

**ACCOUNTING & FINANCIAL SERVICES:  
STUDENT ACCOUNTING AND CASHIER'S OFFICE**

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

**July 1, 2006**

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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
VI. Student Accounting Critical Processes, Timing, and Responsibility Assignments.....	9
VII. Cashier's Office Critical Processes, Timing, and Responsibility Assignments .....	12

# ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

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

1. A. The *organizational chain of command* for Student Accounting/Cashier's Office consists of the following:

Name	Position	Work Location	Email	Office	Home	Cellular or other	Text capable?
Eben Sutton	AAO	2112 Dutton Hall	<a href="mailto:esutton@ucdavis.edu">esutton@ucdavis.edu</a>	530-752-5873			Yes
Joan Brunk	Accountant 2, Supervisor	2108 Dutton Hall	<a href="mailto:jbbrunk@ucdavis.edu">jbbrunk@ucdavis.edu</a>	530-752-7172			N/A
Jan Wright	Loan Collection Manager	2106 Dutton Hall	<a href="mailto:jpwright@ucdavis.edu">jpwright@ucdavis.edu</a>	530-752-7792			

2. The *Pandemic Planning Workgroup* appointed for Accounting & Financial Services 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 Student Accounting/Cashier's Office are as follows:

Name	Office	Cellular or other
Not Applicable		

4. A. Communications to employees in Student Accounting/Cashier's Office are distributed via the following method:

1. E-mail distribution list
2. Central voice mail box
3. A&FS internal web site
4. Phone trees

# ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

## II. OVERVIEW AND ASSUMPTIONS

### ABBREVIATIONS DEFINED --

AAO	Associate Accounting Officer
CO	Cashier's Office
OAVCF	Office of the Associate Vice Chancellor – Finance
OVCSA	Office of the Vice Chancellor for Student Affairs
SA	Student Accounting

- 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.
- Employees must have passed both Department of Justice and Federal Bureau of Investigation background checks to be bondable (applicable to Cashiers).
- The pandemic is expected to impact people more than systems. As such, we do not expect an anomalous number of system failures.

### STUDENT ACCOUNTING --

- Under current guidance from the US Department of Education, if campuses choose to close due to a pandemic outbreak, no regulatory relief will be forthcoming.

### CASHIER'S OFFICE –

- Under current operating restrictions, data is only available on Bank of America direct for 72 business hours. On Mellon Bank iTeleCash, data is available 45 days. Once lost, the data cannot easily be recovered. For security reasons, access to these resources is limited to a few specified PCs in the Cashier's Office, and for this reason, operations must continue regardless of campus status.

# ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

## III. BUSINESS IMPACT ANALYSIS

- a. What is the primary mission of Student Accounting?  
Student Accounting assists campus faculty, staff, and students in meeting their teaching, research, and operational needs by providing the most effective and efficient disbursement of student financial aid. Additionally, effective and efficient maintenance and collection of student loans and campus receivables, and communication methods are employed for effective interaction with various funding agencies.
- b. What is the primary mission of Cashier's Office?  
Cashier's Office assists campus faculty, students and staff in meeting their teaching, research, and operational needs by providing cashiering services and by recording and depositing all monies accruing to the UC Davis campus. These services are accomplished through positive personal interactions and through the use of modern technologies with maximizing university cash management as a goal.

**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?
<b>0-25% Absenteeism Scenario</b>  STUDENT ACCOUNTING -- <u>Guiding principle:</u> Business-as-usual, no special planning needed	Please see Appendix A for a list of SA critical functions, a list of staff with primary responsibility, and identified backups.	At this level of absenteeism, although it may be possible for some personnel to work from home, there is no business need to do so. In the event the campus is closed, Loans, Third-Party payment unit, and G/L unit to work from home.	<u>Primary dependence:</u> Financial Aid, Office of the University Registrar <u>Secondary:</u> Office of the Dean of Graduate Studies, School of Medicine Financial Aid, School of Law Financial Aid  Student Accounting is participating with our primary dependencies on the formation of their own pandemic plans to ensure articulation of the plans.	
CASHIER'S OFFICE -- <u>Guiding principle:</u> Business-as-usual, no special planning needed	Please see Appendix B for a list of SA critical functions, a list of staff with primary responsibility, and identified backups.	No Cashier's Office services may be delivered from an alternate location due to security considerations.	None. Off-campus dependencies include Bank of America, TriCore courier service, and Loomis armored car service.	
<b>26-50% Absenteeism Scenario</b>  STUDENT ACCOUNTING -- <u>Guiding Principle:</u> Reallocate back-office FTE to customer service.	Please see Appendix A for a list of SA critical functions, a list of staff with primary responsibility, and identified	In the event the campus is closed, Loans, Third-Party payment unit, and G/L unit to work from home.	<u>Primary dependence:</u> Financial Aid, Office of the University Registrar <u>Secondary:</u> Office of the Dean of Graduate Studies, School of Medicine	

**ACCOUNTING & FINANCIAL SERVICES:  
STUDENT ACCOUNTING AND CASHIER'S OFFICE**

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?
Transfer 1 bondable surplus FTE to CO. If no FTE available, contact OVCSA to inquire about borrowing 1 FTE from Student Financial Aid (to place in SA) thereby freeing up 1 SA FTE for CO.	backups.		Financial Aid, School of Law Financial Aid  Student Accounting is participating with our primary dependencies on the formation of their own pandemic plans to ensure articulation of the plans.	
CASHIER'S OFFICE – <u>Guiding Principle:</u> Need 1 FTE to continue operations. First choice: borrow from SA. Second choice: borrow from another A&FS unit. Borrowed person must be bondable.	Please see Appendix B for a list of SA critical functions, a list of staff with primary responsibility, and identified backups.	No Cashier's Office services may be delivered from an alternate location due to security considerations.	None.	
<b>51-75% Absenteeism Scenario</b>  STUDENT ACCOUNTING -- <u>Guiding Principle:</u> Contact OVCSA to pool available resources in support of financial aid disbursement.	Please see Appendix A for a list of SA critical functions, a list of staff with primary responsibility, and identified backups.	All available staff able to report to work on the campus should do so.	<u>Primary dependence:</u> Financial Aid, Office of the University Registrar <u>Secondary:</u> Office of the Dean of Graduate Studies, School of Medicine Financial Aid, School of Law Financial Aid  Student Accounting is participating with our primary dependencies on the formation of their own pandemic plans to ensure articulation of the plans.	○
CASHIER'S OFFICE – <u>Guiding Principle:</u> Transfer any bondable SA staff to CO in support of operations.	Please see Appendix B for a list of SA critical functions, a list of staff with primary responsibility, and identified backups.	No Cashier's Office services may be delivered from an alternate location due to security considerations.	None.	○

# ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

## 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:**

STUDENT ACCOUNTING – None

CASHIER'S OFFICE – Cash receipting. Wire and incoming ACH information only available from Bank of America for 72 hours after funds receipt.

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.**

STUDENT ACCOUNTING – None

CASHIER'S OFFICE – No processes eligible for delay of 1 week.

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.**

STUDENT ACCOUNTING – After one month of closure, under current guidance from the U.S. Department of Education the campus will need to collect back from students all Title IV financial aid (Federally guaranteed student loans, PELL grant, Perkins Loans, etc.) paid to students as the students will have become ineligible. This activity will depend upon the availability of personnel from Student Financial Aid to re-package students and run disbursement.

CASHIER'S OFFICE – No processes eligible for delay up to 1 month.

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

STUDENT ACCOUNTING – Collection efforts will need to continue on title IV monies (see scenario #3 above). Regular billing of student receivables will also need to resume.

CASHIER'S OFFICE – No processes eligible for delay greater than 1 month.

## ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

### V. Contact List

#### STUDENT ACCOUNTING –

Name	Position	Work Location	Email	Office	Home	Cellular	Text capable?	Will work from home?	VPN or Remote Desktop?	If not able to work from home, why?
Amir, Raihana	___ Asst 3, Supervisor	2100B Dutton	<a href="mailto:rzamir@ucdavis.edu">rzamir@ucdavis.edu</a>	530-752-9763				No		Campus presence required for Customer Service
Bailey, LeeAnn	___ Asst 2	2101 Dutton	<a href="mailto:eabailey@ucdavis.edu">eabailey@ucdavis.edu</a>	530-752-3647				Yes	PC w/DSL	
Bidwell, Benjamin	Collections Representative	2101 Dutton	<a href="mailto:brbidwell@ucdavis.edu">brbidwell@ucdavis.edu</a>	530-752-7793				No		Campus presence required for Customer Service
Brunk, Joan	Accountant 2, Supervisor	2108 Dutton	<a href="mailto:jcbrunk@ucdavis.edu">jcbrunk@ucdavis.edu</a>	530-752-7172				No		Campus presence required for Customer Service
Chrisman, Al	Collections Rep	2104 Dutton	<a href="mailto:acfrankeberger@ucdavis.edu">acfrankeberger@ucdavis.edu</a>	530-752-7790				Yes		
Hood, Cherie	___ Asst 2	2101 Dutton	<a href="mailto:cehood@ucdavis.edu">cehood@ucdavis.edu</a>	530-752-1444				Yes		
Mangnus, Janet	Collections Rep	2104 Dutton	<a href="mailto:jkmangnus@ucdavis.edu">jkmangnus@ucdavis.edu</a>	530-752-7791				Yes	PC w/DSL	
Mills, Godwin	___ Asst 2	2101 Dutton	<a href="mailto:glmills@ucdavis.edu">glmills@ucdavis.edu</a>	530-752-3649				No		Campus presence required for Customer Service
Nalley, Anita	___ Asst 2	2101 Dutton	<a href="mailto:asnalley@ucdavis.edu">asnalley@ucdavis.edu</a>	530-754-7761				Yes	PC w/DSL	

**ACCOUNTING & FINANCIAL SERVICES:  
STUDENT ACCOUNTING AND CASHIER'S OFFICE**

O'Malley, Grace	___ Asst 2	2101 Dutton	<a href="mailto:geomalley@ucdavis.edu">geomalley@ucdavis.edu</a>	530-752-5870				Yes		
Solano, Daris	Accountant 1	2101 Dutton	<a href="mailto:desolano@ucdavis.edu">desolano@ucdavis.edu</a>	530-752-5872				Yes		
Sutton, Eben	Associate Accounting Officer	2112 Dutton	<a href="mailto:esutton@ucdavis.edu">esutton@ucdavis.edu</a>	530-752-5873			Yes	No		Backup for Cashier
Wright, Jan	Loan Collection Manager	2108 Dutton	<a href="mailto:jpwright@ucdavis.edu">jpwright@ucdavis.edu</a>	530-752-7792				No	PC but no Internet Connectivity	
Yu, Susan	___ Asst 1	2101 Dutton	<a href="mailto:ssyu@ucdavis.edu">ssyu@ucdavis.edu</a>	530-754-7766				No		Campus presence required for Customer Service

**CASHIER'S OFFICE –**

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?
Plocher, Diane	Accountant 1	1200 Dutton	<a href="mailto:dkplocher@ucdavis.edu">dkplocher@ucdavis.edu</a>	530-754-6824				No		Security
Goyal, Vimla	___ Asst2	1200 Dutton	<a href="mailto:vkgoyal@ucdavis.edu">vkgoyal@ucdavis.edu</a>	None				No		Security
Chenoweth, Samantha	___ Asst 2	1200 Dutton	<a href="mailto:sjchenoweth@ucdavis.edu">sjchenoweth@ucdavis.edu</a>	None				No		Security
Kakwani, Gita	___ Asst 2	1200 Dutton	<a href="mailto:gakwani@ucdavis.edu">gakwani@ucdavis.edu</a>	None				No		Security

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

## ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

### VI: STUDENT ACCOUNTING CRITICAL PROCESSES, TIMING, AND RESPONSIBILITY ASSIGNMENTS

*Enrollment Services processes (those activities tied to the academic calendar)*

All days are calendar days, relative to the first day of instruction. See [http://registrar.ucdavis.edu/html/academic\\_calendar.html](http://registrar.ucdavis.edu/html/academic_calendar.html)

Day	Activity	Responsible Party (Backup)	Response Level
-10	Financial Aid disbursement <i>(This item listed for reference purposes only; this is not a Student Accounting function, but many Student Accounting functions depend upon the successful completion of this activity)</i>	Liz Webb – Fin Aid (Trina Wiggins – Fin Aid) (Lisa Finnegan – Grad Studies)	1,2
-9	Communicate cash needs to cover 95% of the disbursement to Extramural Accounting. Time cash draw to arrive at day -5.	Eben Sutton (Damaris Solano) (Gail Facey – Fin Aid)	1,2
-7	Fee payment deadline 1) Update fee remissions YFRFEER  2) Set paid flags* TGRAPPL to apply pmnts ZSRFLAG to set flags	Lee Ann Bailey (Irene Ocegueda)  Eben Sutton (Joan Brunk) (Lee Perera)	1
-6	Late fee assessment* ZSRLATE	Eben Sutton (Joan Brunk) (Lee Perera)	1
-5	Residual Financial Aid checks* TSRRFND TGRFEED ZSPGLFL	<u>Check Initiators</u> Lee Ann Bailey (Cherie Hood) (Anita Nalley)  <u>Check Approvers</u> Irene Ocegueda (Joan Brunk) (Eben Sutton)	1,2
-2 to 7	Start of Quarter Disburse Residual Checks (at least one from each team)	<u>Team 1</u> Raihana Amir (Jan Wright) (Janet Mangnus) ?? Borrowed Staff	1,2

## ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

		<u>Team 2</u> Susan Yu (AI Frankeberger) (Grace O'Malley) ?? Borrowed Staff	
10	Drop for non-payment 1) Update fee remissions YFRFEER  2) Set paid flags* TGRAPPL to apply pmts ZSRFLAG to set flags	Lee Ann Bailey (Irene Ocegueda) (Damaris Solano)  Eben Sutton (Joan Brunk) (Lee Perera)	1
14, 28, 42, 56, 70	Financial Aid disbursement  Run residual checks* TSRRFND TGRFEED ZSPGLFL	(see list at -10 days)  (see list at -5 days)	1,2
14	Apply need-based course material fee waivers* ZSPESTU	Eben Sutton (Lee Perera) (Damaris Solano)	1,2
20	Apply departmental discretion course material fee waivers TSAEXPT	Joan Brunk (Eben Sutton) (Irene Ocegueda)	1
45	Bill third-party sponsors	Irene Ocegueda (Anita Nalley) (Cherie Hood)	1,2
60	Transfer new loan and loan advance files to UC servicer, ACS	Jan Wright (Grace O'Malley) (Eben Sutton)	1

*Periodic processes not tied to the academic calendar*

Schedule	Process	Responsible Party (Backup)	Response Level
Mondays	Generate and send ach file to Mellon. Settle Discover Card batch. TouchNet Ops Center TGACREV	Eben Sutton (Joan Brunk) (Leslie Beal)	1, 2, 3
15 <sup>th</sup> and last calendar day of the month	Feed DaFIS from Banner* ZSPGLFL	Eben Sutton (Lee Perera)	1, 2, 3

## ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

		(IET Datacenter Operations)	
18 <sup>th</sup> day of the month	Run student and non-student billing statements	Eben Sutton (Lee Perera) (Joan Brunk)	1, 2

\* Detailed procedures and job parameters available for these jobs at: <u:\sa\sa-share\procedures>

### Notes:

Many of the listed jobs run more frequency in a time of normalcy. The frequencies listed represent the critical times when the jobs must run for the critical path to remain viable. See <u:\sa\sa-share\procedures\Scheduled Banner Processes.doc> for normalcy schedule.

### Response Levels refer to campus planning guidelines:

Level 1: Campus Open

Level 2: Campus closed for a period < 2 weeks

Level 3: Campus closed for a period > 2 weeks

# ACCOUNTING & FINANCIAL SERVICES: STUDENT ACCOUNTING AND CASHIER'S OFFICE

## VII: CASHIER'S OFFICE CRITICAL PROCESSES AND RESPONSIBILITY ASSIGNMENTS

Process	Responsible Person (Backups)	Response Level
Morning vault open and count Requires one member from each team (dual custody)	<u>"X" Team</u> Diane Plocher (Univ. Cashier) (Eben Sutton)  <u>"Y" Team</u> Vimla Goyal (Gita Kakwani) (Samantha Chenoweth)	1, 2, 3
Balance daily reports to nightly cashier transmittal	Univ. Cashier (Diane Plocher) (??)	1, 2, 3
Download bank wire information using BofA Direct	Diane Plocher (Vimla Goyal) (??)	1, 2, 3
Download outside system feeds (Banner, Phone Charge, Home Banking)	Diane Plocher (Vimla Goyal) (Univ. Cashier)	1, 2, 3
Encode and image checks for deposit	Gita Kakwani (Diane Plocher) (Samantha Chenoweth)	1, 2, 3
Prepare checks for deposit (TriCore pickup)	Vimla Goyal (Gita Kakwani) (Diane Plocher)	1, 2, 3
Prepare currency for deposit (Loomis pickup)	Vimla Goyal (Gita Kakwani) (Diane Plocher)	1, 2, 3
Transmit daily files to DaFIS and Banner	Diane Plocher (Univ. Cashier) (Eben Sutton)	1, 2, 3

**Response Levels refer to campus planning guidelines:**

Level 1: Campus Open

Level 2: Campus closed for a period < 2 weeks

Level 3: Campus closed for a period > 2 weeks