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Appendix A

Crises Management Team

Contact Information

Crises Management Team Contact Information

Position	E-mail address	Work Phone	Home Phone	Cell Phone or Pager Number
Chancellor Joel Anderson	jeanderson@ualr.edu	(501) 569-3200	(501) 603-0037	(501) 413-9580
Vice Chancellor for Academic Affairs and Provost David Belcher	dobelcher@ualr.edu	(501) 569-3204	(501) 663-4084	
Vice Chancellor for Student Services Charles Donaldson	cwdonaldson@ualr.edu	(501) 569-3328	(501) 227-9346	(501) 837-8480
Vice Chancellor for Financial Services Lucian Shockey	lxshockey@ualr.edu	(501) 569-3202	(501) 241-2362	(501) 454-1860
Vice Chancellor for University Relations Bill Walker	wxwalker@ualr.edu	(501) 569-3186	(501) 868-4424	(501) 837-8441
Chief Information Officer Jeannie Winston	ewinston@ualr.edu	(501) 569-3344	(501) 227-8443	(501) 837-8466
AVC Facilities Cindy Milazzo	cdmilazzo@ualr.edu	(501) 569-3202	(501) 851-3029	(501) 454-1862
Director, Communications Amy Barnes	aobarnes@ualr.edu	(501) 569-3372	(501) 221-0267	(501) 837-8477

**Note: This team still needs definition.
Names are for illustrative purposes only.**

Appendix B

Technical Recovery Management Team Contact Information

Technical Recovery Management Team

Contact Information

Position	E-mail address	Work Phone	Home Phone	Cell Phone or Pager Number
Chief Information Officer Jeannie Winston	<u>ewinston@ualr.edu</u>	(501) 569-3344	(501) 227-8443	(501) 837-8466
Associate Director Networks Rogers Davis	<u>redavis1@ualr.edu</u>	(501) 569-8719	(501) 224-6250	(501) 960-4415
Associate Director MIS Tracy Johnson	<u>tljohnson@ualr.edu</u>	(501) 569-8705	(501) 228-6928	(501) 412-6936
Associate Director Administration Dennis Fleming	<u>dbfleming@ualr.edu</u>	(501) 569-8703	(501) 225-7095	(501) 920-4425
Associate Director Desktop Support Julio Fuentes	<u>exfuentes@ualr.edu</u>	(501) 569-8413	(501) 833-1791	(501) 231-9221

Appendix C

Flowchart of

Emergency

Roles and

Responsibilities

Appendix D
Media Inquiry Form

Media Inquiry Form

Date & Time Call Received: _____

Reporter's Name: _____

Media Organization: _____

Phone Number: _____ Fax Number: _____

Email Address: _____

Information Requested:

Deadline for Information: _____

Call Returned By: _____ Date: _____

Notes:

Appendix E

Memorandum of Agreement

With the

Bank of America

(For Payroll)

Note: Lucian Shockey will prepare the information for this section

Appendix F

Essential Functions

For

Finance and Administration

The essential function of Finance and Administration and minimum number of employees required to perform each function include:

Function	Minimum # of Employees Required
Purchasing	1
Payroll	2
Human Resources	2
Student Accounts/Cashiers	3
Accounts Payable	2
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Critical functional areas prepared individual contingency plans included in this document.

PURCHASING EMERGENCY RESPONSE

Procurement

- Emergency procurement is defined by State Procurement Law as “the acquisition of commodities or services, which if not immediately initiated, will endanger human life or health, state property, or the functional capability of a state agency”.
- Process procurements as prescribed by law (see attached page 36-037 of State Procurement Law)
- Maintain supply of blank or pre-printed purchase order forms
- Purchase orders may be typed or hand written on a temporary basis
- Manually number documents following current procedure for non standard documents
- Maintain an excel spread sheet with sufficient elements and information to facilitate manual reentry (short term emergency) or upload to Banner Tables electronically (long term crisis)

Staffing

- If current office is functional, entire staff shall report for duty and decisions will be made for job duties and continued reporting based on extent and duration of emergency/crisis

- If current office is not functional, essential staff (Business Manager and Assistant Business Manager) will report for duty. Remaining staff will be placed on stand by.

Location

- Current offices if functional
- Temporary site on campus if needed and available
- Off site if necessary (i.e.: UA System Offices, COOP, UAMS)

Cashflow concerns:

Cash in the bank

Immediate cash outlay (emergency expenses)

Cash receipts (emergency relief funds, etc.)

We would need some kind of fully equipped accounting center set-up off-site, probably even not in Little Rock. In the event of a catastrophe, the whole metropolitan area could be affected. We would need to have some kind of agreement with the good folks at BOA to activate remote access to BOA Direct. This would help us track our cash from the bank side. In the event of a catastrophe, we might lose all our records on campus. We need to back up our records regularly to a server in a secure site off-campus; probably at least outside the metropolitan area.

We would have to make sure that our operating account remained fully accessible to at least three different people with security to make decisions in the absence of one or both of the other two.

BOA Direct access would be our key to cash reporting in the event of a catastrophe.

In Case of Emergency:

Payroll

Note: This contingency is to be executed if the Memorandum of Agreement with Bank of America is not triggered.

I. To Continue Doing Business As Usual

Ice/Snow Storm – University Closed for Inclement Weather

1. Administration, Payroll, and Public Safety should touch base with each other. Depending on the severity of the weather condition as to whether transportation can be mobile or not:
 - A. If it is too dangerous to travel the roads, contact public safety to see if they can pick up payroll staff and transport them to the University or all key personnel. Then proceed with step B.

If key personnel are able to travel without risk of hazardous roads, they

will report to the University. Then, proceed with Step B.

- B. Payroll will separate new employees first. New employees' PAFs will be input first, then identify all terminations effective during the pay period.
 - C. Make changes and adjustments to the remaining PAFs as time permits.
 - D. Process payroll.
2. No Power at the University
 - A. Make use of a location on campus that has a generator.
 - B. Purchase a generator for computing services.
 - C. Secure a rental contract for a generator with a reputable vendor in case of emergency use.
3. Cannot Access Banner
 - A. Option- Wait until the Banner System is restored.
 - Payroll may have to adjust working schedule that may include working overtime.
 - Process PAFs beginning input of new employees as usual.
 - Run payroll processes as usual.
 - a. If too late to process direct deposits for the payday.
 - Contact BOA - ACH Quality Assurance immediately to make them aware of our problem and ask for alternative solutions.
 - If an alternative data delivery type is used: First, notify the bank of the alternative data delivery used. Next, obtain an agreement with the bank to use this method. Then, discuss the processing of the alternative delivery with the ACH-Quality Assurance Dept.
 - Alert campus, then set alternation plan into action.
 - B. Option- Contact Computing Services to contact SCT.
 1. Locate a site that would accommodate UALR's payroll and download BANNER PROD, then process payroll.
 2. Team up with another school that uses Banner.
 - Download BANNER PROD into a test dbase
 - Get the PR staff to that location
 - Process Payroll
 - Backup payroll so that it can be moved back into our System.
 3. Items 1 and 2 both have to be locations/schools that are compatible with ours, i.e., have the same operating system and the same oracle system as UALR.

4. At the present, Harding University is the only school/location that is compatible with UALR.
5. Other things for consideration:
A copy of BANNER PROD should be stored at another location other than in Computing Services Operations:
a. Storage file at another location on campus
b. Storage file at an off campus location

4. Process Payroll using the same information/files as the previous payroll
If the Banner System is restored too late to process PAFs, another alternative will be to pay all regular/hourly employees on payroll the same as the previous payroll without any changes to the database. The previous payroll files will be used to pay employees on direct deposit. On the direct deposit tape, the settlement dates will be changed.

Paper Checks will be handwritten for the same amount as the previous payroll.

Or

Contact BOA. Ask for alternatives. BOA is continuously changing on their latest technology. One of the technology features mentioned in a meeting with John Dominick was MICR Cash (live version software). Client can email file And BOA can load file in a transmission system.

5. Option- Manual Check Processing

Turn off Positive Pay

Begin the check writing process. We can access the information from the previous payroll processed (hardcopy or computer diskette). With Robert's help, it may be possible to convert or manipulate the data on direct deposit file to another format to write the checks by computer (with the right software installed), otherwise each check will have to be handwritten.

In the event that manual checks have to be written to each employee, Payroll need to know who is authorized to write/sign payroll checks. At the moment per Dorethea (Lucian Shockey, Diane Newton, and Cyndi Milazzo).

- A rubber stamp with these signatures will be needed for the signing of checks.
- Enough paper stock of checks should be on hand to accommodate at least 2 payroll periods.
- Copies of the last payroll should be available, a list of the amounts paid by paper checks and direct deposits. - Regular employees will be paid the amount of their last paycheck. Hourly employees will be paid only if they have submitted a timesheet.

- Notify BOA immediately of the situation. Let them know who will be authorized to write/sign the checks.
- Write manual paychecks.

6. Option – Hand Out Cash

- Administration should contact BOA to arrangement for enough cash to make the payroll. This amount can be obtained from a hardcopy of the previous payroll. A hardcopy will be secured in the Cashier's Office safe and in the Payroll Office.
- Arrange for security officers (Public Safety, State Police, etc.)
- Cashier's Office will be responsible for distributing cash payments to employees.

II. To Update BANNER

- A. Add manual adjustments after initial payroll has been processed, i.e. – pay employees with current information recorded in NBAJOBS, then pay difference using the manual check procedure.

Or

- B. Alert campus of situation. Add manual adjustments/changes to the next pay period or as soon as possible.

Business Continuity Plan for Cashiers and Student Accounts

I. Accepting Payments

Run an access query program to identify all accounts that have a balance and download into an excel spreadsheet. The columns will be ID number, last name, first name, amount owed, any flags that the account may have, third party payments, current charges, and several columns for amount paid. When a student inquires about the balance owed we can use this spreadsheet to provide answers. When a student makes a payment we can post the amount of the payment in the "Amount Paid" column. A hand-written receipt will be given to the student.

II. Fee Assessment

Once the student is registered by the Office of Records and Registration the student will bring a paper copy of their schedule to the Student Accounts Office and charges will be calculated and input into a column titled "Current Charges" on the spreadsheet mentioned above. A worksheet will be prepared to help calculate these charges.

III. Billing

Student bills will be produced by using the mail merge feature in Microsoft Word. The data will come from the spreadsheet mentioned above.

IV. Departmental Deposits

Deposits will be verified and a hand-written receipt will be given to the person making the deposit. A spreadsheet will be maintained with the date of the deposit, the foapal, the amount of the deposit, and the person making the deposit.

V. Third Party Sponsorships and Tuition Discounts

These adjustments will be calculated and posted to the spreadsheet mentioned above.

Business Continuity Plan for Accounts Payable

When the University is faced with a loss of its information system or an emergency, bills will still need to be paid. Contractors will require payment. Speakers coming on campus will need to be paid. Requests for payment can be made by direct pay request, and checks typed (written if necessary) and signed.

1. Make sure everyone is physically OK. Locate everyone.
2. Employees should notify the supervisor by phone, email or voice mail that they will not be coming in.
3. Manual checks are located in the vault in the accounts payable area.
4. Bank of America will have to be notified that we will be using manual checks. Positive Pay arrangements with Bank of America will have to be suspended. Assessment will need to be made to determine if more manual checks will be necessary. Two part checks will be needed.
5. If the main check signers are not available, then alternates will need to be arranged.
6. Checks will still need to be written to the appropriate FOAPALS. A manual chart of Accounts is obtained from General Ledger.
7. Payments can be made by check requests. Check requests should include proper documentation, authority, and FOAPAL to charge the check to. Copies of the appropriate backup should be attached to the check requests. The carbon copy of the check will be attached to the backup.
8. Payment can be made against an existing purchase order. A manual matching of the invoice against the purchase order is required.
9. The Cash reconciliation specialist will have the proper cash balance from the day prior. Should that not be available, BOA should be able to give an accurate balance because of the positive pay files. A check register will be kept keeping a running total of that balance as checks are written. The check register will indicate the FOAPAL that the check is being written on, the vendor, and the amount paid.
10. Once BANNER is running, all invoice documents are entered into BANNER using FAAINVE. From this process a document number is obtained. All manual checks can

then be matched to these document numbers using the FAAONLC screen. The “manual check” option will have to be checked.

All the above can be run on a laptop if one is available. Spreadsheets can be used to record the check register.

The length of time needed to enter data into the Banner system is totally dependent on the time of the outage and availability of the system during that crisis period.

All the above can be run on a laptop if one is available. Spreadsheets can be used to record the check register.

Appendix G

Essential Functions

For

Educational and

Student Services

Notes:

Educational and Student Services has a complete Crisis Management Plan that is located in each division and at strategic locations throughout the campus.

The functions included in this plan represent a summary of the larger plan.

Appendix H

State of Arkansas Purchasing Regulations

Arkansas State Purchasing Regulations

ARKANSAS STATE PURCHASING REGULATIONS: The appropriate regulations are quoted below.

"19-11-233. Emergency procurements.

The State Purchasing Director, the head of a purchasing agency, or a designee of either officer may make or authorize others to make emergency procurements as defined in _ 19-11-204(9) and in accordance with regulations promulgated by the director.

R1:10-11-233. Emergency Procurements.

(A) Bids. The State agency must, at a minimum, receive three (3) competitive bids unless the emergency is critical. The quotation abstract must show the names of at least three (3) firms contacted in attempting to obtain competition.

(B) Approval. All emergency procurements shall be approved in advance by the State Purchasing Director, the head of a purchasing agency, or a designee of either officer. Where time or circumstance does not permit prior approval, approval must be obtained at the earliest practical date. Requests for approval shall be made in writing and shall include:

(1) a copy of the purchase order;

(2) a copy of the quotation abstract; and

(3) a written explanation of the emergency.

(C) Reports. Reports, which may include a copy of the purchase order, quotation abstract and explanation for the previous month on emergency procurements, shall be submitted by each Agency Purchasing Official to the State Purchasing Director no later than the tenth of the month following the reporting period.

(D) Tie Bids. In the event the lowest prices offered result in a tie bid, the person responsible for awarding a contract must insure that (1) all offers meet specifications and (2) Arkansas Preference does determine award. After the above-listed determinations are made, an award will be made by lot (flip of a coin). The coin flip will be done by the person responsible for awarding the contract in the presence of a witness. The witness must be an employee of the State of Arkansas. A documentation of the coin flip must be included on the tabulation or bid history sheet and be signed by both parties."

Appendix I

Purchasing Procedures and Forms

Purchasing Procedures and Forms

EMERGENCY REQUISITION PROCEDURES:

Obtain a Requisition number from Computing Services Requisition number list.

Fill-in Quotation Abstract Item Description Page with descriptions of items and/or services for which quotations are being solicited (e.g., equipment make and model numbers, installation services for equipment/software listed, etc.)

Quotation Abstract

Item Description Page

Unit	Extended Hardware/Software Description	Quantity	Price	Price
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Enter description of equipment here

Shipping and Handling charges, FOB Little Rock, Arkansas _____

TOTAL: _____

Delivery Time: _____ days.

FAX the Item Description Page to at least three vendors likely to be able to provide needed goods or services. Call the vendor to insure that they know the FAX has been sent and understand the need for a quick response. Timeframes for responses can be very short; just be reasonable for the goods requested.

Summarize the vendor responses to the Quotation Abstracts on the Quotation Abstract, Quotation Summary Page.

Quotation Abstract

Quotation Summary Page

Requisition Number: _____

Date: _____

Person Requesting: _____

Phone: _____

Bidders contacted: (at least three; attach additional abstracts if necessary)

Company Name: _____

Address: _____

Contact: _____

Phone: _____

FAX: _____

Quote: _____

Company Name: _____

Address: _____

Contact: _____

Phone: _____

FAX: _____

Quote: _____

Company Name: _____

Address: _____

Contact: _____

Phone: _____

FAX: _____

Quote: _____

Attach the vendor responses, any contacts or agreements, and the Quotation Summary Page to Requisition(s) made out for the lowest qualified bids.

If quotations are completed during normal University business hours, provide the Requisition, Quotation Abstracts, and any contracts to the Purchasing Office for issuance of Purchase Orders. Due to the immediate need, Purchase Order numbers should be called to the appropriate vendor or copies should be Faxed, depending upon the policies of the vendor(s) receiving the order(s).

If the quotations are completed after hours, instruct the appropriate vendors to proceed with processing the order. Obtain the purchasing approvals and Purchase Orders as soon as possible during the next available business hours.

If no University purchasing staff are available due to the nature of the disaster, instruct the appropriate vendors to proceed with processing the order, and forward Requisition(s) and Quotation Abstract(s) to the Office of State Purchasing for issuance of Purchase Order(s).

Glossary

BCP – Business Continuity Plan – A clearly defined and documented plan for use at the time of a Business Continuity Emergency, Event, Incident and/or Crisis. Typically a plan will cover the key personnel, resources, services and actions required to manage a crisis management process.

BIA - Business Impact Analysis – a methodology for defining an organization’s mission critical processes, functions and systems. Refer to Section 2 for the BIA for UALR.

CMT – Crisis Management Team – a designated team responsible for managing the university in the event of a crisis or disaster.

Cold Site - A site (data center/ work area) equipped with appropriate environmental conditioning, electrical connectivity, communications access, configurable space and access to accommodate the installation and operation of equipment by key employees required to resume business operations.

Crisis – an event that disrupts normal business operations by rendering the technical infrastructure inoperable for a period of two to five days.

Disaster – any event which disables or interrupts the ability to maintain a business as usual environment for a period exceeding five days.

EOC – Emergency Operations Center – a specific location to convene in the event of a crisis or disaster.

Environmental and natural threats: Events caused by nature that have the potential to impact an organization.

ERT – Emergency Response Team – responsible for the initial damage assessment and for ensuring health, life and safety issues are addressed.

Event - Any occurrence that may lead to a business continuity incident.

Hazard or threat identification - the process of identifying situations or conditions that have the potential to cause injury to people, damage to property, or damage to the environment.

Hot Site - A site (data center, work area) that provides a BCM facility with the relevant work area recovery, telecommunications and IT interfaces and environmentally controlled space capable of providing relatively immediate backup data processing support to maintain the organization’s Mission Critical Activities.

High availability – systems that are available 24/7 without down time for maintenance.

Human threats - possible disruptions in operations resulting from human actions. (i.e., disgruntled employee, terrorism, blackmail, job actions, riots, etc.)

Infrastructure - A building and all of its supporting services. Infrastructure is usually divided into technology infrastructure (e.g. computers, cabling, telephony, etc.) and real estate infrastructure (e.g. buildings, utility supplies, air-conditioning, etc.).

Mission Critical Activities - The critical operational and/or business support activities (either provided internally or outsourced) without which the organization would quickly be unable to achieve its business objective(s) i.e. services and/or products.

MOA – Memorandum of Agreement – an agreement between two or more parties documenting what action has been agreed upon in a given situation.

Risk Analysis - The systematic process of identifying the nature and causes of risks to which an organization could be exposed and assessing the likely impact and probability of those risks occurring.

Risk Assessment - The overall process of risk identification, analysis and evaluation.

Risk Assessment Matrix – a methodology for identifying potential and classifying them by likelihood of occurrence,

RPO – recovery point objective – the point in time in which data can be recovered after a disaster.

RTO – recovery time objective – the time frame it takes to recover a system.

Single Point of Failure - The only (single) source of a service, activity and/or process i.e. there is no alternative, whose failure would lead to the total failure of a Mission Critical Activity and/or dependency.

Threat – an event that causes disruption in the normal university operating environment for a period exceeding two days.

Uninterrupted Power Supply (UPS) - Equipment (usually a bank of batteries) that offers short-term protection against power surges and outages. Note that UPS usually only allows enough time for vital systems to be correctly powered down.

Virus - An unauthorized program that inserts itself into a computer system and then propagates itself to other computers via networks or disks. When activated, it interferes with the operation of the computer systems.

Warm Site - A site (data center/ work area) which is partially equipped with hardware, communications interfaces, electricity and environmental conditioning capable of providing backup operating support.