PREPARATION

### TEST, TRAINING, AND EXERCISES

[REDACTED]

[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
	[REDACTED]	[REDACTED]	
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# ASBD – ACOOP

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# ASBD – ACOOP

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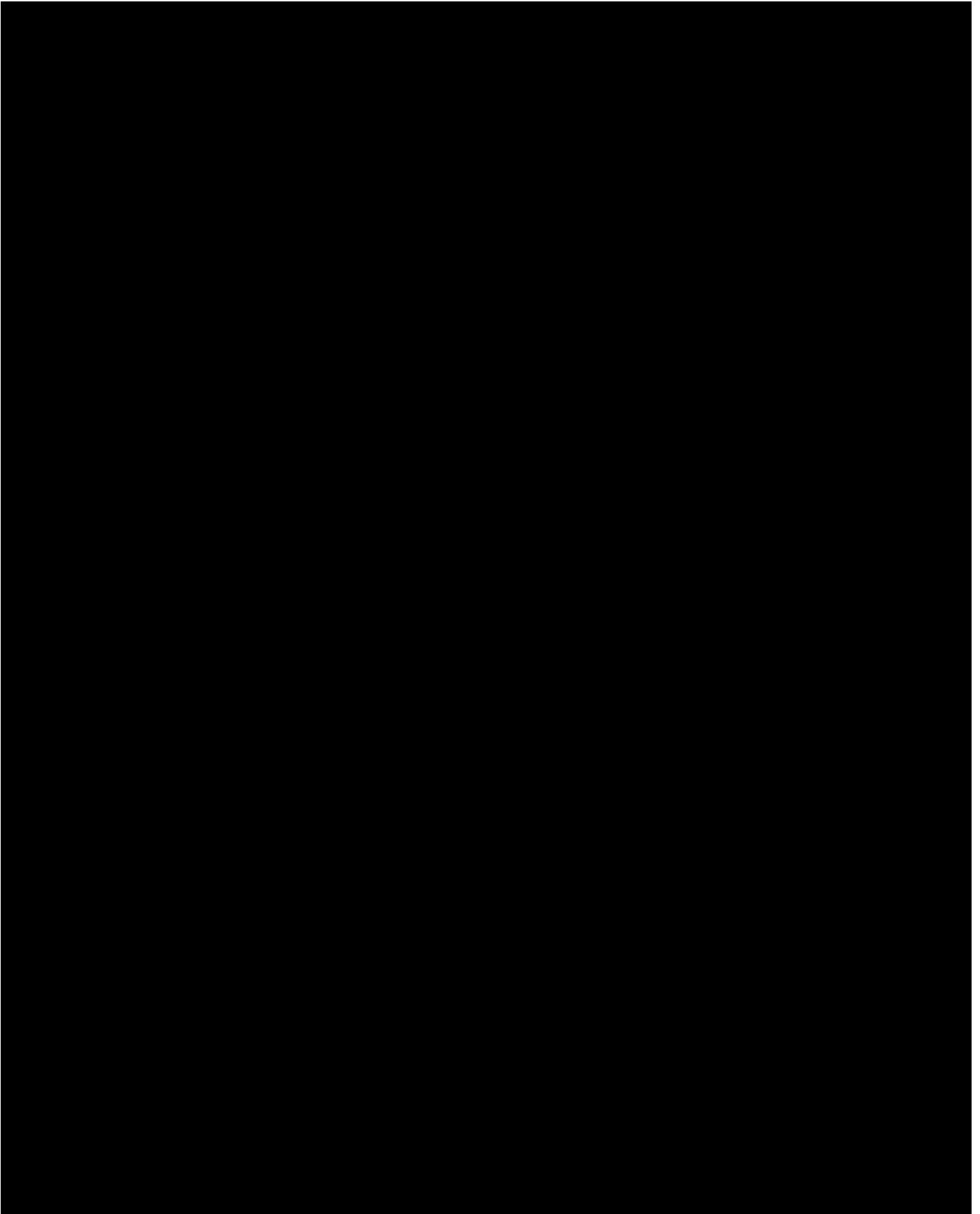
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**Effective Date:** 01/31/2022

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# ASBD – ACOOP




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# ASBD – ACOOP

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**PANDEMIC FLU TEAM**

[illegible]

**COMPUTER OPERATIONS TEAM**

EMPLOYEE	ID #	PLAN	TEAM POSITION
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

## EXAMINATION TEAM

[illegible]

## SECURITY TEAM

EMPLOYEE	ID #	PLAN	TEAM POSITION
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

# ASBD – ACOOP

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## ADMINISTRATIVE SUPPORT TEAM

EMPLOYEE	ID #	PLAN	TEAM POSITION
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
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[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

*Effective Date:* 05/03/2021

## **CROSS TRAINING PLAN**

Regardless of sector, all ASBD employees are thoroughly cross trained within their groups. Each area of the Bank Department is structured to have multiple employees capable of performing any task within their area of responsibility. The Bank Commissioner works in conjunction with the two Deputy Bank Commissioners at the Executive level. Four Assistant Deputy Bank Commissioners provide back-up for each other in carrying out their duties. The four Commercial Bank Examination groups have experienced employees that are thoroughly cross trained to handle any job function. This also holds true for the Trust Examination group and the Information Services Examination group. The Fiscal, Information Technology, Financial Analyst, Accounting and Administration Divisions all have multiple co-workers that are cross trained to perform job duties on a routine basis.

# ASBD – ACOOP

Effective Date: 05/03/2021

## **TEAM TASKS**

### **ACCOUNTING AND PAYROLL TEAM**

Company	Vendor Rep	Work Phone	Cell Phone
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#### **Tasks Assigned to This Team**

- ☐ If the first employee at the scene, start the call list by first calling the Commissioner, two Deputy Commissioners, and then continuing the call list back down.
- ☐ Oversee the EFFORTS OF THE Accounting/Payroll team, and delegate tasks to fellow team members as necessary to ensure the continuation of payroll and benefits.
- ☐ Continue to enter and update the Empowering Arkansas State Employees (EASE) program for time and leave.
- ☐ Communicate with your immediate Supervisor or the Commissioner for information on where to re-locate. Call list would be implemented.
- ☐ Log into AASIS to continue accounting/payroll services from home or from another state agency, with permission from said alternate agency.
- ☐ In a state-wide emergency, revert to Transformation Shared Services (TSS) to run last payroll. If TSS/State is down, communication or direction from the Governor's office will be forthcoming.
- ☐ Order supplies necessary for recovery using the general supply list located in the ACOOP manual.
- ☐ Relocate necessary employees to Springdale. Use state-owned vehicles if operable and conceivable.
- ☐ Approve allowable relocation expenses for the weekdays, i.e. hotels and mileage.

#### **Team Members**

Employee Name	Work Phone	Cell Phone	Position
██████████	██████████	██████████	██████████
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██████████	██████████	██████████	██████████



# ASBD – ACOOP

## CATASTROPHIC DISASTER TEAM

Company	Vendor Rep	Work Phone	Cell Phone
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### Tasks Assigned to This Team

- ☐ Attempt to contact every state-chartered bank in affected areas to determine the scope of damage and which institutions are open to the public.
- ☐ Oversee the implementation of tasks for the other team members and assist in their efforts as needed.
- ☐ Always keep your GETS card available along with any available AWIN radios.
- ☐ Provide assurance to citizens that the banking system remains secure and operations will resume.
- ☐ Establish call centers in the Arkansas State Bank Department Board and Conference Room if needed to answer questions from the public.
- ☐ Contact necessary agencies to provide needed assistance for the efforts of the disaster committee.
- ☐ Update the ASBD website with all current information on the status of banks in disaster-affected areas.
- ☐ Refer to list of anticipated problems and proposed mitigating processes to foresee future problems and keep it updated.

### Team Members

Employee Name	Work Phone	Cell Phone	Position
██████████	██████████	██████████	██████████
██████████	██████████	██████████	██████████
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# ASBD – ACOOP

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## *EXECUTIVE TEAM*

Company	Vendor Rep	Work Phone	Cell Phone
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### *Tasks Assigned to This Team*

- ☐ Attempt to contact every state-chartered bank in affected areas to determine the scope of damage and which institutions are open to the public.
- ☐ If the first employee at the scene, start the call list by first calling the Commissioner, two Deputy Commissioners, and then continuing the call list back down.
- ☐ If the Commissioner and Deputy Commissioners are all unavailable, determine whether or not to implement the Arkansas Continuity of Operations Plan (ACOOOP) based on the Class I, Class II, Class III scale that can be found in more detail in the plan overview.
- ☐ If one or more supervisors are unavailable, coordinate with the remaining supervisors to manage the absent subordinates.
- ☐ Call the Secretary of the Department of Commerce's Office to advise them of the events at ASBD.
- ☐ If the Commissioner is unavailable, refer to the order of succession section in the ACOOP manual.
- ☐ Perform a damage assessment for equipment and supplies. Collect all back-up computers and printers from field workers if applicable.
- ☐ Take a head count of every employee on the premises. Note the injuries and contact the appropriate emergency authorities, if necessary.
- ☐ Provide aid to fellow team members, if possible.
- ☐ Notify the emergency contacts of injured employees and their current location.
- ☐ Call the supervisors of banks thought to be affected by the disaster to determine the extent of damage.

# ASBD – ACOOP

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- ☐ Evaluate the disaster situation to determine possible issues.
- ☐ Ensure that ASBD's media statement is in order, if needed.
- ☐ If the e-mail Plan is unavailable, contact Arkansas Bankers Association and request notices be sent to all State Chartered Banks and Bank Holding Companies as to the status of ASBD.
- ☐ Contact the appropriate law enforcement agencies or other emergency agencies.
- ☐ Contact vendors for repair or replacement of damaged equipment.
- ☐ Notify building landlord of destruction to building, and contact Arkansas Bankers Association (refer to Memorandum of Understanding), if necessary, to secure a new site.
- ☐ Change the voicemail message for the Department to include another contact number, agency, or the like if the office is unable to accept calls.
- ☐ Contact the alarm company to give notice of recent events, if not already done so by the Assistant Deputy Commissioner position.
- ☐ Provide detailed information to staff on procedures to perform to get agency adequately staffed and running again.
- ☐ Take note as to the events occurring at ASBD for documentation purposes.
- ☐ Arrange for use of loaner equipment, if possible.
- ☐ Help to fill staffing needs by placing employees with special skills sets, as identified in attributes section of ASBD's ACOOP, in empty positions when feasible and necessary.
- ☐ Oversee the efforts of fellow team members and assist when needed.
- ☐ Contact Department of Finance and Administration Procurement Office for a security guard service if added security is required.
- ☐ Provide aid to any fellow team members if possible.
- ☐ Always keep your GETS card available, along with any available AWIN radios.
- ☐ Continue to monitor scheduling and requirements/needs for examinations.

## Team Members

Employee Name	Work Phone	Cell Phone	Position
██████████	██████████	██████████	██████████
██████████	██████████	██████████	██████████

# ASBD – ACOOP

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## PANDEMIC FLU TEAM

Company	Vendor Rep	Work Phone	Cell Phone
Arkansas Building Authority		501-682-1833	

### Tasks Assigned to This Team

- ☐ Inform subordinates that are working from home or other off-site locations to communicate their status and any changes via e-mail or telephone as usual.
- ☐ Issue a notice to the public and to staff that if and when a decision has been made to close the building for normal business under the direction of the Department of Commerce Secretary, or as seen fit by the members of the pandemic flu team.
- ☐ Ensure the ASBD's website and outbound message board is maintained to inform the status of the ASBD employees and citizens.
- ☐ If one or more supervisors are unavailable, coordinate with the remaining supervisors to manage the absent subordinates.
- ☐ Attend to any work from home issues that should arise in data security and data communications but try to avoid travel if possible. If it is necessary, practice social distancing by keeping 6 feet apart from others.
- ☐ Inform subordinates of any alternate meeting sites.
- ☐ Ensure that all supervisors are aware of pandemic flu policies, and that they share them with their subordinates.

# ASBD – ACOOP

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- ☐ Always keep your GETS card available, along with any available AWIN radios.
- ☐ Ensure that ASBD's media statement is in order, if needed.
- ☐ Decide where employees are to report and how they are to be contacted including both during and after hours (if applicable), then instruct supervisors to inform their employees.
- ☐ Ensure that sick employees use the appropriate absent code in the EASE program.
- ☐ Remind all employees about the specifics of the catastrophic leave plan and where further information is available.
- ☐ Remind all supervisors of the appropriate use of employee, customer, and vendor contact information shared for continuity of operations.
- ☐ Monitor the volume of outside callers and inquiries and determine the feasibility, necessity, staffing and process of starting a call center.

## Team Members

Employee Name	Work Phone	Cell Phone	Position
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# ASBD – ACOOP

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## COMPUTER OPERATIONS TEAM

Company	Vendor Rep	Work Phone	Cell Phone
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### Tasks Assigned to This Team

- ☐ Damage assessment of equipment and supplies. Salvage any usable equipment and/or supplies.
- ☐ Contact vendors for repair or replacement of damaged equipment. Arrange for loaner equipment if possible.
- ☐ Collect field computers and printers to be used for office and back-up report disks from examiners.
- ☐ Set-up field computers and printers in new/existing environment. Test the hardware and software to ensure its integrity. Allow Administrative Support Team to continue with report printing and correspondence.
- ☐ After new hardware is received, install software. Test software to ensure integrity. Install the other workstations, printers, and network.
- ☐ Ensure processing of top priority functions then proceed with lower priority functions (1) Exam reports (2) Correspondence (3) Lower priority functions.

### Team Members

Employee Name	Work Phone	Cell Phone	Position
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# ASBD – ACOOP

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## SECURITY TEAM

Company	Vendor Rep	Work Phone	Cell Phone
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### Tasks Assigned to This Team

- ☐ Annual fire extinguisher inspection (January). Gather all fire extinguishers from Little Rock vehicles. Contact inspection company and let them know they are ready for inspection. Return them to the appropriate staff. Jonesboro and Springdale offices will be responsible for their own inspections.
- ☐ Maintain the primary and secondary contact information for Building Security Company.

### Team Members

Employee Name	Work Phone	Cell Phone	Position
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██████████	██████████	██████████	██████████

## EXAMINATION TEAM

Company	Vendor Rep	Work Phone	Cell Phone
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### Tasks Assigned to This Team

- ☐ Notification to all banks will be made through the media and Arkansas State Bank Department website.
- ☐ Notifications to all field supervisors.
- ☐ Notifications to all examination personnel will be made by the field supervisors.
- ☐ Each examination team is to maintain an inventory of all forms and supplies needed to complete an exam.

### Team Members

Employee Name	Work Phone	Cell Phone	Position
██████████	██████████	██████████	██████████

# ASBD – ACOOP

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## *ADMINISTRATIVE SUPPORT TEAM*

Company	Vendor Rep	Work Phone	Cell Phone
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### *Tasks Assigned to This Team*

- ☐ Confirmation from Information Technology all systems are up and functioning.
- ☐ Assess damages to file room. Depending on damage – reconstruction of files would be a priority.
- ☐ Restock office supplies.
- ☐ Assist other departments as needed.

### *Team Members*

Employee Name	Work Phone	Cell Phone	Position
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# ASBD – ACOOP

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*Effective Date:* 01/31/2022

## **TEAM TASKS CHECKLIST**

### *ACCOUNTING AND PAYROLL TEAM*

- ☐ 01 If the first employee at the scene, start the call list by first calling the Commissioner, two Deputy Commissioners, and then continuing the call list back down.
- ☐ 02 Oversee the EFFORTS OF THE Accounting/Payroll team, and delegate tasks to fellow team members as necessary to ensure the continuation of payroll and benefits.
- ☐ 03 Continue to enter and update the Empowering Arkansas State Employees (EASE) program for time and leave.
- ☐ 04 Communicate with your immediate Supervisor or the Commissioner for information on where to re-locate. Call list would be implemented.
- ☐ 04 Log into AASIS to continue accounting/payroll services from home or from another state agency, with permission from said alternate agency.
- ☐ 05 In a state-wide emergency, revert to DFA to run last payroll. If DFA/State is down, communication or direction from the Governor's office will be forthcoming.
- ☐ 06 Order supplies necessary for recovery using the general supply list located in the ACOOP manual.
- ☐ 06 Relocate necessary employees to Springdale. Use state-owned vehicles if operable and conceivable.
- ☐ 07 Approve allowable relocation expenses for the weekdays, i.e. hotels and mileage.

# ASBD – ACOOP

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## *CATASTROPHIC DISASTER TEAM*

- ☐ 01 Attempt to contact every state-chartered bank in affected areas to determine the scope of damage and which institutions are open to the public.
- ☐ 01 Oversee the implementation of tasks for the other team members and assist in their efforts as needed.
- ☐ 02 Always keep your GETS card available, along with any available AWIN radios.
- ☐ 02 Provide assurance to citizens that the banking system remains secure and that operations will resume.
- ☐ 03 Establish call centers in the Arkansas State Bank Department Board and Conference Room if needed to answer questions from the public.
- ☐ 03 Contact necessary agencies to provide needed assistance for the efforts of the disaster committee.
- ☐ 04 Update the ASBD website with all current information on the status of banks in disaster-affected areas.
- ☐ 05 Refer to list of anticipated problems and proposed mitigating processes to foresee future problems and keep it updated.

# ASBD – ACOOP

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## *EXECUTIVE TEAM*

- ☐ 01 If the first employee at the scene, start the call list by first calling the Commissioner, two Deputy Commissioners, and then continuing the call list back down.
- ☐ 01 If the Commissioner and Deputy Commissioners are all unavailable, determine whether or not to implement the Arkansas Continuity of Operations Plan (ACOO) based on the Class I, Class II, Class III scale that can be found in more detail in the plan overview.
- ☐ 02 If one or more supervisors are unavailable, coordinate with the remaining supervisors to manage the absents' subordinates.
- ☐ 02 Call the Secretary of the Department of Commerce to advise them of the events at ASBD.
- ☐ 02 If the Commissioner is unavailable, refer to the order of succession section in the ACOOP manual.
- ☐ 02 Perform a damage assessment for equipment and supplies. Collect all back-up computers and printers from field workers if applicable.
- ☐ 02 Take a head count of every employee on the premises. Note the injuries and contact the appropriate emergency authorities, if necessary.
- ☐ 03 Provide aid to fellow team members, if possible.
- ☐ 03 Notify the emergency contacts of injured employees and their current location.
- ☐ 03 Call the supervisors of banks thought to be affected by the disaster to determine the extent of damage.
- ☐ 03 Evaluate the disaster situation to determine possible issues.
- ☐ 04 Ensure that ASBD's media statement is in order, if needed.
- ☐ 04 If the e-mail program is unavailable, contact Arkansas Bankers Association and request notices be sent to all State Chartered Banks and Bank Holding Companies as to the status of ASBD.
- ☐ 04 Contact the appropriate law enforcement agencies or other emergency agencies.
- ☐ 04 Contact vendors for repair or replacement of damaged equipment.
- ☐ 05 Provide detailed information to staff on procedures to perform to get agency adequately staffed and running again.

# ASBD – ACOOP

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- ☐ 05 Take note as to the events occurring at ASBD for documentation purposes.
- ☐ 05 Arrange for use of loaner equipment, if possible.
- ☐ 05 Help to fill staffing needs by placing employees with special skills sets, as identified in attributes section of ASBD's ACOOP, in empty positions when feasible and necessary.
- ☐ 06 Oversee the efforts of fellow team members and assist when needed.
- ☐ 06 Contact Department of Finance and Administration Procurement Office for a security guard service if added security is required.
- ☐ 07 Provide aid to any fellow team members if possible.
- ☐ 07 Always keep your GETS card available, along with any available AWIN radios.
- ☐ 08 Continue to monitor scheduling and requirements/needs for examinations.

# ASBD – ACOOP

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## *PANDEMIC FLU TEAM*

- ☐ 01 Inform subordinates that are working from home or other off-site locations to communicate their status and any changes via e-mail or telephone as usual.
- ☐ 01 Issue a notice to the public and to staff that if and when a decision has been made to close the building for normal business under the direction of the Governor, or as seen fit by the members of the pandemic flu team.
- ☐ 01 Ensure the ASBD's website and outbound message board is maintained to inform the status of the ASBD employees and citizens.
- ☐ 01 If one or more supervisors are unavailable, coordinate with the remaining supervisors to manage the absents' subordinates.
- ☐ 02 Provide aid to any fellow team members if possible.
- ☐ 02 Attend to any work from home if issues arise in data security and data communications but try to avoid travel. If necessary, practice social distancing by keeping 6 feet apart from others.
- ☐ 02 Inform subordinates of any alternate meeting sites.
- ☐ 03 Ensure that all supervisors are aware of pandemic flu policies, and that they share them with their subordinates.
- ☐ 03 Always keep your GETS card available, along with any available AWIN radios.
- ☐ 03 Ensure that ASBD's media statement is in order, if needed.
- ☐ 04 Decide where employees are to report and how they are to be contacted including both during and after hours (if applicable), then instruct supervisors to inform their employees.
- ☐ 04 Ensure that sick employees use the appropriate absent code in the EASE program.
- ☐ 05 Remind all employees about the specifics of the catastrophic leave plan and where further information is available.
- ☐ 05 Remind all supervisors of the appropriate use of employee, customer, and vendor contact information shared for continuity of operations.
- ☐ 05 Monitor the volume of outside callers and inquiries and determine the feasibility, necessity, staffing and process of starting a call center.

# ASBD – ACOOP

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- ☐ 06 Ensure that all assets moved to alternate locations are logged via asset ID #'s and accounted for at all times.
- ☐ 06 Continue to monitor scheduling and requirements/needs for examinations.
- ☐ 06 Consider advocating progressive back-to-work schedules for those that have been ill.
- ☐ 06 Delegate or process Family Medical Leave Act applications.
- ☐ 07 Inform all employees that there is limit of 6 months for LWOP.
- ☐ 07 Ensure that a receptionist is always stationed at the front desk.
- ☐ 07 Coordinate with other regulatory agencies for examination/information purposes.
- ☐ 08 Ensure that there is a separation of at least six feet for each employee from another.
- ☐ 08 Inform all employees that accrual of leave stops after 10 days of Leave without Pay (LWOP).
- ☐ 09 Inform employees to continue processing time and leave through EASE.
- ☐ 09 Ensure that all employees are provided with hand sanitizer and other cleaning supplies and are knowledgeable on the appropriate practices and uses of each.
- ☐ 10 Inform employees of any special provisions available through insurance for pandemic flu cases.
- ☐ 11 Ensure that heating, ventilation, and air-conditioning systems always remain on and that they are checked to ensure proper operation.
- ☐ 12 Help to fill staffing needs by placing employees with special skills sets, as identified in attributes section of ASBD's ACOOP, in empty positions when feasible and necessary.
- ☐ 13 Notify janitorial staff of any enacted special provisions.

# ASBD – ACOOP

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## COMPUTER OPERATIONS TEAM

- ☐ 01 Damage assessment of equipment and supplies. Salvage a usable equipment and/or supplies.
- ☐ 02 Contact vendors for repair or replacement of damaged equipment. Arrange for loaner equipment if possible.
- ☐ 03 Collect field computers and printers to be used for office and back-up report disks from examiners.
- ☐ 04 Set-up field computers and printers in new/existing environment. Test the hardware and software to ensure its integrity. Allow Administrative Support Team to continue with report printing and correspondence.
- ☐ 05 After new hardware is received, install software. Test software to ensure integrity. Install the other workstations, printers, and network.
- ☐ 06 Ensure processing of top priority functions then proceed with lower priority functions (1) Exam reports (2) Correspondence (3) Lower priority functions.

## SECURITY TEAM

Company	Vendor Rep	Work Phone	Cell Phone
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### Tasks Assigned to This Team

- ☐ 01 Work with your assigned team.
- ☐ 01 Assist other departments if needed.

# ASBD – ACOOP

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## *EXAMINATION TEAM*

- ☐ 01 Notification to all banks will be made through the media and Arkansas State Bank Department website.
- ☐ 02 Notifications to all field supervisors.
- ☐ 03 Notifications to all examination personnel will be made by the field supervisors.
- ☐ 04 Each examination team is to maintain an inventory of all forms and supplies needed to complete an exam.

## *ADMINISTRATIVE SUPPORT TEAM*

- ☐ 01 Confirmation from Information Technology all systems are up and functioning.
- ☐ 02 Assess damages to file room.
- ☐ 03 Depending on damage – reconstruction of files would be a priority
- ☐ 02 Restock office supplies
- ☐ 02 Assist other departments if needed



# ASBD – ACOOP

Effective Date: 05/03/2021

## **EMERGENCY OFFICE SUPPLIES**

SUPPLIES	LITTLE ROCK	JONESBORO	SPRINGDALE
Adhesive Bandages	X	X	X
Adhesive Tape Roll 1 in x 5 yds	X	X	X
Advil	X	X	X
Alcohol Pads	X	X	X
Antacid Tablets	X	X	X
Antibiotic Ointment	X	X	X
Antiseptic Towelettes	X	X	X
Burn Cream	X	X	X
Butterfly Bandages	X	X	X
Cotton Tip Applicators	X	X	X
CPR Rescue Mask / Face Shield Kit	X	X	X
Gloves	X	X	X
Eye Pads	X	X	X
Eye Wash Bottles 1 oz	X	X	X
Finger Splints	X	X	X
First Aid Guides	X	X	X
Gauze Rolls 2 in x 4 in	X	X	X
Instant Cold Compress	X	X	X
Medical Metal Scissors	X	X	X
Stainless Steel Tweezers	X	X	X
Sterile Gauze Pads 2 in x 2 in	X	X	X
Sterile Gauze Pads 4in x 4 in	X	X	X
Sterile Trauma Pad 5 in x 9 in	X	X	X
Sting Relief Pads	X	X	X
Triangular Bandage	X	X	X
Tylenol	X	X	X
Wound Closure Strips	X	X	X

*Little Rock* - located in the break room and in the receptionist area middle cabinet under the tv

*Jonesboro* - located in the work room

*Springdale* - located in the hall by the kitchen and rest rooms.

# ASBD – ACOOP

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*Effective Date:* 05/03/2021

## **RELOCATION SITE**

**RELOCATION SITE  
Arkansas Bankers Association  
1220 West Third Street, Little Rock, AR  
(501) 376-3741**

**PRIORITIES** – Processing priorities at the backup location, for the Little Rock office and both regional offices, must be determined in advance. Because this is an emergency, you must identify those functions that must be processed. These applications should be processed first, and as time permits, you may proceed with lower priority processing. The relocation site operations should follow a schedule like the following:

1. Be certain the host computer is backed up before you start processing
2. Applications that have top priority
  - a. Exam reports
  - b. Correspondence
  - c. Lower priority applications
3. After you have completed processing, be certain all your information is backed up and removed from the host computer

**MATERIALS** – All materials needed to operate at the relocation site should be stored at both the Department and the alternate site.

1. Boxes of letterhead and printed forms
2. Boxes of blank stock paper

# ASBD – ACOOP

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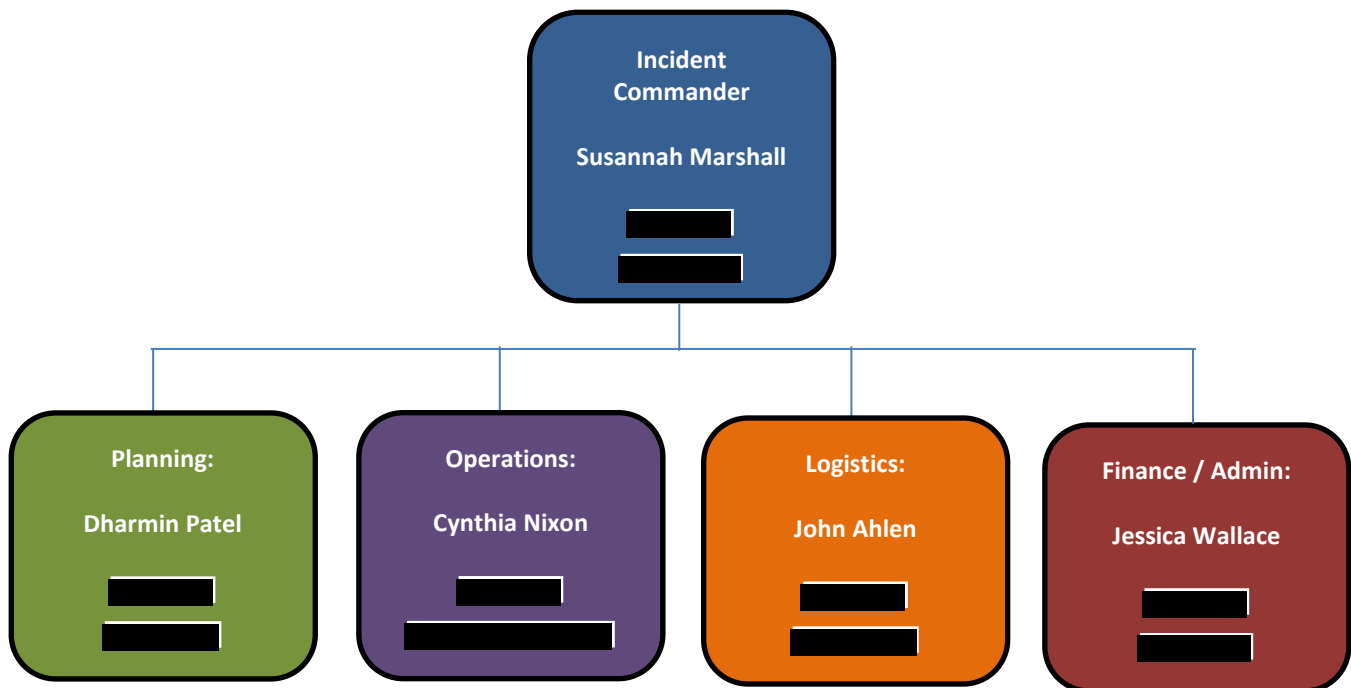
Effective Date: 01/31/2022

## SECTION 6 – ACTIVATION / RECONSTITUTION

### NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS)

#### STRUCTURE FLOWCHART

Arkansas State Bank Department (ASBD)



# ASBD – ACOOP

Effective Date: 01/31/2022

## CALL LIST

Caller	Cell	Work	Other	Email
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]		[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]		[REDACTED]
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# ASBD – ACOOP

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# ASBD – ACOOP

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# ASBD – ACOOP

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*Effective Date:* 05/03/2021

## **MEDIA STATEMENT**

### **Arkansas State Bank Department (ASBD)**

Last update: May 3, 2021

At this time, the Arkansas State Bank Department is not releasing any information concerning the incident that occurred today.

A formal press conference will be held or a press release will be issued in the near future.

## **EMERGENCY LEGISLATION**

**(a)** The General Assembly:

**(1)** Finds that in the event of an emergency, the Bank Commissioner should be authorized to take appropriate action to expedite the recovery of a community affected by the emergency and to encourage banks to meet the credit, deposit, and other financial needs of the community; and

**(2)** Intends by the enactment of this section to authorize the commissioner when warranted by a state of emergency to assist the affected community by:

**(A)** Declaring with the consent of the Governor a state of emergency;

**(B)** Temporarily modifying or suspending banking laws, regulations, or requirements; and

**(C)** Taking any other action appropriate to assist affected banks so that:

**(i)** Customary banking services can continue to be provided; and

**(ii)** Financial stability can be maintained.

**(b)** As used in this section:

**(1)** "Affected area" means the geographic location described in a proclamation by the commissioner declaring a state of emergency;

**(2)** "Affected bank" means a bank with an office in the geographic location described in a proclamation by the commissioner declaring a state of emergency;

**(3)** "Office" means a physical location where a bank transacts business or conducts banking operations;

**(4)** "Officer" means:

**(A)** A person designated by the board of directors, board of trustees, or other governing body of a bank to act for the bank under this section; or

**(B)** The president or other person in charge of an office if:

**(i)** A designation under subdivision (b)(4)(A) of this section has not been made; or

# ASBD – ACOOP

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**(ii)** An officer designated under subdivision (b)(4)(A) of this section is not available; and

**(5) (A)** "State of emergency" means a natural or man-made occurrence or condition that may:

**(i)** Affect the ability of a bank to conduct normal business operations; or

**(ii)** Pose a threat to the safety or security of a person or property.

**(B)** "State of emergency" includes without limitation an occurrence or condition caused by:

**(i)** A natural disaster;

**(ii)** A tornado;

**(iii)** A storm;

**(iv)** A flood;

**(v)** High water;

**(vi)** An earthquake;

**(vii)** A drought;

**(viii)** A fire;

**(ix)** An act of war, rebellion, violent demonstration, or terrorism; or

**(x)** A robbery of a bank or other financial institution.

**(c) (1)** In addition to any other law of this state or of the United States authorizing the closing of a bank or excusing the delay by a bank in the performance of its duties and obligations because of a situation or condition beyond the bank's control, the commissioner may with the Governor's consent declare by written proclamation that a state of emergency exists in all or part of the state.

**(2)** The proclamation and any order issued under this section:

**(A)** Shall be published on the commissioner's website; and

**(B)** May be disseminated in any other manner deemed appropriate by the commissioner under the circumstances.

# ASBD – ACOOP

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**(d) (1)** If the commissioner declares a state of emergency under this section, the commissioner may authorize an affected bank by written order to:

**(A)** Close an office within the affected area; and

**(B)** Keep the office closed for a reasonable amount of time until the office can be reopened.

**(2)** A bank that closes an office under this section shall notify the commissioner as promptly as conditions permit by any means reasonably available of the:

**(A)** Reason for closing the office; and

**(B)** Expected length of time the office will be closed.

**(3)** If an office is closed under this section:

**(A)** Each day that the office is closed shall be treated for banking purposes as a legal holiday; and

**(B)** An affected bank or a director, officer, or employee of an affected bank shall not because the office is closed:

**(i)** Incur any liability; or

**(ii)** Forfeit any legal or equitable rights.

**(e) (1) (A)** If the commissioner finds that an affected bank closed an office as a result of a state of emergency and that the opening of a temporary office by the affected bank will help meet the credit, deposit, and other financial needs of the customers of the affected area, the commissioner may authorize the affected bank by written order to open a temporary office either within the state or at a location in another state.

**(B)** The temporary office may be a mobile branch, temporary office space, or any other facility approved by the commissioner.

**(2)** The formal application process, requirements, and fees for opening a temporary office may be suspended when a state of emergency exists.

**(3)** A temporary office opened under this section may remain open until the commissioner with the consent of the Governor declares that the state of emergency no longer exists unless written permission to remain open is granted by the commissioner upon application by an affected bank to establish an office at the site of the temporary office.

# ASBD – ACOOP

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**(f) (1)** An order issued by the commissioner under this section becomes effective upon issuance and continues for one hundred twenty (120) days or unless terminated sooner by the commissioner.

**(2)** The commissioner may extend an order issued under this section for an additional period not to exceed one hundred twenty (120) days if the commissioner with the consent of the Governor finds that the existing state of emergency continues or that a new state of emergency exists.

**(g)** The commissioner may by rule:

**(1)** Adopt additional procedures to implement this section; and

**(2)** Impose sanctions under 23-46-205 for a violation of this section.

# ASBD – ACOOP

Effective Date: 05/03/2021

## MEMORANDUM(S) OF UNDERSTANDING

### MEMORANDUM OF UNDERSTANDING BETWEEN ARKANSAS STATE BANK DEPARTMENT AND ARKANSAS BANKERS ASSOCIATION

The Arkansas State Bank Department and the Arkansas Bankers Association mutually consent to enter into this Agreement which forms the basis of this Memorandum (MOU).

#### 1. PURPOSE

This agreement between the Arkansas State Bank Department and the Arkansas Bankers Association establishes a framework of cooperation to ensure continuity of operations in the event that office space becomes uninhabitable. This document is not meant to be legally binding; it is a statement of cooperation between these two parties for future accommodations due to emergency/disaster declarations.

#### 2. PRINCIPLES OF COOPERATION

a. The Arkansas Bankers Association agrees to allow the Arkansas State Bank Department use of specific areas of their Board Room located at 1220 West Third Street, Little Rock, Arkansas, as an alternate location.

b. In the event the Arkansas State Bank Department must temporarily relocate to the Arkansas Bankers Association facility, the contact listed below will be notified by phone or other available system of communication of the Arkansas State Bank Department's intent to relocate.

c. Both parties agree to work with a strong spirit of cooperation and mutual regard for each other's critical mission. Arkansas State Bank Department personnel will only remain at the Arkansas Bankers Association's facility until the Arkansas State Bank Department secures another location through Arkansas Building Authority.

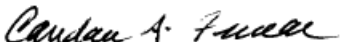
#### 3. POINTS OF CONTACT

Agency	Contact Name	Phone
Arkansas State Bank Department	Candace A. Franks	501-324-9019
Arkansas Bankers Association	Lorrie Trogden	501-376-3741

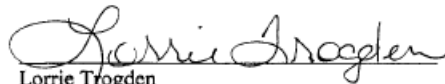
#### 4. IMPLEMENTATION

This MOU is implemented as of the date of the last signature and will remain valid by mutual agreement of the parties.

#### 5. SIGNATURES

  
Candace A. Franks  
Commissioner  
Arkansas State Bank Department

11/28/18  
Date

  
Lorrie Trogden  
President and CEO  
Arkansas Bankers Association

11/20/18  
Date

# ASBD – ACOOP

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Effective Date: 05/03/2021

## **ALTERNATE LOCATION SITES**

### **ASBD - Little Rock Office**

Type: Backup Site,  
Control Site,  
Recovery Site,  
Test Site

1 Commerce Way, Suite 401  
Little Rock AR  
(501) 324-9019

72202

From I-630 (East): Take I-630 E. Take the Chester St exit, Exit 2A, stay to the left when exiting. Turn left onto S. Chester St. Turn left onto W. Laharpe Blvd/AR-10. Continue to follow AR-10. Turn right onto Riverfront Dr. Turn on the 4th entrance to the right onto Commerce Way.

From I-630 (West): Take I-630W. Take the Chester St exit, Exit 2A. Keep right to take the Chester St. ramp, stay to the left when exiting. Turn left onto S Chester St. Turn left onto W. Laharpe Blvd/AR-10. Continue to follow AR-10. Turn right onto Riverfront Dr. Turn on the 4th entrance to the right onto Commerce Way.

### **ASBD - Springdale Office**

Type: Backup Site,  
Control Site,  
Recovery Site,  
Test Site

Sq. Feet: 2500

777 Mathias Drive, Suite A  
Springdale AR  
(479) 751-5543

72762-0739

From Little Rock Office – When exiting the parking lot turn left onto Riverfront Drive. Turn left onto Cantrell Rd/AR-10. Continue to follow A-10. Turn slight left onto Highway 10. Stay straight to go onto I-30 E/US-6 N/US-167 N. Merge onto I-40 W via Exit 143A on the left toward Fort Smith. Take the I-540 N exit, Exit 12, toward Fayetteville. Merge onto I-49N. Take the US-412 exit, Exit 72, toward Tontitown/Springdale/Siloam Springs. Keep left at the fork in the ramp. Turn left onto W Sunset Ave/US-412 W/AR-68. Turn right onto Mathias Drive. Your destination is on the left.

### **ASBD - Jonesboro Office**

Type: Backup Site,  
Control Site,  
Recovery Site,  
Test Site

Sq. Feet: 2500

1817 Woodsprings Rd  
Jonesboro AR  
(870) 972-1744

72401

# ASBD – ACOOP

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From Little Rock Office – When exiting the parking lot turn left onto Riverfront Drive. Turn left onto Cantrell Rd/AR-10. Continue to follow A-10. Turn slight left onto Highway 10. Stay straight to go onto I-30 E/US-6 N/US-167 N. Merge onto US-67N via Exit 143B toward Memphis. Take the exit. Turn slight right onto Highway 226/AR-226. Continue to follow AR-226. Stay straight to go onto Southwest Dr/US-29 N. Continue to follow Southwest Dr. Turn left onto Alexander Dr/AR-18. Continue to follow Alexander Dr. Turn right onto Woodsprings Rd/County Hwy-453. Your destination is on the right.

## Arkansas Bankers Association

Type: Other Site

Sq. Feet:

1220 West Third Street  
Little Rock AR  
(501) 376-3741

72201

From Little Rock Office – When exiting the parking lot turn left onto Riverfront Drive. Turn left onto Cantrell Rd/AR-10. Continue to follow A-10. Turn right onto N Chester St. Turn right onto W 3<sup>rd</sup> Street. Your destination is the right.

## Employees' Homes

Type: Backup Site

Sq. Feet:

Various addresses throughout the state of Arkansas



# ASBD – ACOOP

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*Effective Date:* 09-03-2019

## **DISASTER RECOVERY SERVER BACKUP**

The main servers for the Arkansas State Bank Department's local area network are in the DIS-PP-DFC/West Little Rock location. Duplicate servers are maintained in ASBD's Springdale office. VMWare Site Recovery Manager is the automation software which integrates with an underlying replication technology to provide policy-based management, non-disruptive testing, and automated orchestration of recovery plans. This provides simple and reliable recovery and mobility of virtual machines between sites with minimal or no downtime. The image servers are synchronized each evening using Syncback software.

To maintain the most proactive disaster recovery posture, the ASBD engages in a pattern of testing to ensure hardware and software architecture validity and integrity. Testing breadth and depth is commensurate with the risks posed to the agency's infrastructure (e.g., new firmware updates that have been applied, technological security threats identified, additional servers added or removed, etc.). However, disaster recovery of servers is to be tested annually in July. Additional testing will take place as executive management deems necessary.

The tests conducted will generally consist of taking the Little Rock infrastructure offline, and subsequently ensuring the Springdale infrastructure is actively receiving and processing requests (e.g., email, self-exam processing, and internal agency workflow) from users at various locations. Each department within the agency is represented during the tests and is tasked with ensuring adequate continuity of operations during the test.

An event log during the testing time period is maintained and incorporated into the post-mortem analysis. This log is preserved through documentation in ACOOP. In addition, a thorough review of test results will be undertaken by management in order to gain a complete understanding of the lessons learned for any adjustments that may be warranted and incorporation into future testing.

# ASBD – ACOOP

Effective Date: 05/03/2021

## VITAL FILES, RECORDS, AND DATABASES

<u>Record Name</u>	<u>Off-site Location</u>	<u>Media Type</u>
<b>Examination Reports</b>		
<u>Backup</u>	<u>Archive</u>	
Full	<input checked="" type="checkbox"/> Archived ASBD - Springdale Office	Electronic Media
<b>Bank Holding Companies, State Chartered Banks, Other Entities Records</b>		
<u>Backup</u>	<u>Archive</u>	
Full	<input checked="" type="checkbox"/> Archived ASBD - Springdale Office	Paper and Electronic Media
<b>Payroll</b>		
<u>Backup</u>	<u>Archive</u>	
Full	<input checked="" type="checkbox"/> Archived ASBD - Springdale Office	Electronic Media
<b>Personnel Files</b>		
<u>Backup</u>	<u>Archive</u>	
Full	<input checked="" type="checkbox"/> Archived ASBD - Springdale Office	Paper and Electronic Media
<b>Report of the Bank Commissioner</b>		
<u>Backup</u>	<u>Archive</u>	
Full	<input checked="" type="checkbox"/> Archived ASBD - Springdale Office	Paper and Electronic Media

# ASBD – ACOOP

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*Effective Date: 5/03/2021*

## **PAYROLL**

To ensure the continuation of payroll and benefits in the event of a catastrophic disaster or pandemic flu outbreak, payroll activities would be handled as follows:

- ✚ Due to segregation of duties, we have employees who are currently authorized in Arkansas Administrative Statewide Information Systems [AASIS (501) 683-2255] to run all payroll reports and process payroll. These employees are cross-trained and could individually run payroll if necessary.
  - ✚ If due to a catastrophic disaster the central office in Little Rock is not accessible. AASIS can be accessed and payroll ran at each of the homes of the 3 HR/Accounting Staff of the Bank Department or arrangements can be made to work from another state agency's site.
  - ✚ In a state-wide emergency, all agencies would revert to the Department of Transformation and Shared Services (501) 324-9316 to run the last payroll.
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# ASBD – ACOOP

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*Effective Date:* 09-03-2019

## **SOFTWARE REQUIRED**

### **Software Name**

### **Software Type**

<input type="checkbox"/> Lotus Domino	Collaboration software for applications messaging, workflow and provides security
<input type="checkbox"/> Adobe Acrobat	Application Software and Web Services to view, create, manipulate, print and manage files in PD format
<input type="checkbox"/> Capture Perfect	ISIS compatible application program to enable the computer to acquire images from a Canon Document Scanner
<input type="checkbox"/> Microsoft Office	Office Professional (Word, Excel, Power Point, Publisher, etc.)
<input type="checkbox"/> Lotus Notes	Collaborative client-server software
<input type="checkbox"/> AASIS	Statewide Accounting System
<input type="checkbox"/> Examination Tools Suite (ETS)	Exam software to create, process and share exam work papers and final ROE, while providing proper security controls to assure and protect sensitive exam data
<input type="checkbox"/> Test Generator	Testing software
<input type="checkbox"/> VM Ware	Software for cloud computing and platform virtualization software and services
<input type="checkbox"/> Qarvan	Software for customizing reporting wizards to generate financial reports
<input type="checkbox"/> Smart Draw	Software for configuring any type of chart, diagram, flowcharts, etc.
<input type="checkbox"/> Symantec - Ghost Solution Suite	Software for imaging and deploying desktops, laptops, tablets and servers
<input type="checkbox"/> Symantec Protection Enterprise Edition	Protects against threats and secures against data loss, malware and spam
<input type="checkbox"/> WinZip	Trialware file archiver and compressor for Windows, macOS, iOS and Android

# ASBD – ACOOP

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- |                               |   |
|-------------------------------|---|
| <input type="checkbox"/> Zix  | Email encryption security, email data loss prevention and mobile applications |
| <input type="checkbox"/> Dymo | DYMO Label v8.Ink   |

# ASBD – ACOOP

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Effective Date: 01/31/2022

## **EQUIPMENT – TYPES AND COUNTS**

<b><u>Equipment Description</u></b>	<b><u>Quantity Required</u></b>
Postage Machine – Pitney Bowes Send Pro P-Series P2000	3
Microwaves	4
Refrigerators	3
Freezer	1
Paper Shredder - 4005CC	1
Scanner - Canon imageFORMULA DR-G2110 Automatic Duplex document scanner	2
Desktop Printing Calculator - Monroe 4130, 4140, 5140, and 7140, OR Canon MP110X	26
DYMO LabelWriter 450 Twin Turbo	11
Desk Phones & Voice Mail, etc. – Cisco (Model NT4X42)	32
GBC Heat Seal H535 Turbo	1
Copy Machine - Copystar CS4002i	1
Copy Machine - Toshiba e-STUDIO 5506AC	1
mifi - Mini Wireless Broadband Hot Spots	61
Hewlett Packard LaserJet P3015DN Printer	4
Hewlett Packard Color LaserJet 855XH	1
Hewlett Packard LaserJet Pro 400 Color	1
HP ENVY 7640 e-All-in-One Printer	1
Hewlett Packard Procurve 2520-G-PoE Managed Switch	1
OptiPlex XE2 Desk Computer - 4th Gen Intel Core i7- 4770S 3.10 GHz	3

# ASBD – ACOOP

## Fleet

19 Dodge Charger	067 - XSK
17 Dodge Durango	131 - FIF
13 Dodge Avenger	132 - FIF
21 Ford Expedition	134 - FIF
18 Dodge Caravan	135 - FIF
14 Ford Expedition	137 - FIF
15 Chev Equinox	138 - FIF
14 Ford Expedition	139 - FIF
16 Chev Equinox	140 - FIF
15 Chev Equinox	159 - HKI
11 Ford Fusion	185 - UFV
16 Chev Impala	389 - BIJ
19 Dodge Durango	459 - HIK
16 Chev Equinox	513 - HIK
21 Nissan Altima	632 - TFD
17 Dodge Durango	635 - BIJ
13 Ford Expedition	643 - BIJ
21 Nissan Altima	708 - BIJ
21 Ford Expedition	911-VWK

Offices/Cubicles for	(Little Rock)	(Jonesboro)	(NWA)
Support Staff	6	-	-
HR	2	-	-
Examiners	20	9	8
Financial Analyst	2	-	-
Supervisors	9	1	1
IT Staff	2	-	-
Assistant Deputy Commissioners	4	-	-
Deputy Commissioners	2	-	-
Commissioner	1	-	-
Training	2	-	-

# ASBD – ACOOP

Effective Date: 05/03/2021

## **ESSENTIAL FUNCTIONS**

### **Examining State Chartered Banks**

Producing Examination Reports of State-Chartered Banks

Catastrophic Disaster Team; Executive  
Team; Pandemic Flu Team

Software	Equipment	Supplies	Vital Records
Lotus Domino -Adobe Acrobat -Microsoft Office -Lotus Notes	-Postage Machine - DM475 Series Digital Mailing System -Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner -Desktop Printing Calculator - Monroe 4130, 4140, 5140, and 7140, OR Canon MP110X -Financial Calculator - HP12C -DYMO LabelWriter 450 Twin Turbo -Desk Phones & Voice Mail, etc. - Nortel (Model NT4X42) -Copy Machine - Copystar CS4002i -Fax Machine -Printer - Hewlett Packard LaserJet Pro P1102W -Cell Phones with Charger and Accessories and Data - iPhones -Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415) -Laptop Computer - Dell Latitude 5580 SCTO / Intel Core I5-6440HQ 2.6GHz -Copy Machine - Toshiba e-STUDIO 5506AC -mifi - Mini Wireless Broadband Hot Spots -Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes) -Hewlett Packard LaserJet P3015DN Printer -Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner	-First Aid Kit -New Back-up Tapes -Letterhead and Printed Forms -Fireproof and regular blankets -Splints and Bandages -Eye wash -General Office Supplies- See Appendix -Batteries for Flashlights -Flashlights	-Examination Reports

### **Information Systems**

Information systems

Accounting and Payroll Team; Executive  
Team; Pandemic Flu Team

Software	Equipment	Supplies	Vital Records
-BackupExec -Lotus Domino -Microsoft PictureIt! Photo -Adobe Acrobat -SpamSentinel -Microsoft Office -Lotus Notes -Test Generator -VM Ware -MaaS360 -Symantec - Ghost Solution Suite -Symantec Protection Enterprise Edition -WinZip -Zix	-Postage Machine - DM475 Series Digital Mailing System -Paper Shredder - 4005CC -Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner -DYMO LabelWriter 450 Twin Turbo -Desk Phones & Voice Mail, etc. - Nortel (Model NT4X42) -Copy Machine - Copystar CS4002i -Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415) -Laptop Computer - Dell Latitude 5580 SCTO / Intel Core I5-6440HQ 2.6GHz -Copy Machine - Toshiba e-STUDIO 5506AC -mifi - Mini Wireless Broadband Hot Spots -Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes) -Hewlett Packard Color LaserJet 855XH	-First Aid Kit -New Back-up Tapes -Letterhead and Printed Forms -Fireproof and regular blankets -Splints and Bandages -Eye wash -General Office Supplies- See Appendix -Batteries for Flashlights -Flashlights	-Examination Reports



# ASBD – ACOOP

## Payroll and Benefits

Maintain, monitor, and act as liaison for the payroll program through Empowering Arkansas State Employees (EASE). Address all questions and provides training for employees pertaining to pay and benefits.

Accounting and Payroll Team

Software	Equipment	Supplies	Vital Records
<ul style="list-style-type: none"> <li>-Lotus Domino</li> <li>-Adobe Acrobat</li> <li>-Capture Perfect</li> <li>-Microsoft Office</li> <li>-Lotus Notes</li> <li>-AASIS</li> <li>-Smart Draw 2018</li> </ul>	<ul style="list-style-type: none"> <li>-Postage Machine - DM475 Series Digital Mailing System</li> <li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li> <li>-Microwaves</li> <li>-Paper Shredder - 4005CC</li> <li>-Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner</li> <li>-Desktop Printing Calculator - Monroe 4130, 4140, 5140, and 7140, OR Canon MP110X</li> <li>-Financial Calculator - HP12C</li> <li>-Filing Cabinets - Fire King 42" / 4 Drawer Fireproof Cabinet</li> <li>-DYMO LabelWriter 450 Twin Turbo</li> <li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li> <li>-Copy Machine - Copystar CS4002i</li> <li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li> <li>-Ipad Pros with Data</li> <li>-Filing Cabinets - 4 Drawer Vertical Letter Size Cabinets (Metal)</li> <li>-Office Furniture - Executive "U" desk (1 box drawer, 1 file drawer (letter or legal), center drawer, central locking system, pull-out writing slide, adjustable leveler. File credenza with two lateral (letter or legal) file drawers and 48" bridge.</li> <li>-Copy Machine - Toshiba e-STUDIO 5506AC</li> <li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li> <li>-Dymo LabelWriter Twin Turbo</li> <li>-Hewlett Packard LaserJet P3015DN Printer</li> <li>-Hewlett Packard Color LaserJet 855XH</li> <li>-Hewlett Packard LaserJet Pro 400 Color</li> <li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li> <li>-HP ENVY 7640 e-All-in-One Printer</li> </ul>	<ul style="list-style-type: none"> <li>-Pens and pencils</li> <li>-Calendar</li> <li>-Standard office supplies</li> </ul>	<ul style="list-style-type: none"> <li>-Payroll</li> <li>-Personnel Files</li> </ul>

# ASBD – ACOOP

## Evacuation

Secure the Little Rock office and contact appropriate law enforcement and/or emergency agencies.

Security Team

Software	Equipment	Supplies	Vital Records
-Lotus Domino -Adobe Acrobat -Microsoft Office -Lotus Notes	-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch -Microwaves -Paper Shredder - 4005CC -DYMO LabelWriter 450 Twin Turbo -Desk Phones & Voice Mail, etc. - Nortel (Model NT4X42) -Copy Machine - Copystar CS4002i -Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415) -Copy Machine - Toshiba e-STUDIO 5506AC -Hewlett Packard Color LaserJet 855XH -Hewlett Packard LaserJet Pro 400 Color -Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner -HP ENVY 7640 e-All-in-One Printer	-Standard office supplies -Fire extinguisher	

## Computer Operations

Maintain computer operations

Information Technology Team

Software	Equipment	Supplies	Vital Records
-Lotus Domino -Adobe Acrobat -Microsoft Office -Lotus Notes	-Postage Machine - DM475 Series Digital Mailing System -Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner -Copy Machine - Copystar CS4002i -Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415) -Copy Machine - Toshiba e-STUDIO 5506AC -Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes) -Hewlett Packard Color LaserJet 855XH -Hewlett Packard LaserJet Pro 400 Color -Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner -HP ENVY 7640 e-All-in-One Printer -Hewlett Packard Procurve 2520-G-PoE Managed Switch -OptiPlex XE2 Desk Computer - 4th Gen Intel Core i7-4770S 3.10 GHz	-Letterhead and Printed Forms -General Office Supplies- See Appendix	

# ASBD – ACOOP

## Management plan

Executive Team

To maintain authority and control as necessary to identify relationships to ensure continuous operation of the Bank Department.

Software	Equipment	Supplies	Vital Records
<ul style="list-style-type: none"> <li>-Lotus Domino</li> <li>-Adobe Acrobat</li> <li>-Microsoft Office</li> <li>-Lotus Notes</li> </ul>	<ul style="list-style-type: none"> <li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li> <li>-Microwaves</li> <li>-Paper Shredder - 4005CC</li> <li>-Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner</li> <li>-Financial Calculator - HP12C</li> <li>-DYMO LabelWriter 450 Twin Turbo</li> <li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li> <li>-Copy Machine - Copystar CS4002i</li> <li>-Cell Phones with Charger and Accessories and Data - iPhones</li> <li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li> <li>-Laptop Computer - Dell Latitude 5580 SCTO / Intel Core I5-6440HQ 2.6GHz</li> <li>-Ipad Pros with Data</li> <li>-Filing Cabinets - 4 Drawer Vertical Letter Size Cabinets (Metal)</li> <li>-Copy Machine - Toshiba e-STUDIO 5506AC</li> <li>-Lateral File Cabinets - 5 Retractable Doors &amp; Roll Out Shelf (Metal)</li> <li>-mifi - Mini Wireless Broadband Hot Spots</li> <li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li> <li>-Hewlett Packard LaserJet P3015DN Printer</li> <li>-Hewlett Packard Color LaserJet 855XH</li> <li>-Hewlett Packard LaserJet Pro 400 Color</li> <li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li> <li>-HP ENVY 7640 e-All-in-One Printer</li> </ul>	<ul style="list-style-type: none"> <li>-General Office Supplies- See Appendix</li> <li>-Pens and pencils</li> <li>-Calendar</li> </ul>	

# ASBD – ACOOP

## Examination Report Processing

Administrative Support Team

Upon final documentation and approval from the Manager, and Assistant Deputy Commissioner reports are checked, letters prepared and the report compiled, checked and bound for distribution to the Board of Directors, Bank CEO, FDIC/Federal Reserve Bank (if applicable).

Software	Equipment	Supplies	Vital Records
	<ul style="list-style-type: none"><li>-Postage Machine - DM475 Series Digital Mailing System</li><li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li><li>-Microwaves</li><li>-Paper Shredder - 4005CC</li><li>-Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner</li><li>-Desktop Printing Calculator - Monroe 4130, 4140, 5140, and 7140, OR Canon MP110X</li><li>-Financial Calculator - HP12C</li><li>-DYMO LabelWriter 450 Twin Turbo</li><li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li><li>-Copy Machine - Copystar CS4002i</li><li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li><li>-Copy Machine - Toshiba e-STUDIO 5506AC</li><li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li><li>-Dymo LabelWriter Twin Turbo</li><li>-Hewlett Packard LaserJet P3015DN Printer</li><li>-Hewlett Packard Color LaserJet 855XH</li><li>-Hewlett Packard LaserJet Pro 400 Color</li><li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li><li>-HP ENVY 7640 e-All-in-One Printer</li></ul>		<ul style="list-style-type: none"><li>-Examination Reports</li><li>-Bank Holding Companies, State Chartered Banks, Other Entities Records</li></ul>

# ASBD – ACOOP

## Scanning and File Preparation

Administrative Support Team

Converting documentation and text from its paper form into digital data accessible for all state banking personnel. Preparing the file labels for Corporate and Bank files and organization of documents within each file.

### Software

### Equipment

### Supplies

### Vital Records

	<ul style="list-style-type: none"> <li>-Postage Machine - DM475 Series Digital Mailing System</li> <li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li> <li>-Microwaves</li> <li>-Paper Shredder - 4005CC</li> <li>-Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner</li> <li>-Filing Cabinets - Fire King 42" / 4 Drawer Fireproof Cabinet</li> <li>-Dymo LabelWriter 450 Twin Turbo</li> <li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li> <li>-Copy Machine - Copystar CS4002i</li> <li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li> <li>-Filing Cabinets - 4 Drawer Vertical Letter Size Cabinets (Metal)</li> <li>-Copy Machine - Toshiba e-STUDIO 5506AC</li> <li>-Filing Cabinets - 2 Drawer Vertical Letter Size Cabinets (Metal)</li> <li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li> <li>-Dymo LabelWriter Twin Turbo</li> <li>-Hewlett Packard Color LaserJet 855XH</li> <li>-Hewlett Packard LaserJet Pro 400 Color</li> <li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li> <li>-HP ENVY 7640 e-All-in-One Printer</li> </ul>		-Examination Reports
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# ASBD – ACOOP

## Report of The Bank Commissioner

Administrative Support Team, Examination Team

Annual mail-out to all State Chartered Banks, Bank Holding Companies and other entities regulated by the State Bank Department is sent to verify all information in the data base is correct. Investigate and update any information to be published for accuracy. A summary prepared for all new branches,

Software	Equipment	Supplies	Vital Records
	<ul style="list-style-type: none"><li>-Postage Machine - DM475 Series Digital Mailing System</li><li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li><li>-Microwaves</li><li>-Paper Shredder - 4005CC</li><li>-DYMO LabelWriter 450 Twin Turbo</li><li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li><li>-Copy Machine - Copystar CS4002i</li><li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li><li>-Copy Machine - Toshiba e-STUDIO 5506AC</li><li>-Filing Cabinets - 2 Drawer Vertical Letter Size Cabinets (Metal)</li><li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li><li>-Dymo LabelWriter Twin Turbo</li><li>-Hewlett Packard Color LaserJet 855XH</li><li>-Hewlett Packard LaserJet Pro 400 Color</li><li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li><li>-HP ENVY 7640 e-All-in-One Printer</li></ul>		

Applications

# ASBD – ACOOP

Administrative Support Team, Examination Team

Responsible for the processing of all applications regarding establishing a new branch, branch relocation, change in control, new bank charter, merger or consolidation, purchases, bank relocation, conversions, fictitious name documents, certificate of authority, and emergency circumstances. Trust Applications for public or private charters, mergers, acquisition of control, additional offices. registration of corporate names. and out-of-state Arkansas

Software	Equipment	Supplies	Vital Records
	<ul style="list-style-type: none"> <li>-Postage Machine - DM475 Series Digital Mailing System</li> <li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li> <li>-Microwaves</li> <li>-Paper Shredder - 4005CC</li> <li>-Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner</li> <li>-DYMO LabelWriter 450 Twin Turbo</li> <li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li> <li>-Copy Machine - Copystar CS4002i</li> <li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li> <li>-Copy Machine - Toshiba e-STUDIO 5506AC</li> <li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li> <li>-Dymo LabelWriter Twin Turbo</li> <li>-Hewlett Packard Color LaserJet 855XH</li> <li>-Hewlett Packard LaserJet Pro 400 Color</li> <li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li> <li>-HP ENVY 7640 e-All-in-One Printer</li> </ul>		<ul style="list-style-type: none"> <li>-Examination Reports</li> <li>-Bank Holding Companies, State Chartered Banks, Other Entities Records</li> </ul>

Administrative Support Team, Examination Team

Software	Equipment	Supplies	Vital Records
	<ul style="list-style-type: none"> <li>-Postage Machine - DM475 Series Digital Mailing System</li> <li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li> <li>-Microwaves</li> <li>-Paper Shredder - 4005CC</li> <li>-Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner</li> <li>-DYMO LabelWriter 450 Twin Turbo</li> <li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li> <li>-Copy Machine - Copystar CS4002i</li> <li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li> <li>-Copy Machine - Toshiba e-STUDIO 5506AC</li> <li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li> <li>-Dymo LabelWriter Twin Turbo</li> <li>-Hewlett Packard Color LaserJet 855XH</li> <li>-Hewlett Packard LaserJet Pro 400 Color</li> <li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li> <li>-HP ENVY 7640 e-All-in-One Printer</li> </ul>		

# ASBD – ACOOP

## Banks and Holding Companies Database

Administrative Support Team, Examination Team

Information stored, organized and maintained on all State Chartered Banks and Holding Companies. The information is organized, stored and accessible to all Arkansas State Bank Department employees

Software	Equipment	Supplies	Vital Records
	<ul style="list-style-type: none"> <li>-Postage Machine - DM475 Series Digital Mailing System</li> <li>-Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner</li> <li>-Financial Calculator - HP12C</li> <li>-DYMO LabelWriter 450 Twin Turbo</li> <li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li> <li>-Copy Machine - Copystar CS4002i</li> <li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li> <li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li> <li>-Hewlett Packard LaserJet P3015DN Printer</li> <li>-Hewlett Packard Color LaserJet 855XH</li> <li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li> <li>-HP ENVY 7640 e-All-in-One Printer</li> </ul>		<ul style="list-style-type: none"> <li>-Examination Reports</li> <li>-Bank Holding Companies, State Chartered Banks, Other Entities Records</li> </ul>

## Documentation Request and Receipts

Administrative Support Team, Executive Team

Request made by a bank, holding company, or attorneys for documentation regarding a state chartered bank, holding company, etc. Copies can be certified or plain and mailed, couriered, or picked up by the requesting entity. The request is documented and maintained through Lotus Notes, which produces a bill for the information. When checks are sent in for payment they are copied for retention and accounting purposes. Checks are processed and prepared for accounting to process the deposit.

Software	Equipment	Supplies	Vital Records
	<ul style="list-style-type: none"> <li>-Postage Machine - DM475 Series Digital Mailing System</li> <li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li> <li>-Microwaves</li> <li>-Paper Shredder - 4005CC</li> <li>-Scanner - Canon imageFORMULA DR-9050C, Automatic Duplex document scanner</li> <li>-Filing Cabinets - Fire King 42" / 4 Drawer Fireproof Cabinet</li> <li>-DYMO LabelWriter 450 Twin Turbo</li> <li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li> <li>-Copy Machine - Copystar CS4002i</li> <li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li> <li>-Copy Machine - Toshiba e-STUDIO 5506AC</li> <li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li> <li>-Dymo LabelWriter Twin Turbo</li> <li>-Hewlett Packard LaserJet P3015DN Printer</li> <li>-Hewlett Packard Color LaserJet 855XH</li> <li>-Hewlett Packard LaserJet Pro 400 Color</li> <li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li> <li>-HP ENVY 7640 e-All-in-One Printer</li> </ul>		<ul style="list-style-type: none"> <li>-Examination Reports</li> <li>-Bank Holding Companies, State Chartered Banks, Other Entities Records</li> </ul>



# ASBD – ACOOP

## Security Testing

Security Team

Conduct or initiate fire drills semi-annually for all Arkansas State Bank Department offices. Test all security lights quarterly and change all flash light batteries annually. Verify colored wrist bands are on the back of all office doors (for evacuation purposes). Provide Administrative Support Staff all information pertaining to tests and any improvements needed to be maintained in the Arkansas Continuity of Operations Plan (ACOOOP).

Software	Equipment	Supplies	Vital Records
	<ul style="list-style-type: none"><li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li><li>-Microwaves</li><li>-Paper Shredder - 4005CC</li><li>-DYMO LabelWriter 450 Twin Turbo</li><li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li><li>-Copy Machine - Copystar CS4002i</li><li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li><li>-Copy Machine - Toshiba e-STUDIO 5506AC</li><li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li><li>-Hewlett Packard Color LaserJet 855XH</li><li>-Hewlett Packard LaserJet Pro 400 Color</li><li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li><li>-HP ENVY 7640 e-All-in-One Printer</li></ul>		

## Security Access

Security Team

Issuance, cancellation, maintenance of key fobs and training for all employees within the Arkansas State Bank Department (ASBD). Key fobs are used to control and secure access to the agency offices.

Software	Equipment	Supplies	Vital Records
-Executive Access	<ul style="list-style-type: none"><li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li><li>-Microwaves</li><li>-Paper Shredder - 4005CC</li><li>-DYMO LabelWriter 450 Twin Turbo</li><li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li><li>-Copy Machine - Copystar CS4002i</li><li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li><li>-Copy Machine - Toshiba e-STUDIO 5506AC</li><li>-Printer - Hewlett Packard Laserjet M603DN (Paper Tray, Duplex, Envelopes)</li><li>-Hewlett Packard Color LaserJet 855XH</li><li>-Hewlett Packard LaserJet Pro 400 Color</li><li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li><li>-HP ENVY 7640 e-All-in-One Printer</li></ul>		

# ASBD – ACOOP

## ACOOP

Administrative Support Team

Arkansas Continuity of Operations Plan (ACOOP) was initiated to improve the readiness of state agencies to deal with debilitating disasters. It provides state agencies and constitutional offices a discipline and methodology to develop, test, and improve organizational disaster recovery and continuity of operations plans.

Software	Equipment	Supplies	Vital Records
	<ul style="list-style-type: none"><li>-Cubicle Furniture - Curved "U" shaped desk with 4 small drawers and 2 letter file drawers, 2 lateral files (Legal or letter) drawers, and 4-Door Stack-On-Hutch</li><li>-Microwaves</li><li>-Paper Shredder - 4005CC</li><li>-Financial Calculator - HP12C</li><li>-DYMO LabelWriter 450 Twin Turbo</li><li>-Desk Phones &amp; Voice Mail, etc. - Nortel (Model NT4X42)</li><li>-Copy Machine - Copystar CS4002i</li><li>-Desktop Computer - Dell UltraSharp 20 with Speaker (Model # U2415)</li><li>-Vehicle - 2017 Dodge Durango (Commercial)</li><li>-Copy Machine - Toshiba e-STUDIO 5506AC</li><li>-Filing Cabinets - 2 Drawer Vertical Letter Size Cabinets (Metal)</li><li>-Dymo LabelWriter Twin Turbo</li><li>-Hewlett Packard Color LaserJet 855XH</li><li>-Hewlett Packard LaserJet Pro 400 Color</li><li>-Scanner - Canon imageFORMULA DR-G1130, Automatic Duplex document scanner</li><li>-HP ENVY 7640 e-All-in-One Printer</li></ul>		

# ASBD – ACOOP

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*Effective Date:* 05/03/2021

## SECTION 7 – APPENDICES AND ANNEXES

### Vender Disaster Recovery Call List

Arkansas Copier .....	(501) 562-8297
Arkansas Mailing Services .....	(501) 375-4816
AT&T Mobility II, LLC .....	(801) 556-3236
AT&T .....	(800) 847-3595
BCI.....	(601) 427-4185
Bale Chevrolet .....	(501) 221-9191
Black Hills Energy .....	(888) 890-5554
CDW Government, Inc. ....	(847) 465-6000
Canon Solutions America, Inc. ....	(678) 728-4400
Central Business Equipment, Inc. ....	(833) 815-0150
City Water and Light of Jonesboro .....	(870) 930-3300
Centerpoint Energy #1075 .....	(501) 377-4500
Crain Ford.....	(501) 358-4231
Comcast Cable .....	(501) 375-5755
Dell Computers .....	(512) 724-2137
Dell Marketing LP.....	(800) 981-3355
Haag Brown (Jonesboro lease).....	(870) 336-8000
Harold's Shell (Towing) .....	(501) 224-2203
HP, Inc. (Hewlet Packard).....	(650) 857-1501
LaHarpe's Office Furniture .....	(501) 372-6684
Landers CDJ.....	(501) 378-4848
Mathias Shopping Center, Inc. ....	(479) 750-9100
McClarty Nissan.....	(501) 712-5476 or (501) 781-3429

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Moore and Robinson, Inc (Tires).....	(501) 225-8300
Office Depot (Charlotte Farris) .....	(276) 466-7643
Office Depot (Krystal Gilbert) .....	(870) 703-0454
Ozarks Electric Coop Corp.....	(479) 751-2342
Printing Paper (Bell Todd).....	(501) 455-5555
TSS – Building Services (Little Rock lease) .....	(501) 682-1833
TSS – DIS.....	(501) 682-4357
SHI (Software) .....	(732) 537-7196
Standard Business Solutions .....	(501) 663-4414
Spaces Storage .....	(501) 725-6000
Verizon / Cell Co (Michael Phillips) .....	(501) 804-1142

# ASBD – ACOOP

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Effective Date: 05/03/2021

## **EMERGENCY CONTACTS**

### **ARKANSAS STATE AGENCIES**

#### **Arkansas Division of Emergency Management (ADEM) ..... (501) 683-6700**

Sheila Annable (Primary Contact) ..... (501) 891-3074

Preparedness Deputy Director

[Sheila.Annable@adem.arkansas.gov](mailto:Sheila.Annable@adem.arkansas.gov)

A.J. Gary – Director

[AJ.Gary@adem.arkansas.gov](mailto:AJ.Gary@adem.arkansas.gov)

Kerri Phillips – Administrative Assistant

[Kerri.Phillips@adem.arkansas.gov](mailto:Kerri.Phillips@adem.arkansas.gov)

Lacye Blake – Mitigation Branch

[Lacye.Blake@adem.arkansas.gov](mailto:Lacye.Blake@adem.arkansas.gov)

Hilda Booth - Earthquake Program Manager

[Hilda.Booth@adem.arkansas.gov](mailto:Hilda.Booth@adem.arkansas.gov)

Clay Bewley – Area Coordination Manager

[Clay.Bewley@adem.arkansas.gov](mailto:Clay.Bewley@adem.arkansas.gov)

<https://www.dps.arkansas.gov/emergency-management/adem>

#### **Arkansas Department of Health..... (800) 462-0599**

Dr. Jose Romero - Secretary of Health..... (501) 661-2400

[Jose.Romero@arkansas.gov](mailto:Jose.Romero@arkansas.gov)

<https://www.healthy.arkansas.gov/>

#### **Arkansas Department of Human Services..... (501) 682-1001**

Cindy Gillespie – DHS Secretary ..... (501) 682-8650

[Cindy.Gillespie@arkansas.gov](mailto:Cindy.Gillespie@arkansas.gov)

<https://humanservices.arkansas.gov/>

#### **Arkansas Insurance Department..... (501) 371-2600**

Alan McClain – Director

[Alan.McClain@arkansas.gov](mailto:Alan.McClain@arkansas.gov)

<https://insurance.arkansas.gov/>

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**Arkansas State Highway & Transportation Department..... (501) 569-2000**

Dave Parker – Public Information Officer ..... (501) 569-2227

[Dave.Parker@ardot.gov](mailto:Dave.Parker@ardot.gov)

<https://www.arkansashighways.com/>

**Arkansas State Police ..... (501) 618-8000**

Lieutenant Colonel Tim K’Nuckles

Deputy Director..... (501) 618-8221

[Tim.Knuckles@asp.arkansas.gov](mailto:Tim.Knuckles@asp.arkansas.gov)

<https://www.dps.arkansas.gov/law-enforcement/arkansas-state-police>

**Arkansas Wireless Information Network ..... (501-683-1978)**

Penny Rubow - AWIN

Statewide Interoperable Coordinator ..... (501) 682-5358

[Penny.Rubow@adem.arkansas.gov](mailto:Penny.Rubow@adem.arkansas.gov)

[\*\*AWIN - Arkansas Department of Public Safety\*\*](#)

# ASBD – ACOOP

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## **OTHER ARKANSAS OFFICES**

**Arkansas Bankers Bank..... (501) 376-3741**

Lorrie Trogden President & CEO ..... (501) 978-3602

[lorrie.trogden@arkbankers.org](mailto:lorrie.trogden@arkbankers.org)

**Arkansas Bankers Coalition for Disasters & Emergencies (ABCDE)**

Jay Clevenger, Chairman..... (870) 268-2300

[jclevenger@my100bank.com](mailto:jclevenger@my100bank.com)

**Governor's Office..... (501) 682-2345**

Meagan Perkins - ASBD Liaison,

Policy Advisor for Regulatory Affairs ..... (501) 683-6431

[Meagan.Perkins@governor.arkansas.gov](mailto:Meagan.Perkins@governor.arkansas.gov)

<https://www.governor.arkansas.gov/>

# ASBD – ACOOP

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## **OTHER STATE REGULATORY AGENCIES**

**Alabama State Banking Department ..... (334) 242-3452**

Trabo Reed, Deputy Commissioner ..... (334) 242-3507

[Trabo.Reed@banking.alabama.gov](mailto:Trabo.Reed@banking.alabama.gov)

[www.banking.alabama.gov](http://www.banking.alabama.gov)

**Florida Office of Financial Regulation ..... (850) 410-9800**

Jeremy Smith – Director, Division of Financial Institutions

[Jeremy.Smith@flofr.com](mailto:Jeremy.Smith@flofr.com)

<https://www.flofr.com>

**Louisiana Office of Financial Institutions ..... (225) 925-4660**

Jonathan Finley, Chief Examiner

[jfinley@ofi.state.la.us](mailto:jfinley@ofi.state.la.us)

<http://www.ofi.state.la.us/>

**Mississippi Department of Banking and Consumer Finance ..... (601) 321-6901**

Sam Hubbard, Director – Banking Division

[sam.hubbard@dbcf.state.ms.gov](mailto:sam.hubbard@dbcf.state.ms.gov)

<https://dbcf.ms.gov/>

**Missouri Division of Finance ..... (573) 751-3242**

Dave Doering – Acting Commissioner

[Dave.Doering@dof.mo.gov](mailto:Dave.Doering@dof.mo.gov)

<https://www.missouri-finance.gov/>

**Tennessee Department of Financial Institutions ..... (615) 741-5603**

Greg Gonzales, Commissioner

[Greg.Gonzales@tn.gov](mailto:Greg.Gonzales@tn.gov)

<https://www.tn.gov/tdfi.html>



# ASBD – ACOOP

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## **FEDERAL REGULATORY AGENCIES**

**Federal Reserve Bank of St. Louis ..... (800) 333-0810**

Amanda Todd, Administrative Assistant (Contact)

<http://www.frb services.org/>

<https://www.stlouisfed.org/>

### **Business Technology**

Chris Oliver ..... (314) 444-4258

[Christopher.J.Oliver@stls.frb.org](mailto:Christopher.J.Oliver@stls.frb.org)

### **Business Continuity**

Kathy Schildknecht ..... (314) 444-8939

[Kathy.Schildknecht@stls.frb.org](mailto:Kathy.Schildknecht@stls.frb.org)

### **Cash Operations**

Tim Brown ..... (314) 444-8950

[Timothy.C.Brown@stls.frb.org](mailto:Timothy.C.Brown@stls.frb.org)

**ECS Activation Line ..... (877) 511-8432**

[ECS.Support@stls.frb.org](mailto:ECS.Support@stls.frb.org)

Kevin Julius ..... (314) 444-8975

..... Cell (314) 440-3829

[Kevin.R.Julius@stls.frb.org](mailto:Kevin.R.Julius@stls.frb.org)

### **Supervision**

Jim Warren ..... (314) 444-8854

..... Cell (314) 580-3360

[James.Warren@stls.frb.org](mailto:James.Warren@stls.frb.org)

Scott Smith ..... (314) 444-8836

..... Cell (314) 477-7166

[Scott.B.Smith@stls.frb.org](mailto:Scott.B.Smith@stls.frb.org)

Allen North ..... (314) 444-8826

..... Cell (314) 412-0139

# ASBD – ACOOP

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[Allen.X.North@stls.frb.org](mailto:Allen.X.North@stls.frb.org)

Kevin Henry ..... (314) 444-8823  
..... Cell (314) 591-6789

[Kevin.Henry@stls.frb.org](mailto:Kevin.Henry@stls.frb.org)

## **Applications / Membership / Outreach**

Jim Fuchs ..... (314) 444-8837  
..... Cell (314) 591-6789

[Jim.Fuchs@stls.frb.org](mailto:Jim.Fuchs@stls.frb.org)

**Memphis Office ..... (800) 552-5132**

## **Cash Operations**

Marcus Butts ..... (901) 531-5021

[Demarcus.J.Butts@stls.frb.org](mailto:Demarcus.J.Butts@stls.frb.org)

Ashley Thomas ..... (901) 531-5011

[Ashley.A.Thomas@stls.frb.org](mailto:Ashley.A.Thomas@stls.frb.org)

## **Supervision (901-523-7171)**

Darin Heintz ..... (901) 579-4120

[Darin.Heintz@stls.frb.org](mailto:Darin.Heintz@stls.frb.org)

**Little Rock Office ..... (800) 332-0813**

## **Office Administrator**

Julie Kerr ..... (501) 324-8296

[Julie.A.Kerr@stls.frb.org](mailto:Julie.A.Kerr@stls.frb.org)

## **Supervision**

Wes Settle ..... (501) 324-8255

..... Cell (501) 251-4691

[Wesley.Settle@stls.frb.org](mailto:Wesley.Settle@stls.frb.org)

## **Louisville Office**

## **Officer Administrator**

# ASBD – ACOOP

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Lynn Bunn..... (502) 568-9206

[Cheryl.L.Bunn@stls.frb.org](mailto:Cheryl.L.Bunn@stls.frb.org)

## **Supervision**

Megan Kahlenberg..... (502) 568-9234

..... Cell (479) 719-9403

[Megan.E.Kahlenberg@stls.frb.org](mailto:Megan.E.Kahlenberg@stls.frb.org)

## **Federal Deposit Insurance Corporation**

## **Little Rock Office**

Jennifer Lucas, Little Rock FOS .... (501) 228-6346 ext.6604

..... Cell (501) 515-0494

[jenlucas@fdic.gov](mailto:jenlucas@fdic.gov)

# ASBD – ACOOP

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## **EMERGENCY SERVICE AGENCIES**

### **FEMA**

**Region VI Office - Denton, Texas..... (940) 898-5399**

Tony Robinson, Regional Administrator

[Tony.Robinson@dhs.gov](mailto:Tony.Robinson@dhs.gov)

<https://www.fema.gov>

### **Department of Homeland Security**

Chad Johnston

AR Protective Security Advisor ..... (501) 264-1198

..... Cell (501) 414-1468

111 Center Street, Suite 1700, Little Rock

[Chad.Johnston@hq.dhs.gov](mailto:Chad.Johnston@hq.dhs.gov)

### **Red Cross (501-748-1000)**

Lori Arnold McFarlane - Executive Director..... (501) 748-1005

[mcfarlandl@arkansasredcross.org](mailto:mcfarlandl@arkansasredcross.org)

### **Greater Arkansas Chapter**

401 South Monroe Street

Little Rock, AR 72205

<https://www.redcross.org/local/arkansas.html>

# ASBD – ACOOP

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## **FEDERAL LAW ENFORCEMENT**

### **Arkansas National Guard**

Major General Kendall W. Penn

The Adjutant General..... (501) 212-5001

[Kendall.@Penn@us.army.mil](mailto:Kendall.@Penn@us.army.mil)

## **OTHER GOVERNMENT AGENCIES**

### **Social Security Administration**

Wes Davis

Deputy Director, Dallas Office..... (877) 815-3188, (ext. 16503)

[Wes.Davis@ssa.gov](mailto:Wes.Davis@ssa.gov)