

ACCOUNTING & FINANCIAL SERVICES: PAYROLL

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. A. The *organizational chain of command* for **Payroll Services** consists of the following:

Name	Position	Work Location	Email	Office	Home	Cellular or other	Text capable?
Cindy Jones	Manager	1441 Research Park	cynjones@ucdavis.edu	530.757.8542			Yes
Penny Knutson	Asst. Manager	1441 Research Park	plknutson@ucdavis.edu	530.757.8919			No
Esther Columbel	Acct. II – Supervisor	1441 Research Park	emcolumbel@ucdavis.edu	530.752.0987			Yes
Kathy Stuhr	Acct. II – Supervisor	1441 Research Park	kastuhr@ucdavis.edu	530.757.8840			Yes

2. The *Pandemic Planning Workgroup* appointed for **Payroll Services** is as follows:

Name	Office	Cellular or other
Mike Allred (Department head)	(private line)	(home)
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	
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 **Payroll Services** are as follows:

Name	Office	Cellular or other
Cindy Jones	530.757.8542	
Penny Knutson	530.757.8919	
Kathy Stuhr	530.757.8840	

4. A. Communications to employees in **Payroll Services** are 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

- The outbreak of the Avian Flu Pandemic takes place at the most critical point of the business process.
- Campus may or may not be closed for all but the most critical functions.
- The outbreak has not affected UCOP's ability to receive and process data transfers, ensuring the continuation of the Employee Database (PPS) maintenance and update functions, including a dependence on Office of the President systems.
- The outbreak has not affected electronic timefile production (OPTRS); including the pay compute functionality which is also dependent on Office of the President systems.
- Campus departmental staffs are available to update pay/time entry from their offices or home.
- UCDHS payroll staff is available to enter their timesheet data and transmit it to Office of the President for processing in a pay compute.
- Functionality to facilitate the transmission of payroll direct deposit via Mellon Bank. Dependent on Office of the President's technical staff as well as the stability of the Federal Reserve Bank.
- Functionality to print paper payroll checks, including a dependence on Reprographics to print and fold checks. Bulk Mail to stuff them into envelopes and Mail Division to deliver them to campus locations.
- Functionality to print direct deposit statements including a dependence on Reprographics to print and fold them. Bulk Mail to stuff them into envelopes and Mail Division to deliver them to campus locations. Alternately, this information is available on the UC For Yourself website which is dependent upon the availability of Office of the President systems.
- Functionality to generate "rush" checks through DaFIS.
- Functionality at Office of the President to run monthly maintenance jobs, including the ability to initiate payroll expense files which feed the DaFIS general ledger programs, PPS-DS and a host of other campus critical systems.
- Pertinent payroll process documentation and instructions have been communicated previously to all parties (on and off campus) who might be involved in implementing this business continuity plan.
- Critical reports are obtainable from UCOP.

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III. BUSINESS IMPACT ANALYSIS

a. What is the primary mission of Payroll Services?

Payroll Services assists campus faculty, staff, and students in meeting their educational objectives and their teaching, research, and operational needs by providing the highest quality services to the campus and community. This is achieved by facilitating the timely and accurate disbursement of approved employee compensation, satisfying payroll-related employer obligations and tax reporting and ensuring appropriate accounting for campus compensation costs.

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>1. Paying employees:</p>	<p>Business as Usual Staff assumes responsibility as follows: Penny Knutson, Kathy Stuhr Esther Columbel oversee operations ,</p>	<p>No. Employees must be paid for services performed based on FLSA..</p>	<p>Time Reporting – electronic timefile production (OPTRS), including the pay compute functionality, dependent on Office of the President systems. Departments are required to report employee’s time worked and leave usage on OPTRS so dependent on departmental staff.</p> <p>Functionality to facilitate the transmission of payroll direct deposit via Mellon Bank. Dependent on Office of the President’s technical staff to submit EFT file to bank.</p> <p>Accounts Payable to print our payroll check files sent via FTP by Office of the President.</p> <p>Reprographics, functionality to print surepay statements and Bulk Mail and mail division to ensure the delivery of surepay statements and checks to departments and to US mail.</p>	<p>Accounts Payable checkwrite computer and printers, checkstock, check signers for high limit checks, and staff available to run equipment.</p> <p>Courier service to deliver surepay tapes to reprographics. Reprographics has a sufficient paper supply and printing equipment. Bulk mail has adequate envelope stock to stuff payroll checks for both intercampus and US mail delivery. Mail Division has mail delivery service to departments.</p>

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<p>2. Rush Checks</p>	<p>Kathy Stuhr Esther Columbel Daileen Chapman Their staff will issue RUSH checks through ORCA .</p> <p>Their staff to generate DCP documents to produce Rush checks for employees. The three supervisors are required to approve the DCP documents.</p>	<p>No, Comply with federal and state laws/regulations, including timely payroll tax reporting and deposits.</p>	<p>Tax Accounting is responsible for payroll tax reporting and deposits. Email the Treasurer's Office at UCOP for funding request</p> <p>PPS access to ORCA for generating rush checks.</p> <p>Functionality to generate DCP documents in DaFIS for generating "rush" checks. Accounts Payable staff available to approve the Rush Check requests to move to checkwrite.</p>	<p>Access Mellon Bank Telecash to make payroll tax deposit. Dependent on Bank Institutions availability.</p> <p>UCOP to overnight the ORCA check file to Accounts Payable for printing of ORCA rush checks.</p> <p>DaFIS availability and Accounts Payable to have Rush Check printing scheduled, checkwrite computer and printers, checkstock, check signers for high limit checks, and staff available to run equipment.</p> <p>Couriers to deliver Rush Checks to departments, Accounts Payable to have envelope stock to mail Rush Checks.</p>

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3. Regulatory Compliance – Garnishments, separation checks, remittances to government and outside agencies	Esther Columbel Kathy Stuhr Daileen Chapman Their staff would perform the these tasks with the three supervisors approving the release of checks from garnishment program.	No, these must be done within the governmental regulations.	IET is needed to load the payroll files into our garnishment computer program. UCOP technical staff will need to test and install releases as instructed by Cindy or Penny.	Dependent on Office of the President having the payroll files available to IET to pull into PPS DS and populate the garnishment program. Access to PPS DS, DaFIS and garnishment program required. UCOP Technical Staff availability.
4. Adjustments/Death Cases/Implementing PPS Releases/Coordination of life insurance benefits	Esther Columbel Kathy Stuhr Cindy Jones	No, must make sure we are in compliance with Policy and law.		Access to DaFIS and PPS and UCOP beneficiary designation system.
5. Reconciliation, Collection, Training, etc.	Penny Knutson Esther Columbel Kathy Stuhr	Yes could be deferred for one month.		DaFIS and PPS DS access require.

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<p>50% Absenteeism Scenario</p> <p>1. Paying employees:</p>	<p>Business as Usual Staff assumes responsibility as follows: Penny Knutson, Kathy Stuhr Esther Columbel oversee operations ,</p> <p>Request an additional emergency Check Custodian be assigned: Gregory Hodgkins and Janene Dennis</p>	<p>No. Employees must be paid for services performed based on FLSA.</p> <p>No, Comply with federal and state laws/regulations, including timely payroll tax reporting and deposits.</p>	<p>Time Reporting – electronic timefile production (OPTRS), including the pay compute functionality, dependent on Office of the President systems. Departments are required to report employee’s time worked and leave usage on OPTRS so dependent on departmental staff.</p> <p>Functionality to facilitate the transmission of payroll direct deposit via Mellon Bank. Dependent on Office of the President’s technical staff to submit EFT files to bank.</p> <p>Accounts Payable to print our payroll check files sent via FTP by Office of the President.</p> <p>Reprographics, functionality to print surepay statements and Bulk Mail and mail division to ensure the delivery of surepay statements and checks to departments and to US mail.</p> <p>Tax Accounting is responsible for payroll tax reporting and deposits. Email the Treasurer’s Office at UCOP for funding request.</p>	<p>Accounts Payable checkwrite computer and printers, checkstock, check signers for high limit checks, and staff available to run equipment.</p> <p>Courier service to deliver surepay tapes to reprographics. Reprographics has a sufficient paper supply and printing equipment. Bulk mail has adequate envelope stock to stuff payroll checks for both intercampus and US mail delivery. Mail Division has mail delivery service to departments.</p> <p>Access Mellon Bank Telecash to make payroll tax deposit. Dependent on Bank Institutions availability.</p>

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<p>2. Rush Checks</p>	<p>Kathy Stuhr Esther Columbel Daileen Chapman Their staff will issue RUSH checks through ORCA .</p> <p>Their staff to generate DCP documents to produce Rush checks for employees. The three supervisors are required to approve the DCP documents.</p>	<p>Yes, have money orders in stock to issue if ORCA/DaFIS is not available or if Accounts Payable does not have a checkwrite available to get these employees paid.</p>	<p>PPS access to ORCA for generating rush checks.</p> <p>Functionality to generate DCP documents in DaFIS for generating “rush” checks. Accounts Payable staff available to approve the Rush Check requests to move to checkwrite.</p>	<p>UCOP to overnight the ORCA check file to Accounts Payable for printing of ORCA rush checks the next morning.</p> <p>DaFIS availability and Accounts Payable to have Rush Check printing scheduled, checkwrite computer and printers, checkstock, check signers for high limit checks, and staff available to run equipment.</p> <p>Couriers to deliver Rush Checks to departments, Accounts Payable to have envelope stock to mail Rush Checks.</p>
<p>3. Regulatory Compliance – Garnishments, separation checks, remittances to government and outside agencies</p>	<p>Esther Columbel Kathy Stuhr Daileen Chapman Their staff would perform the these tasks with the three supervisors approving the release of checks from garnishment program.</p>	<p>No, these must be done within the governmental regulations.</p>	<p>IET is needed to load the payroll files into our garnishment computer program.</p>	<p>Dependent on Office of the President having the payroll files available to IET to pull into PPS DS and populate the garnishment program. Access to PPS DS, DaFIS and garnishment program required.</p>

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4. Adjustments/Death Cases/Implementing PPS Releases/Coordination of life insurance benefits	Esther Columbel Kathy Stuhr Cindy Jones Penny Knutson	No, must make sure we are in compliance with Policy and law.	UCOP technical staff to test and install releases as instructed by Cindy or Penny.	Access to DaFIS and PPS and UCOP beneficiary designation system UCOP Technical Staff availability
5. Reconciliation, Collection, Training, etc.	Penny Knutson Esther Columbel Kathy Stuhr	Yes could be deferred for one month.		DaFIS and PPS DS access require.

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2. Rush Checks	Esther Columbel Kathy Stuhr Daileen Chapman Payroll staff that are available to calculate rush check.	Have stock of Money orders to provide employees for emergency rush checks. Update employees earning records when business returns to normal.	Accounts Payable will not have a special rush checkwrite to issue rush checks.	Payroll will need to have an inventory of payroll envelopes and money orders for rush payroll payments.
3. Regulatory Compliance – Garnishments, separation checks, remittances to government and outside agencies	Esther Columbel Kathy Stuhr Cindy Jones Penny Knutson	Submit old payroll garnishments file to match the pay schedule above thru the garnishment program to comply with law. Corrections to this file to be sent as soon as possible.	UCOP technical staff to test and install releases as instructed by Cindy or Penny.	Dependent on garnishment program , Accounts Payable to receive the file and print the checks. UCOP technical staff availability.
4. Adjustments/Death Cases/Implementing PPS Releases/Coordination of life insurance benefits	Esther Columbel Kathy Stuhr Cindy Jones Penny Knutson	No, must make sure we are in compliance with Policy and law.		Access to DaFIS and PPS and UCOP beneficiary designation system.
5. Reconciliation, Collection, Training, etc.	Kathy Stuhr Esther Columbel Penny Knutson	Yes could be deferred for one month		DaFIS and PPS DS access require

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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:**
 - Pay employees in as timely and accurate a manner possible.
 - Continued access to the Employee Database (PPS) maintenance and update functions, including a dependence on Office of the President systems.
 - Time reporting – electronic timefile production (OPTRS), including the pay compute functionality. Also this depends upon Office of the President's systems and time entry from campus departmental staff.
 - Functionality to facilitate the transmission of payroll direct deposit via Mellon Bank. Dependent on Office of the President's technical staff.
 - Functionality to print paper payroll checks, including a dependence on Reprographics to print and Mail Division to deliver them to campus locations.
 - Functionality to generate "rush" checks through DaFIS.
 - Maintain a reasonable level of financial controls.
 - Maintain integrity of accounting data.
 - Comply with federal and state laws/regulations, including timely payroll tax reporting and deposits.

- 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.**
 - Regulatory compliance and reporting, including separation checks.
 - Garnishments/Child Support/Tax Levies and other withholding orders.
 - Remittances to governmental agencies, carriers and other vendors.

- 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.**
 - Death benefit payments to survivors.
 - Adjustments to pay checks, including calculation of salary overpayments.
 - Reviewing and implementing PPS releases, in particular date sensitive or legislatively mandated updates.
 - Coordination of life insurance benefits.

- 4. These are the functions and processes that could be delayed for longer than one month.**
 - UCRP and Worker's compensation adjustments
 - Collection of overpayments of salary.
 - Reconciling general ledger accounts.
 - Coordination and pay out of any mass salary action – range, merit, collective bargaining wage agreements.
 - Final payments to survivors including vacation balances.
 - PPS/OPTRS Training programs.

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V. Contact List

Name	Position	Work Location	Email	Office	Home	Cellular	Text capable?	Will work from home?	Description of computer connectivity from home	If not able to work from home, why?
Cindy Jones	Manager	1441 Research Park	cynjones@ucdavis.edu	530.757.8542			Yes	Yes	DSL	
Penny Knutson	Asst. Manager	1441 Research Park	plknutson@ucdavis.edu	530.757.8919			No	Yes	DSL	
Kathy Stuhr	Acct. II – Supervisor	1441 Research Park	kastuhr@ucdavis.edu	530.757.8840			Yes	Yes	DSL	
Esther Columbel	Acct. II – Supervisor	1441 Research Park	emcolumbel@ucdavis.edu	530.752.0987			Yes	No	None	No connectivity
Greg Hodgkins	Analyst	1441 Research Park	gphodgkins@ucdavis.edu	530.752.7750				Yes	DSL	
Janene Dennis	Asst IV	1441 Research Park	jldennis@ucdavis.edu	530.757.8942				No		No connectivity

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