

ACCOUNTING & FINANCIAL SERVICES: EXTRAMURAL FUNDS ACCOUNTING

**University of California, Davis
Accounting & Financial Services
Avian Influenza Pandemic
Business Continuity Plan**

July 1, 2006

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I. ORGANIZATION CHAIN OF COMMAND, PANDEMIC PLANNING WORKGROUP AND COMMUNICATIONS

1. The *organizational chain of command* for [A&FS: Extramural Funds Accounting](#) consists of the following:

Name	Position	Work Location	Email	Office	Home	Cellular or other
Kathy Hass	Division Manager	1441 Research Park Drive	kxhass@ucdavis.edu	530.757.8525		
Gail George	Cash Manager	1441 Research Park Drive	glgeorge@ucdavis.edu	530.754.6483		
James Ringo	Grants Supervisor	1441 Research Park Drive	jaringo@ucdavis.edu	530.757.8524		
Tammy LaVault-Castelli	Contract Supervisor	1441 Research Park Drive	talavault@ucdavis.edu	530.754.4914		

2. The *Pandemic Planning Workgroup* appointed for [A&FS](#) is comprised of the following:

Name	Office	Cellular or other
Mike Allred (A&FS Department Head)	(private line)	(cell)
Steve Frost	530.747.3889	(home)
Eben Sutton	530.752.5873	(home) (personal cell)
Kathy Hass	530.757.8525	(personal cell)
Andy Lamb	530.747.3885	(personal cell)
Cindy Jones	530.757.8542	(home) (personal cell)
Cyndy Johnson	530.757.8936	(home) (personal cell)
Luci Schmidl	530.757.8516	(home) (personal cell)
Valerie Sjoldal (Workgroup Coordinator)	530.754.9396	(home)

3. Designated communication representatives from [A&FS: Extramural Funds Accounting](#) are as follows:

Name	Office	Cellular or other
Kathleen Hass	530.757.8925	
Gail George	530.754.6483	
James Ringo	530.757.8524	
Tammy LaVault-Castelli	530.754.4914	

4. Communications to employees in [A&FS Extramural Funds Accounting](#) is distributed via the following method:

1. E-mail distribution lists
2. Central voice mailbox
3. A&FS internal website
4. Phone trees

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II. OVERVIEW AND ASSUMPTIONS

Assumptions used in the preparation of this plan:

- Costs incurred for extramural research will continue to the extent that reimbursement is critical to the cash flow of the University.
- Federal reimbursement systems will continue to be functional.
- Sponsors have a plan in place (i.e., they are in operation and able to process invoices).
- DaFIS Decision Support continues to function and information is available. (Work can continue without DS but would be less accurate.)
- Staff is available in Payroll and Student Accounting to provide EFA with information necessary for the computation of invoices and cash draws.
- Due dates for reporting and invoicing would be adhered to as much as possible.
- Extramural will continue to operate regardless of campus closure.
- It is preferable to work from the office.

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III. BUSINESS IMPACT ANALYSIS

1. What is the primary mission of Extramural Funds Accounting?

Extramural Funds Accounting assists campus faculty and staff in meeting their teaching, research, and operational needs by providing quality financial services for externally funded projects. Protecting the University's mission and reputation is achieved through effective review of funds use to ensure compliance with regulatory requirements and restrictions. Extramural Funds Accounting is committed to serving principal investigators, research administration and the funding agencies with responsive customer service.

NOTE: In this context, "critical functions and processes" are defined as those acts (1) necessary to preserve lives (human or animal), (2) maintain the physical plant/infrastructure, or (3) continue essential business services until an emergency has abated. This would include (for example), care and feeding for animal facilities, maintaining the Data Center, keeping all utilities functionally and maintaining public safety.

2. What are the critical processes and functions necessary during the absenteeism scenarios?	3. Who performs these critical processes and functions and who are the backups (2-3 deep) to perform these?	4. And are there alternate methods of delivering these?	5. What other campus units are necessary to this critical process or function? What arrangements have been made with those other units?	6. What are the contract arrangements, essential inventory, resources, and equipment necessary to deliver these?
<p><u>Letter of Credit (LOC):</u> Electronic requests for reimbursement from federal agencies. Only one person performs this function on a routine basis. It requires numerous login IDs and passwords that change periodically. A process is in place to secure this information while making it accessible to the alternates in case of emergency. Many federal sponsors require quarterly consolidated SF272 reports. This function can be performed by any of the noted staff.</p>	<p>Gisela Burk – Primary Gail George – Backup #1 Kathleen Hass – Backup #2</p>	<p>No. Reimbursements must be calculated and drawn individually by the sponsor unless the Federal government determines otherwise in an emergency. And quarterly reports must be filed as well unless the federal government determines otherwise in an emergency.</p>	<p><u>Payroll</u> – to print and deliver reports necessary to the accurate and timely calculation of costs.</p> <p><u>Student Accounting</u> – to provide amounts expended for Direct Loans.</p>	<ul style="list-style-type: none"> ○ Financial information systems. ○ Electronic files. ○ Paper files.

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2. What are the critical processes and functions necessary during the absenteeism scenarios?	3. Who performs these critical processes and functions and who are the backups (2-3 deep) to perform these?	4. And are there alternate methods of delivering these?	5. What other campus units are necessary to this critical process or function? What arrangements have been made with those other units?	6. What are the contract arrangements, essential inventory, resources, and equipment necessary to deliver these?
<p>Invoicing: Prepare invoices and reports to all other sponsors of research. Any staff member within Extramural Funds Accounting could perform this function outside of their normal job duties if necessary.</p>	<p>Tammy Lavault-Castelli James Ringo Kathleen Hass Staff could perform all invoicing functions interchangeably. In addition, available staff from other departments could assist with this function.</p>	<p>No. Invoices must be individually calculated based on data from Decision Support.</p>		<ul style="list-style-type: none"> o Financial information systems. o Electronic files. o Paper files.
<p>26-50% Absenteeism Scenario</p> <p>Letter of Credit (LOC): Business as usual -- processes would proceed as usual with alternate staff if necessary.</p> <p>Invoicing: Processing would proceed normally but staff may be allocated to different areas depending on need.</p>	<p>Staff assuming this responsibility is as follows: Gisela Burk, Gail George, Kathleen Hass.</p> <p>Available staff is allocated to higher priority invoicing as dictated by Net Billable Report.</p>	<p>No. Reimbursements must be calculated and drawn individually by the sponsor unless the federal government determines otherwise in an emergency. And quarterly reports must be filed as well unless the federal government determines otherwise in an emergency.</p> <p>No. Invoices must be individually calculated based on data from Decision Support.</p>	<p><u>Payroll</u> – to print and deliver reports necessary to the accurate and timely calculation of costs.</p> <p><u>Student Accounting</u> – to provide amounts expended for Direct Loans.</p>	<ul style="list-style-type: none"> o Financial information systems. o Electronic files. o Paper files.

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2. What are the critical processes and functions necessary during the absenteeism scenarios?	3. Who performs these critical processes and functions and who are the backups (2-3 deep) to perform these?	4. And are there alternate methods of delivering these?	5. What other campus units are necessary to this critical process or function? What arrangements have been made with those other units?	6. What are the contract arrangements, essential inventory, resources, and equipment necessary to deliver these?
<p>51-75% Absenteeism</p> <p>Letter of Credit (LOC): Processes would proceed as usual with alternative staff if necessary.</p> <p>Invoicing: Processing would proceed normally but staff may be allocated to different areas depending on need.</p>	<p>Staff assumes responsibility as follows: Gisela Burk, Gail George, Kathleen Hass.</p> <p>Available staff is allocated to higher priority invoicing as dictated by Net Billable Report. Staff from other departments may be called to fill in.</p>	<p>No. Reimbursements must be calculated & drawn individually by sponsor unless the federal government determines otherwise in an emergency. Quarterly reports must be filed as well unless the Federal government determines otherwise in an emergency.</p> <p>No. Invoices must be individually calculated based on data from Decision Support.</p>	<p><u>Payroll</u> – to print and deliver reports necessary to the accurate and timely calculation of costs.</p> <p><u>Student Accounting</u> – to provide amounts expended for Direct Loans.</p>	<ul style="list-style-type: none"> ○ Financial information systems. ○ Electronic files. ○ Paper files. ○ Financial information systems. ○ Electronic files. ○ Paper files.
<p>>75% Absenteeism Scenario</p> <p>Letter of Credit (LOC): If one of the above named staff is unavailable for an extended time, procedures have been established for UC Berkeley to perform this critical function.</p>	<p>Staff assumes responsibility as follows: Gisela Burk, Gail George, Kathleen Hass.</p>	<p>No. Reimbursements must be calculated and drawn individually by sponsor unless the Federal government determines otherwise in an emergency. Quarterly reports must be filed as well unless the Federal government determines otherwise in an emergency.</p>	<p><u>Payroll</u> – to print and deliver reports necessary to the accurate and timely calculation of costs.</p> <p><u>Student Accounting</u> – to provide amounts expended for Direct Loans.</p>	<ul style="list-style-type: none"> ○ Financial information systems. ○ Electronic files. ○ Paper files.

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<p>Invoicing: Processing would proceed normally but staff may be allocated to different areas depending on need.</p>	<p>Available staff is allocated to higher priority invoicing as dictated by Net Billable Report. Staff from other departments may be called to fill in.</p>	<p>No. Invoices must be individually calculated based on data from Decision Support.</p>		<ul style="list-style-type: none"> ○ Financial information systems. ○ Electronic files. ○ Paper files.

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IV. Planning Scenarios

The pandemic event is serious enough that the decision has been made to close the campus to all but the most critical functions for an unknown period of time.

1. **The functions and processes we must continue to provide, regardless of the situation are as follows:**
 - Reimbursement to the University via electronic systems for costs expended on research awards sponsored by the federal government; and
 - Preparation of quarterly reports and invoices, and recording of reimbursements for costs incurred by the University for all sponsors where electronic systems are not used.
2. **These are the functions and processes that could be delayed for up to one week – but no longer, how long they could be delayed and what resources we would need to maintain them.**
 - Recovery of funds through electronic systems.
3. **These are the functions and processes that could be delayed for up to one month – but no longer, how long they could be delayed and what resources we would need to maintain them.**
 - None. A delay of up to one month would have a large financial impact to the University.
4. **These are the functions and processes that could be delayed for longer than one month.**
 - None. Any delay would have a large financial impact to the University.

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V. Emergency Contact List

Name	Position	Work Location	Email	Office	Home	Cellular	No Tele-commuting Required	VPN	Remote desktop
Kathleen Hass	Division Manager	1441 Research Park Drive	kxhass@ucdavis.edu	530.757.8525				Yes (AFS laptop)	
Gail George	Cash Manager	1441 Research Park Drive	glgeorge@ucdavis.edu	530.754.6483				Yes (AFS laptop)	
Tammy LaVault-Castelli	Contract Supervisor	1441 Research Park Drive	talavault@ucdavis.edu	530.754.4914					Yes (DSL)
Gisela Burk	Cash Accountant	1441 Research Park Drive	gburk@ucdavis.edu	530.757.8956					Yes (Dial-up modem)
James Ringo	Grant Supervisor	1441 Research Park Drive	jaringo@ucdavis.edu	530.787.8524					Yes (DSL)

* = Asterisk denotes that staff member is required to leave the laptop at the office for connectivity purposes.