PURPOSE

The FSO plan identifies the activities that would be enacted under certain disaster events (earthquake, wind, and flood, loss of electricity, system failure, and acts of war, bio-terrorism and disease) and addresses the major issues identified to date. Pertinent information discussed in this plan will be housed on the (Removed for Security Reasons). This document will be reviewed and updated on an annual basis (July/August) with updates distributed to the appropriate contact individuals.

Objectives

Providing crucial financial services to support the University of Arizona during a disaster is the primary objective of the Financial Services Office.

Maintaining the Cat Card database, that 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 or critical event.

Continual Readiness

- Back up of files at the end of the business day
- In partnership with UITS for the disaster recovery of the financial systems
- Maintain a disaster recovery plan 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.
- Investments can be managed from anywhere via telephone, fax or with Internet connectivity. Besides the plans for evening and weekend disasters, FSO has adopted a Business Hours Emergency Procedures and procedures for Unexpected Electrical Outages.

Pre-event Activities (if there is adequate time)

Watch Period
- Back-up systems

**Warning Period**

- Notification of staff – ensure safety and security of employees and families.
- If possible, perform normal backups once again
- Hard copy reports of critical information will be produced for providing service to our internal and external customers in the following order:

<table>
<thead>
<tr>
<th>Catcard</th>
<th>Student</th>
<th>Payroll</th>
<th>Other payables</th>
<th>Investments</th>
<th>Plant</th>
<th>Accounting</th>
<th>Property</th>
<th>Misc.</th>
</tr>
</thead>
</table>

FSO business priorities may shift due to the academic cycle, daily, monthly, and seasonal priorities.

**Post-Disaster Recovery**

**Immediate**

Follow instructions from civil authorities and safety.

1. Establish contact with staff and ascertain their status and their families, utilizing FSO Emergency Contact Information plan.
2. In conjunction with UACERT, if activated, and Risk Management and Safety
   a. Perform a superficial assessment the damage of the following:
      i. Buildings – for structural defects
      ii. Damage done by fire or water
      iii. Damage done as a result of electrical
      iv. Equipment
      v. Files
   b. Develop an action plan to reintroduce FSO service to the campus.
   c. Communicate the action plan to UACERT, if activated.
3. With assistance as necessary from Risk Management and Safety, Facilities Management, and others, document and photograph damage.

**Long Term**

1. Implementation and execution of the plan developed in the intermediate phase.
2. 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 within FSO shall identify all of its critical business functions and the supplies needed to sustain operation.

Supplies to protect departmental assets have been identified and purchased or acquired in advance. These items will be stored within designated areas of FSO, both on and off site.

**Critical Equipment**

All information technology equipment is included in an inventory that is continually maintained by FSO-IT.

- Desktop equipment is housed in (Removed for Security) 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 (removed for security reasons.) 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. The FSO Emergency Contact Information sheet is provided to all new departmental employees to provide personal contact information for emergencies, i.e., notification of next of kin, etc. This information is maintained as part of the employee’s departmental personnel file and in our emergency contact folder.
Financial Services Notification Process

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

- Pavel Jandura • Director, Finance and Administration
- Suellyn Hull • Director FSO Enterprise Systems
- Mark Barton • Bursar/Director of Catcard Office
- Mark J. McGurk • Asst. Vice President/Comptroller
- Duc Ma • Director, Plant Funds and Property

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

FSO will contact primary vendors in the event of a critical incident that impacts delivery of services to the University for more than one (1) business day.

- 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 the UA banking partner. Business partners that support plant funds and investments as well as state and federal agencies are crucial to the intermediate and long-term recovery.
Payroll Operations without Electricity**

Blank check stock is maintained in several locations however FSO maintains the master inventory of the check stock. The stock is maintained in:

- (Removed for Security Reasons)
- (Removed for Security Reasons)

Currently over (Remove of employees are paid via direct deposit however sufficient check stock is maintained to produce checks for all employees.

- In a worst-case scenario, the university 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 the decision regarding the payment method of 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.

In such cases, UACERT will be notified to make this an action item.

Accounts Payable Operations

Some of the university’s largest vendors are not currently paid by check. That number continues to rise as the UA enhances its business processes. However, the UA still pays a significant number by check and could return to that process for a period of time should it become necessary.

Should a critical event interfere with the banking system, the UA would not be able to able to maintain sufficient cash to support a manual cash payment process.

Business Hours Emergency Evacuation Procedures

Building Evacuation (e.g., Fire or Fire Drills):

<table>
<thead>
<tr>
<th>SAFELY EXIT THE BUILDING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Take purses, backpacks and briefcases</td>
</tr>
<tr>
<td>Follow instruction of the emergency coordinators</td>
</tr>
<tr>
<td>Proceed to stairwells</td>
</tr>
<tr>
<td>Go down the stairs and exit the building</td>
</tr>
<tr>
<td>Gather at designated assembly location</td>
</tr>
<tr>
<td>Wait for instruction from the Emergency Team Coordinator, Police of Fire personnel</td>
</tr>
</tbody>
</table>
# ASSEMBLY LOCATIONS

<table>
<thead>
<tr>
<th>FSO - STUDENT UNION</th>
<th>FSO - USA BUILDING</th>
<th>FSO – USB</th>
</tr>
</thead>
<tbody>
<tr>
<td>LDS parking lot – north of Second Street Garage</td>
<td>Dirt parking lot, west of USA</td>
<td>1st floor USB Garage, northwest corner</td>
</tr>
</tbody>
</table>

**FSO Emergency Coordinators for the Financial Services Department are:**

<table>
<thead>
<tr>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chris Sullivan</td>
</tr>
<tr>
<td>Robbyn Lennon</td>
</tr>
<tr>
<td>Walter Buchanan</td>
</tr>
<tr>
<td>Sandra Glaser</td>
</tr>
<tr>
<td>Ada Korhonen</td>
</tr>
<tr>
<td>Brian Pierson</td>
</tr>
<tr>
<td>Matt Stevenson</td>
</tr>
<tr>
<td>Nicholas Mills</td>
</tr>
<tr>
<td>Cecelia Perez</td>
</tr>
<tr>
<td>Michelle Warshaw</td>
</tr>
</tbody>
</table>

Emergency Coordinator Team Members/Fire Deputies action steps are:

1. Initiate evacuation
2. Maintain an orderly evacuation
3. Conduct sweep of assigned area to ensure evacuation – if it is safe to do so
4. Close doors as areas are evacuated
5. Assist physically challenged
6. Assemble personnel at the designated assembly location
7. Call FSO IT 626.3072 and CatCard 626.9162 to determine if any employee is working off site
8. Report any missing personnel to first responders with the employee’s last known location
Directors Duties

**During an Incident**

- Wear emergency coordinator vest
- Carry red folder, report unusual activity to FSO Directors and Fire Marshalls
- Ensure safe and orderly employee exit to designated assembly locations
- Coordinate with area supervisor to account for employees

**Other Duties**

<table>
<thead>
<tr>
<th>MEETINGS</th>
<th>BUILDING ORIENTATION</th>
<th>PARTICIPATE</th>
</tr>
</thead>
</table>
| 1. Participate in building meetings and training  
2. Organize internal meetings/training in employee health and safety as appropriate | 1. Be familiar with building or floor evacuation routes for emergencies  
2. Be familiar with guidelines, responsibilities and area of rescue assistance for disabled  
3. Be familiar with names/ faces of employees you are responsible for as emergency coordinator | 1. In updating emergency plans and procedures |

**Operations During Unexpected Electrical Outage**

- Turn off the powerstrip or UPS attached to computers
- Notify Crisis Management Liaison in the assigned location
- Crisis Mgt Liaison will contact FSO IT 626.3072
Electricity Restored

Wait for instructions before turning equipment back on from Crisis Management Liaisons

<table>
<thead>
<tr>
<th>Desk top Users – When instructed</th>
<th>Laptop Users – When instructed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Turn power strips on</td>
<td>1. Turn power strip or UPS on</td>
</tr>
<tr>
<td>2. Machine will power up and is stable enough to use</td>
<td>2. Machine will power up and is stable enough to use; or machine may be reconnected to docking station</td>
</tr>
</tbody>
</table>

Crisis Management Liaisons

<table>
<thead>
<tr>
<th>Location</th>
<th>Primary</th>
<th>Secondary</th>
</tr>
</thead>
<tbody>
<tr>
<td>USB 1st Floor</td>
<td>Mark Barton</td>
<td>Traci Sitzmann</td>
</tr>
<tr>
<td>USB 4th Floor</td>
<td>Walter B. or Carmen L</td>
<td>Tammy Strom</td>
</tr>
<tr>
<td>USB 5th Floor</td>
<td>Ada Korhonen</td>
<td>Andrea Lee</td>
</tr>
<tr>
<td>Student Union CatCard Office</td>
<td>Stephanie Perez</td>
<td></td>
</tr>
<tr>
<td>Systems Control</td>
<td>Elizabeth Curbelo</td>
<td>Priscilla Cantu</td>
</tr>
<tr>
<td>Internal Audit</td>
<td>Linda Cornell</td>
<td>Sara Click</td>
</tr>
</tbody>
</table>