

ACCOUNTING & FINANCIAL SERVICES: GENERAL ACCOUNTING

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

July 1, 2006

TABLE OF CONTENTS

I. Planning Structure:.....	2
• Organization Chain of Command	
• Pandemic Planning Workgroup	
• Designated Communications Representatives	
II. Overview and Assumptions.....	3
III. Business Impact Analysis	4
IV. Planning Scenarios.....	6
V. Contact Lists	7

ACCOUNTING & FINANCIAL SERVICES: GENERAL ACCOUNTING

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

1. A. The *organizational chain of command* for **General Accounting** consists of the following:

Name	Position	Work Location	Email	Office	Home	Cellular or other	Text capable?
Susan M. Moore	Manager,	1333 Research Park-UNEX Bldg	smmoore@ucdavis.edu	530.757.8518			N
Luci M. Schmidl	Assistant Manager	1333 Research Park-UNEX Bldg	lschmidl@ucdavis.edu	530.757.8516			N

2. The *Pandemic Planning Workgroup* appointed for **A&FS** is as follows:

Name	Office	Cellular or other
Mike Allred (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. A. The designated communication representatives from **General Accounting** are as follows:

Name	Office	Cellular or other
Susan M. Moore	530-757-8518	
Luci M. Schmidl	530-757-8516	

4. A. Communications to employees in **General Accounting** are distributed via the following method:

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

ACCOUNTING & FINANCIAL SERVICES: GENERAL ACCOUNTING

II. OVERVIEW AND ASSUMPTIONS

- Campus expected to close by order of the Yolo County public health officer when rate of infection of the general population in the county reaches 30-50%. Expect closure for a period of at least 2 weeks.
- Unless advised by Yolo County health authorities, business as usual. Staff may be assigned other duties. If so advised by Yolo County health authorities, staff may perform critical duties and report to work at critical times.
- Assumptions utilized in the preparation of this plan:
 - General Accounting will continue to operate with current staff.
 - Campus continues to process daily financial work.
 - Decision Support continues to operate and be accessible.
 - All A&FS units continue to operate critical financial areas.
 - Transaction data feeds continue to post to the ledgers.
 - General Accounting will support other A&FS departments in critical areas, as needed and with training provided.
 - Available staff will preferably work in the office.
 - Remote access will be used for printing DS reports, if needed.

ACCOUNTING & FINANCIAL SERVICES: GENERAL ACCOUNTING

III. BUSINESS IMPACT ANALYSIS

a. What is the primary mission of General Accounting?

General Accounting assists campus faculty and staff in meeting their teaching, research, and operational needs by providing sound fiscal management to the campus community. Preparation and review of financial statements, management of the account/fund profile system, general ledger maintenance, interdepartmental and intercampus transactions are completed in an efficient and effective manner. Analysis of financial data and interpretation of policy and procedure to maintain consistency with generally accepted accounting principles is the goal of General Accounting.

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 four 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>25% Absenteeism Scenario</p> <p>Business as usual Critical Areas:</p> <ul style="list-style-type: none"> ▪ State Fund claims ▪ Special State Appropriation claims ▪ Monthly Ledger Closing 	<p>Business as usual Current staff will proceed as usual with alternative back up staff, as needed. Available Staff: Luci Schmidl Debra Thomas Alyse DeFazio</p>	<p>No. Claims must be prepared with supporting DS reports and filed with the State Controller’s office for the campus to receive the State Fund and Special State Appropriations.</p>	<ul style="list-style-type: none"> ▪ Campus department - continue operations; processing payroll, cash deposits, purchasing documents. ▪ A&FS Dept - Processing campus payroll and payables; approve documents. ▪ Operations Dept - continue posting direct feed documents to the ledgers. ▪ Operations Dept – oversee monthly financial cutoff procedures 	<p>The following systems need to be available.</p> <ul style="list-style-type: none"> ▪ DaFIS Transaction Processing ▪ DaFIS Ledgers ▪ PPS – Payroll System ▪ Purchasing ▪ Accounts Payable ▪ Banner ▪ Cashier’s Office ▪ Direct data feeds to ledger ▪ Electronic files. ▪ Discover Program
<p>50% Absenteeism Scenario</p> <p>Business as usual – with backup staff</p> <p>1. Critical: Monthly Task Processing State Fund claims which are sent monthly to the State Controller’s office. All monthly expenditures incurred in the General Funds 19900 and Specific General Funds 199XX are included.</p>	<p>Business as usual – with backup staff</p> <p>1. Current – Available staff completes this task. Processes would proceed as usual with alternative back up staff. Available Staff: Debra Thomas Alyse DeFazio Luci Schmidl</p>	<p>No. Claims must be prepared with supporting DS reports and filed with the State Controller’s office for the campus to receive the State Fund and Special State Appropriations.</p>	<ul style="list-style-type: none"> ▪ Campus department - continue operations; processing payroll, cash deposits, purchasing documents. ▪ A&FS Dept - Processing campus payroll and payables; approve documents. ▪ Operations Dept - continue posting direct feed documents to the ledgers. Operations Dept – oversee monthly financial cutoff procedures 	<p>The following systems need to be available and feeding into the ledgers.</p> <ul style="list-style-type: none"> ▪ Transaction Processing System ▪ DaFis Ledgers - accessible ▪ PPS – Payroll System ▪ Accounts Payable ▪ Data Feeds to ledger ▪ Discover Program

ACCOUNTING & FINANCIAL SERVICES: GENERAL ACCOUNTING

2. What are the critical processes and functions necessary during the four 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>2. Critical: Quarterly Task Processing Special State Appropriation claims which are sent to the State Controller's office. All monthly expenditures incurred in 18XXX funds with Sub Fund Groups STSPST, STWLCN, STFINA, and STTRAN are included.</p> <p>3. Critical: Daily Task Intercampus expense transfer entries and the automated data feeds need to be posted to the ledgers for obtaining additional General Fund and Special State Fund expenditures to be reimbursed by the State.</p> <p>4. Critical: Monthly Ledger Closing Monthly journal entries are posted by General Accounting staff. The monthly closing is pre-programmed in the setup of DaFIS. The operations staff monitors the process and provides backup if any data problems in closing the month.</p>	<p>2. Current – Assigned staff completes this task. Processes would proceed as usual with alternative back up staff. Available Staff: Luci Schmidl Debra Thomas Alyse DeFazio</p> <p>3. Current - Assigned staff completes this task. The back up is comprised the Manager and the Assistant Manager. Available Staff: Susie O'Bryant Susan Moore Luci Schmidl</p> <p>4. Current –All staff members review the monthly data before closing the month. The Operations staff transmits the monthly file to UCOP. Available Staff: Susan Moore Luci Schmidl Debra Thomas</p>			
<p style="color: red;">75% Absenteeism Scenario</p> <p>With 75% absenteeism, the most critical items are processing the State Claims for General Fund reimbursement.</p> <ul style="list-style-type: none"> ▪ State Fund claims ▪ Special State Appropriation claims ▪ Monthly Ledger Closing 	<p>Available backup staff assumes responsibility</p> <ul style="list-style-type: none"> ▪ Available staff will run DS reports and file claims. ▪ Use remote assesses to obtain DS reports. 	<p>No. Claims must be prepared with supporting DS reports and filed with the State Controller's office for the campus to receive the State Fund and Special State Appropriations.</p>	<ul style="list-style-type: none"> ▪ Campus department - continue operations; processing payroll, cash deposits, purchasing documents. ▪ A&FS Dept - Processing campus payroll and payables; approve documents. ▪ Operations Dept - continue posting direct feed documents to the ledgers. Operations Dept – oversee monthly financial cutoff procedures 	<p>The following systems need to be available and feeding into the ledgers.</p> <ul style="list-style-type: none"> ▪ DaFis Ledgers - accessible ▪ PPS – Payroll System ▪ Accounts Payable ▪ Data Feeds to ledger

ACCOUNTING & FINANCIAL SERVICES: GENERAL ACCOUNTING

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:

Posting financial transactions and data feeds to the ledgers by all other A&FS divisions and campus departments need to continue on a daily basis. Monthly closing of ledgers on regular schedule must continue. Decision Support must be available.

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.

All financial transactions, especially payroll and accounts payable, must continue to be entered and posted to the ledgers during the month. Decision Support must be available.

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.

All financial transactions must continue to be entered and posted to the ledgers by campus departments and A&FS during the month. Filing State claims can be processed longer than one month. Decision Support must be available.

4. These are the functions and processes that could be delayed for longer than one month.

All financial transactions must continue to be entered and posted to the ledgers by campus departments and A&FS during the month. Filing State claims can be processed longer than one month. Decision Support must be available.

5. These are the functions and processes that could be delayed for longer than one month.

Filing Special State Appropriations claims are processed on a quarterly basis.

ACCOUNTING & FINANCIAL SERVICES: GENERAL ACCOUNTING

V. Contact List

Name	Position	Work Location	Email	Office	Home	Cellular	Text capable?	Able to tele-commute?	VPN
Susan Moore	Manager	A&FS – UNEX Bldg	smmoore@ucdavis.edu	530-757-8518			N	Yes, but files are here so it's better to work from the office.	Dial Up Modem
Luci Schmidl	Assistant Manager	UNEX Bldg	lschmidl@ucdavis.edu	530-757-8516			N	same	Dial Up Modem
Debra Thomas	Accountant III	UNEX Bldg	dwthomas@ucdavis.edu	530-757-8521			N	same	Dial Up Modem
Alyse DeFazio	Accountant III	UNEX Bldg	acdefazio@ucdavis.edu	530-752-2887			N	same	DSL connection
Scott Linaweaver	Accountant III	UNEX Bldg	slinaweaver@ucdavis.edu	530-757-8935			N	same	DSL connection

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