

**Volume 2 - APPENDIX 4 (FINANCIAL SERVICES)
TO
ANNEX E (PLANNED RESPONSE ACTIVITIES-UA OPERATIONAL SUPPORT)**

OBJECTIVES

Providing crucial financial services to support the University of Arizona during a disaster is the primary objective of the Financial Services Office. An equally important component of the Business Continuation Plan is maintaining the CatCard database, which underlies most authentication and identification services for the campus.

PLAN ORGANIZATION

The succeeding paragraphs identify this unit's procedures and requirements that are in place to cope with a major emergency.

CONTINUAL READINESS

As part of our standard business practices the Financial Services Office backs up our systems nightly. We also work in partnership with CCIT for the disaster recovery of the financial systems. We also have a disaster recovery plan in place on the Arizona Board of Regents approved LDRPS system that will be the disaster recovery resource for Arizona State University, Northern Arizona University and the University of Arizona. Supplies such as check stock, CatCard stock and readers etc are stored in multiple locations. Our investments can be managed from anywhere via telephone, fax or Internet connectivity. Besides the plans for evening and weekend disasters, we have adopted Business Hours Emergency Procedures and procedures for Unexpected Electrical Outages.

PRE-EVENT (if there is warning time)

Watch Period-Back up systems.

Warning Period –Upon notification of the possible or eminent disaster, our primary concern would be the safety and security of employees and their families. If possible, the Financial Services Office would perform normal backups once again. Hard copy reports of critical information would be produced for providing service to our internal and external customers in the following order: CatCard, Student, Payroll, other Payables (Docuware), Investments, Plant, Accounting, Property and miscellaneous as time permits. Since FSO business is seasonal and cyclical as well as daily and monthly-the priority may shift based on upcoming services an FSO master calendar is being created to help us manage priorities. Safeguarding equipment would be an additional priority depending on the nature of the disaster.

DISASTER IMPACT

Follow instructions from civil authorities and safety personnel.

POST-DISASTER RECOVERY

1. Immediate
First priority would be the health and safety of coworkers and family members. Management would then perform a superficial assessment of the damage-fire, buildings, structural defects, fire, water, electrical systems and finally, equipment. Combining that assessment with the priorities based on the master calendar and working in conjunction with the appropriate authorities, we would develop a plan of action to meet the service needs of our customers and support the campus.
2. Intermediate
Using the initial assessment as a starting point, FSO management would do a more detailed analysis of the damage and prepare a project plan to meet the ongoing "immediate" needs and a recovery plan.
3. Long Term
Our long-term objective in FSO will be the implementation and execution of the plan developed in the intermediate phase. We will also be sensitive for opportunities to reduce costs and improve processes as FSO and the campus communities recover.

STAFFING REQUIREMENTS

Ongoing minimum staff levels required for each critical business function have been determined as a result of the current budget rescissions. Based on the type of disaster and where the disaster occurs in relation to mandatory FSO services, each section has the ability to determine which services must occur, which available employees can perform most effectively and which functions can be postponed for a short period of time. This course of action would allow managers to direct the remaining staff in support of the University's other critical needs.

NECESSARY SUPPLIES

Each Department/Area needs to identify all of its critical business functions and the supplies needed to sustain operation. Supplies to protect departmental assets also need to be identified and purchased or acquired in advance. For example, it will be very difficult (probably impossible) to acquire materials to protect computers, buildings, etc. 48 hours before a hurricane strikes. After the disaster strikes, supplies that are of any value will rapidly vanish.

CRITICAL EQUIPMENT

All information technology equipment is included in an inventory that is continually maintained by FSO-IT. Desktop equipment is housed in three locations for current ongoing operations and this also supports the availability of equipment post disaster.

Fully redundant CatCard critical equipment is also resident in the USA building. More specific information on information technology equipment will be part of the FSO-IT plan in LDRPS.

The FSO infoseal machine used for sealing checks, advices and federally mandated forms is one of a kind and resident in the University Services building, this is not a critical piece of equipment short term.

TELEPHONE LISTS

Notifying employees of the disaster and the next steps are the primary components of the Financial Services response to a disaster and our communication with the university and civil authorities in the event of a non-business hour emergency. It is also critical for our communication with other sections and with employees who are offsite during business hours.

Our Financial Services Office pathway is as follows:

Primary Contact:

Charles E. Ingram

Assistant Vice President for Financial Services

In his absence

Mark McGurk

Comptroller

In his absence

Linda Gee

Special Assistant to the Assistant Vice President

Once the primary contact has been made, that individual will notify the other members of the FSO Executive Team:

Elizabeth I. Taylor

Director, Computing

Linda Gee

Director, Human Resources & Administration

Suellyn Hull

Bursar and Director, CatCard Services

Mark J. McGurk

Comptroller

Duc Ma

Director, Plant Funds and Property

KyMBER Horn
Director, Communication and Customer Outreach

The members of the Executive Team will notify their respective staffs, as noted in the attachments, of pertinent information and directives received from the university and civil authorities.

EXTERNAL CONTACTS

These would include our primary vendors for services to the University of Arizona and will be noted in LDRPS.

EXTERNAL DEPENDENCIES

The primary dependency for the Financial Services Office is with our banking partner. Our business partners that support plant funds and investments as well as state and federal agencies are also crucial to our intermediate and long term recovery.

PAYROLL OPERATIONS WITHOUT ELECTRICITY**

We currently pay over 80% of employees via direct deposit however we still have sufficient check stock to produce checks for all employees. In a worst-case scenario we would have our previous payroll rerun for salary and permanent wage employees, while there would be some errors the vast majority would be correct. That leaves us with the decision regarding students of employment type A, B and C and other ancillary wage personnel, an important concern but by no means the majority or the core of our work force. While the Payroll oversight is the responsibility of the Financial Services Office, CCIT houses the systems and the printers used for producing checks and the electronic files.

ACCOUNTS PAYABLE OPERATIONS**

Some of our biggest vendors are not paid via check currently and that number continues to rise as we improve our business processes however we still pay a significant number by check and could return to that process for a while. While the Accounts Payable processes and oversight are the responsibility of the Financial Services Office, CCIT houses the systems and the printers used for producing checks and the electronic files.

**Note: There is an implicit assumption that the banking system is still functioning in some fashion, if not this becomes a moot discussion, for without the banking system we can't even get sufficient cash to support a manual cash payment process.

BUSINESS HOURS EMERGENCY PROCEDURES

Building Evacuation:

Follow instructions of Fire Control Team Members/Fire Deputies.

FSO fire wardens for the University Services Building are:

Chris Sullivan	Room 104/106
Robbyn Lennon	Room 104/106
Walter Buchanan	Room 402
Elaine Corral	Room 402
Annie Martinez	Room 502

In general, pick up purse, briefcase and walk to stairwell or exit.
(Directors will take their Disaster Recovery materials folder.)

Proceed down stairs carefully, through exit, out to designated meeting place and wait for Fire Control Team Members/Fire Deputies.

Fire Control Team Members/Fire Deputies action steps are:

1. Initiate evacuation procedures.
2. Maintain an orderly evacuation.
3. Conduct a sweep of assigned area-be certain that everyone has evacuated.
4. Close doors as areas are evacuated.
5. Assist Physically challenged personnel.
6. Be the last one out.
7. Assemble personnel at designated meeting place.
8. Report any missing personnel to authorities and their last known location.
9. Document evacuation time.

Directors:

1. Determine nature of Emergency.
2. Determine next steps in conjunction with health and safety authorities to safeguard employees.
3. Determine next steps based on current and immediately upcoming FSO services to campus-(for example-is the next day a payday).

If necessary, verify whether contact information in Disaster Recovery materials for employees is correct.

Meeting Place:

FSO Student Union - LDS Parking lot, North of Second Street Garage

FSO USA - dirt parking lot, West of USA

FSO USB - 1st floor USB Garage, Northwest Corner

OPERATIONS DURING UNEXPECTED ELECTRICAL OUTAGE--WHEN POWER FAILS

1. Turn OFF the power strip or UPS attached to any computers in the area.

2. Notify the Crisis Management Liaison in your location that electricity has been lost. They will be the links with **FSO Technology Services** at **626-3072**.

Locations:

USB 1st Floor

Primary: Mark Barton) -
Secondary: Tracy Sitzmann)

USB 4th Floor

Primary: Suellyn Hull- Secondary: Marri Herzenach

USB 5th Floor

Primary: Mark McGurk - Secondary: Duc Ma

Student Union – CatCard Office

Primary: Diane Tatterfield - Secondary: Stephanie Perez

Systems Control

Primary: Priscilla Cantu - Secondary: Elizabeth Curbelo

Internal Audit

Primary: Fran Foy - Secondary: Linda Cornell

WHEN POWER IS RESTORED

Please, WAIT for instructions before turning machines back on.

1. **Wait for instructions from Crisis Management Liaisons, even if the electricity comes back on.**
2. **Desktop users, when instructed to do so:**
 - Turn power strips back on.
 - Machine will power back up and is stable enough to use.
3. **Laptop users, when instructed to do so:**
 - Turn power strip or UPS back on.
 - Machine will power back up and is stable enough to use; or machine may be reconnected to docking station.