

FINANCE & ADMINISTRATION SECTION

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CHECKLIST

Finance Section Chief (Page 1 of 3)

Name: _____ **Date:** _____ **Time:** _____

Reports to:	EOC Director	
Location:	Emergency Operations Center (EOC)	
Primary Responsibilities:	<ul style="list-style-type: none"> • Prepare periodic expense and cost summary reports of disaster related expenses for the EOC Director. • Assist with business decisions regarding cost/benefit of services and strategies. • Direct the documentation process for the FEMA disaster assistance application. • Direct and oversee the Accounting, Purchasing, FEMA and Insurance Documentation, and Grants/Programs functions and staff. • Assess short and long-term financial impacts of the emergency and recommend appropriate actions. 	
Support Responsibilities:	<ul style="list-style-type: none"> • Support all EOC positions with tracking expenses, maintaining source documents, and related personnel and insurance claims requirements. • Support the EOC Director with business decisions, by providing financial data and analysis. 	
Equipment/Supplies:	<ul style="list-style-type: none"> • EOC to provide phone, internet access for E-mail, and basic office supplies. • Individual to bring: cell phone, laptop, PDA, spare batteries, chargers, phone lists and reference materials specific to their function (I.e.: Accounting system materials, budget information and financial reporting materials, insurance policy information). 	
PROCEDURES		TIME/ DATE
EMERGENCY RESPONSE:		
1. Report to the EOC. Sign in with the EOC Support Staff. Immediately get a report on emergency conditions and situations. Begin a log of your activities and keep it current throughout the emergency response.		
2. Activate and organize the Finance Team, making sure emergency account numbers are set up. Brief EOC staff on the use of the numbers and the process for providing source documents of orders, invoices and receipts to the Finance Team.		

CHECKLIST
Finance Section Chief (Page 2 of 3)

PROCEDURES	TIME/ DATE
<i>EMERGENCY RESPONSE (Cont.):</i>	
4. Assist the EOC Director and other Section Chiefs in the EOC with tracking and filing source documentation. Provide disaster accounting numbers as needed for tracking and accounting costs.	
5. If this is a widespread disaster, activate the Insurance and FEMA Documentation Units to begin the documentation process for disaster assistance programs.	
6. Prepare a summary report to be forwarded to the City/County of San Francisco Operational Area Emergency Operations Center. Submit the report to the EOC Director for approval and transmission. Refrain from providing total cost and/or damage estimates before the accounting is completed. There is no penalty for overestimating and often it is difficult to increase early estimates which are significantly lower than actual cost/losses.	
6. Direct the establishment of insurance claim documentation files for each major site, with expenses tracked by site.	
7. Obtain information from Accounting and review total costs to date and potential expenses from ongoing operations.	
8. Working with key staff in the EOC, conduct an analysis to determine fiscal impacts from emergency operations and interruption to UCSF services.	
9. Calculate the estimated total cost recovery from insurance and FEMA disaster assistance.	
10. If normal University operations will be interrupted for more than three days, provide estimates to the EOC Director of impacts to grants, program budgets, estimated loss of revenue and other budget considerations.	
<i>DEACTIVATION/RECOVERY:</i>	
1. Direct the post-emergency accounting transition to normal operations.	
2. Assist with preparing a summary report of the damage and incidents that occurred.	
3. Analyze the financial impact of the disaster on UCSF, including insurance cost recovery amounts; assess the short and long-term impacts.	

CHECKLIST
Finance Section Chief (Page 3 of 3)

PROCEDURES	TIME/ DATE
DEACTIVATION/RECOVERY (Cont.):	
4. Recalculate the following budgets: <ul style="list-style-type: none"> • Capital Improvements Program, for emergency and mitigation projects • Labor and benefits • Outside contracts and services • Capital purchases 	
5. De-activate your position in the EOC as directed by the Logistics Section Chief.	
6. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.	
7. Ensure return/retrieval of equipment and supplies and return all assigned EOC equipment.	
8. Upon deactivation of your position, brief the EOC Director, as appropriate, on current problems, outstanding issues, and follow-up requirements.	
9. Upon deactivation of your position, ensure all documentation and Operational Logs (ICS Form 214) are submitted to the Planning Section.	
10. Submit comments to the Planning Section as appropriate for discussion and possible inclusion in the after-action report; topics may include: <ul style="list-style-type: none"> • Review of pertinent position descriptions and operational checklists • Recommendations for procedure changes • Section accomplishments and issues • Emergency Response/Recovery plans, procedures activities that need improvement or worked well. 	

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CHECKLIST

Cost Unit (Page 1 of 3)
(Formerly Accounting Unit)

Name: _____ **Date:** _____ **Time:** _____

Reports to:	Finance Section Chief.	
Location:	Emergency Operations Center (EOC).	
Primary Responsibilities:	<ul style="list-style-type: none"> • Set up and manage the emergency accounting system, including documentation of all emergency expenses. • Audit all expenditures to verify budget accounts, invoices and documentation. 	
Support Responsibilities:	<ul style="list-style-type: none"> • Support the insurance claims process and status reporting on the total expenditure and project costs of the emergency. • Support the FEMA documentation process. • Support purchasing with providing account codes and maintaining documentation. • Support Grants/Programs with financial data. 	
Equipment/Supplies:	<ul style="list-style-type: none"> • EOC to provide phone, internet access for E-mail, and basic office supplies. • Individual to bring: cell phone, laptop, PDA, spare batteries, chargers, phone lists and reference materials specific to their function. (I.e.: Accounting system information and materials). 	
PROCEDURES		TIME/ DATE
EMERGENCY RESPONSE:		
1. Report to the EOC. Sign in with the EOC Support Staff. Immediately get a report on emergency conditions and situations. Begin a log of your activities and keep it current throughout the emergency response.		
2. Set up the emergency account numbers and notify all EOC staff. This includes assigning account numbers and expense code numbers and arranging to receive copies of all accounting documentation. Set up the Accounting function, by computer. If the power is out, use a manual system. *See EOC Chartfields (2018)		
3. Track all equipment and supplies that are ordered.		

CHECKLIST

Cost Unit (Page 2 of 3)

PROCEDURES	TIME/ DATE
<i>EMERGENCY RESPONSE (Cont.):</i>	
4. Obtain copies of all purchase orders, contracts, labor-hour reports and other expense records pertaining to the emergency response.	
5. As soon as possible, provide a disaster cost estimate report to the Finance Team Leader, updating the report as requested.	
6. At the end of each 24-hour period and as directed, total all expenses and costs of the emergency. Include labor and equipment charges, as well as purchases and contracts.	
6. Work closely with Insurance to provide copies of expenses, by site, for insurance claims. Get copies of timesheets and other field documentation to support expense figures.	
7. Assist purchasing, as required, for extended emergency operations.	
8. Provide financial detail for Grants/Program analysis.	
9. If this is a major disaster, set up an accounting file by site; prepare files to provide detail on force account labor, individual invoices for expenses, time records, etc. Maintain the files throughout the emergency and forward for FEMA documentation. (It is helpful to organize the files as binders, with duplicates prepared for the disaster assistance program application.)	
<i>DEACTIVATION/RECOVERY:</i>	
1. De-activate your position in the EOC as directed by the Finance Section Chief.	
2. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.	
3. Ensure return/retrieval of equipment and supplies and return all assigned EOC equipment.	
4. Upon deactivation of your position, brief the Finance Section Chief on current problems, outstanding issues, and follow-up requirements. Be prepared to perform the following from your office after deactivation until no longer necessary: <ul style="list-style-type: none"> • Support the insurance claims process. • Support the FEMA disaster application process • Assist with the Grants/Programs analysis report. 	

CHECKLIST

Cost Unit (Page 3 of 3)

PROCEDURES	TIME/ DATE
DEACTIVATION/RECOVERY: (Cont.):	
5. Upon deactivation of your position, ensure all documentation and Operational Logs (ICS Form 214) are submitted to the Finance Section Chief or Planning Section, as appropriate.	
6. Submit comments to the Finance Section Chief, or Planning Section as appropriate for discussion and possible inclusion in the after-action report; topics may include: <ol style="list-style-type: none"> 1. Review of pertinent position descriptions and operational checklists 2. Recommendations for procedure changes 3. Section accomplishments and issues 4. Emergency Response/Recovery plans, procedures activities that need improvement or worked well. 	

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CHECKLIST

FEMA Claims (Page 1 of 3)

Name: _____ **Date:** _____ **Time:** _____

Reports to:	Finance Section Chief	
Location:	Emergency Operations Center (EOC)	
Primary Responsibilities:	<ul style="list-style-type: none"> • Monitor local, state and federal emergency operations center sit reps and public information announcements for CalEMA ,FEMA and other federal disaster related public assistance, grant and loan announcements, FEMA Post-Disaster Briefings, or application deadlines. • Prepare and maintain the FEMA documentation information package • Maintain the documentation files, supporting the disaster assistance application process 	
Support Responsibilities:	<ul style="list-style-type: none"> • Assist EOC staff with FEMA source documentation as detailed in Annex FEMA. 	
Equipment/Supplies:	<ul style="list-style-type: none"> • EOC to provide phone, internet access for E-mail, and basic office supplies. • Individual to bring: cell phone, laptop, PDA, spare batteries, chargers, phone lists and reference materials specific to their function. (I.e.: Annex FEMA, FEMA/CalEMA Documentation Procedures; FEMA Public Agency Application Packet (issued after disasters)) 	
PROCEDURES		TIME/ DATE
EMERGENCY RESPONSE:		
1.	Report to the EOC, if the emergency is severe. Sign in with the EOC Support Staff. Immediately get a report on emergency conditions and situations. Begin a log of your activities and keep it current throughout the emergency response.	
2.	Consult with Insurance/Risk management Unit to review insurance policy coverage and identify uncovered damage/loss eligibility for State and Federal Disaster Assistance claims.	
3.	Set up files for each claim and include photos, damage estimates, and other supporting documentation.	
4.	Review the FEMA documentation information contained in Annex FEMA.	

CHECKLIST
FEMA Claims (Page 2 of 3)

PROCEDURES	TIME/ DATE
EMERGENCY RESPONSE (Cont.):	
6. Coordinate with the EOC Director and all Section Chiefs to obtain source documentation for every FEMA eligible expense. Refer to Annex FEMA.	
7. Set up and maintain a FEMA binder or other system, <u>and a duplicate</u> , for documentation information.	
8. Notify the three "Authorized Agents" listed on CA OES Form 130SA (see Appendix F: Forms "Authorized Agent Delegation"), providing them with your contact information and request to be notified of any notifications they may receive of Disaster Assistance briefings or applicant meetings.	
9. Contact <u>the affected County</u> for information on the FEMA Post-Disaster Briefing meeting (usually held two weeks after a federally declared disaster). Make arrangements to attend the briefing with a representative appointed by the Finance Section Chief and be prepared to submit a Notice of Interest at that time. Note that FEMA makes adjustments and changes to the FEMA Disaster Assistance Application process after every declared disaster. The process used in previous disasters may have been changed. The new packet of information should be review thoroughly to determine current correct procedures for notification and application.	
10. Follow the instructions given at the briefing and contained in the materials provided there. Make sure there is a valid document on file to substantiate every expense listed in the UCSF application.	
DEACTIVATION/RECOVERY:	
1. Manage the FEMA disaster assistance application process. Keep a duplicate of the FEMA binder ready for inspection and review during the application and reimbursement process. Maintain the records for a minimum of seven years after final payment.	
2. De-activate your position in the EOC as directed by the Finance Section Chief.	
3. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.	
4. Ensure return/retrieval of equipment and supplies and return all assigned EOC equipment.	
5. Upon deactivation of your position, brief the Finance Section Chief on current problems, outstanding issues, and follow-up requirements.	

CHECKLIST
FEMA Claims (Page 3 of 3)

PROCEDURES	TIME/ DATE
<i>DEACTIVATION/RECOVERY: (Cont.):</i>	
7. Upon deactivation of your position, ensure all documentation and Operational Logs (ICS Form 214) are submitted to the Finance Section Chief or Planning Section, as appropriate.	
8. Submit comments to the Finance Section Chief, or Planning Section as appropriate for discussion and possible inclusion in the after-action report; topics may include: <ul style="list-style-type: none"> • Review of pertinent position descriptions and operational checklists • Recommendations for procedure changes • Section accomplishments and issues • Emergency Response/Recovery plans, procedures activities that need improvement or worked well. 	

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CHECKLIST

Insurance/Risk Management (Page 1 of 2)

Name: _____ **Date:** _____ **Time:** _____

Reports to:	Finance Section Chief	
Location:	Emergency Operations Center (EOC)	
Primary Responsibilities:	<ul style="list-style-type: none"> • Prepare and maintain insurance documentation files and manage the insurance claims process. • Assess the liability of UCSF in any claims made against the University. • Coordinate activities and information with UC global travel insurance and emergency assistance carriers as applicable for national and international emergencies affecting UCSF staff, faculty and students. 	
Support Responsibilities:	<ul style="list-style-type: none"> • Assist FEMA Claims Unit with defining scope of UCOP & UCSF Insurance coverage and policies in support of filing for state and federal disaster assistance. • Maintain the documentation files, supporting the disaster assistance application process. 	
Equipment/Supplies:	<ul style="list-style-type: none"> • EOC to provide phone, internet access for E-mail, and basic office supplies. • Individual to bring: cell phone, laptop, PDA, spare batteries, chargers, phone lists and reference materials specific to their function (I.e.: Insurance policies and other pertinent insurance information). 	
PROCEDURES		TIME/ DATE
EMERGENCY RESPONSE:		
1.	Report to the EOC, if the emergency is severe. Sign in with the EOC Support Staff. Immediately get a report on emergency conditions and situations. Begin a log of your activities and keep it current throughout the emergency response.	
2.	Review all insurance policies and assess eligibility for claims.	
3.	Set up files for each insurance claim and include photos, damage estimates, and other supporting documentation.	
4.	Advise the EOC Manager of any potential insurance claims that may be filed against UCSF. Assess the potential liability and coverage in any claims made against the University for damage, employee injury on site, or other situation.	

CHECKLIST

Insurance/Risk Management (Page 2 of 2)

PROCEDURES	TIME/ DATE
EMERGENCY RESPONSE (Cont.):	
5. Set up and maintain Insurance binders for each policy or other system, <u>and a duplicate</u> , for documentation information.	
6. Monitor the current reporting systems for Travel Insurance and emergency assistance services for UCSF personnel and students traveling to national and international regions affected by emergencies or disasters, and coordinate support and communications needs between UCSF, the carriers, and traveling staff, students and faculty.	
7. Coordinate with the FEMA Claims Unit to assure uncovered loses and damages may be identified for possible eligibility for State or Federal disaster assistance.	
DEACTIVATION/RECOVERY:	
1. De-activate your position in the EOC as directed by the Finance Section Chief.	
2. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.	
3. Ensure return/retrieval of equipment and supplies and return all assigned EOC equipment.	
4. Upon deactivation of your position, brief the Finance Section Chief on current problems, outstanding issues, and follow-up requirements. Be prepared to perform the following from your office after deactivation until no longer necessary: <ul style="list-style-type: none"> • Recommend the filing of insurance claims and obtain authorization to process them. • Coordinate with the insurance company representatives/claims adjusters and arrange for inspections of the damaged buildings and facilities. • Follow-up with the insurance process until it is completed and final payment is received. 	
5. Upon deactivation of your position, ensure all documentation and Operational Logs (ICS Form 214) are submitted to the Finance Section Chief or Planning Section, as appropriate.	
6. Submit comments to the Finance Section Chief, or Planning Section as appropriate for discussion and possible inclusion in the after-action report; topics may include: <ul style="list-style-type: none"> • Review of pertinent position descriptions and operational checklists • Recommendations for procedure changes • Section accomplishments and issues • Emergency Response/Recovery plans, procedures activities that need improvement or worked well. 	

CHECKLIST

Procurement Unit (Page 1 of 3)

(Formerly Purchasing Unit)

Name: _____ **Date:** _____ **Time:** _____

Reports to:	Finance Section Chief
Location:	Emergency Operations Center (EOC)
Primary Responsibilities:	<ul style="list-style-type: none"> • Order, emergency supplies, resources, and services. • Set up contracts, purchase orders, and other purchasing documents. • Ensure accounting has the necessary purchasing information to arrange for payment of all emergency purchases, contracted services, and other emergency response related expenses. • Conduct the procurement process to ensure FEMA reimbursement. • Keep complete and accurate records, using designated emergency account numbers.
Support Responsibilities:	<ul style="list-style-type: none"> • Support Accounting and Grants/Programs with financial data and information. • Assist with insurance claims and FEMA documentation. • Assist with the deactivation process.
Equipment/Supplies:	<ul style="list-style-type: none"> • EOC to provide phone, internet access for E-mail, and basic office supplies. • Individual to bring: cell phone, laptop, PDA, spare batteries, chargers, phone lists and reference materials specific to their function (I.e.: Procurement and purchasing materials and information).
PROCEDURES	
TIME/ DATE	
EMERGENCY RESPONSE:	
1. Report to the EOC. Sign in with the EOC Support Staff. Immediately get a report on emergency conditions and situations. Begin a log of your activities and keep it current throughout the emergency response.	
2. Meet with the Resources and Logistics Section to discuss the inventory of the available campus resources, including supplies, equipment, and services. Based on the estimated duration of the emergency, anticipate the need for procurement of services, supplies and equipment. Provide support to the Resources and Logistics Section in identifying vendors and suppliers. Remember to account for all logistical arrangements for delivery. When procuring emergency supplies and services, ask the vendors to provide as much detail as possible in their invoices. This will assist in providing adequate documentation for FEMA applications.	
3. Set up the emergency purchasing account numbers and invoice system. Establish an emergency Purchase Order process. Establish an emergency contract process.	

CHECKLIST

Procurement Unit (Page 2 of 3)

PROCEDURES	TIME/ DATE
EMERGENCY RESPONSE (Cont.):	
5. Work with the Food and Water/Care & Shelter to determine needs for the EOC staff, and University emergency workers and displace personnel sheltering on UCSF property. Needs include food, water, shelter, and sanitation and begin the process for purchasing essential supplies.	
6. When arranging for purchasing, ensure that all arrangements for delivery, distribution, and payment of the needed resources have been mutually agreed upon. Communicate delivery and payment information to the Resources and Logistics Section, as needed.	
7. Verify purchase authorizations with the Finance Section Chief. Process the orders. Ensure that purchasing procedures are consistent with the emergency accounting process. Conduct the purchasing process according to the applicable guidelines for disaster reimbursement, in order to maximize the financial recovery.	
8. Provide copies of invoices and purchase orders, contracts, and other transaction records to EOC staff, who need this information, and FEMA/Insurance Documentation including, Accounting, and FEMA/Insurance Documentation.	
9. Keep complete and accurate records for FEMA documentation.	
10. Verify the delivery of procured goods and services.	
DEACTIVATION/RECOVERY:	
1. Work with Finance Team members to provide accurate records and documentation to support all emergency purchases, contracts, and other transactions.	
2. Assist with the deactivation process, tracking the return of equipment and supplies, the cessation of services no longer needed and shut-down of temporary services.	
3. De-activate your position in the EOC as directed by the Finance Section Chief.	
4. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.	
5. Ensure return/retrieval of equipment and supplies and return all assigned EOC equipment.	
6. Upon deactivation of your position, brief the Finance Section Chief on current problems, outstanding issues, and follow-up requirements. Be prepared to perform the following from your office after deactivation until no longer necessary: <ul style="list-style-type: none"> • Transfer all reports, files, claims and investigations to normal operations for continued management. Also transfer any open contracts, purchases and/or other transactions to the appropriate department. • Arrange for final invoicing and payment of contracted services as they are terminated. 	

CHECKLIST

Procurement Unit (Page 3 of 3)

PROCEDURES	TIME/ DATE
DEACTIVATION/RECOVERY: (Cont.):	
7. Upon deactivation of your position, ensure all documentation and Operational Logs (ICS Form 214) are submitted to the Finance Section Chief or Planning Section, as appropriate.	
8. Submit comments to the Finance Section Chief, or Planning Section as appropriate for discussion and possible inclusion in the after-action report; topics may include: <ul style="list-style-type: none"> • Review of pertinent position descriptions and operational checklists • Recommendations for procedure changes • Section accomplishments and issues • Emergency Response/Recovery plans, procedures activities that need improvement or worked well. 	

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CHECKLIST

Grants/Programs (Page 1 of 2)

Name: _____ **Date:** _____ **Time:** _____

Reports to:	Finance Section Chief.	
Location:	Emergency Operations Center (EOC).	
Primary Responsibilities:	<ul style="list-style-type: none"> • Review and Track the impact of the disaster on research programs. • Prepares early notification to NIH and other Grantors regarding the impact of the disaster, as needed to maintain funding processes. • Works with the Critical Programs and Academic Coordinators to evaluate the need for additional funds or opportunities for expansion of grants and scope to include changed conditions as a result of the emergency. 	
Support Responsibilities:	<ul style="list-style-type: none"> • Support the EOC Director and the Critical Programs and Academic Coordinators in determining short-term and long-range recovery strategies for NIH and Grantor reporting and notification. 	
Equipment/Supplies:	<ul style="list-style-type: none"> • EOC to provide phone, internet access for E-mail, and basic office supplies. • Individual to bring: cell phone, laptop, PDA, spare batteries, chargers, phone lists and reference materials specific to their function (I.e.: UCSF Financial data and grant funded program information). 	
PROCEDURES		TIME/ DATE
EMERGENCY RESPONSE:		
1. Report to the EOC. Sign in the EOC Support Staff. Immediately get a report on emergency conditions and situations. Begin a log of your activities and keep it current throughout the emergency response.		
2. Meet with the Planning and Intelligence Section or Building and Facilities Branch Chief to determine the status of buildings and facilities. Identify impacted grant funded research programs which may be affected by the damage to facilities.		
3. Meet with the Critical Programs and Academic Coordinators to conduct an analysis to determine fiscal impacts from emergency operations and interruption to UCSF educational services and related grant programs. Determine the basic message to NIH and other grantors regarding the status of grant funded programs. Determine the process for notification and coordinate with the researchers to ensure consistency in message and mutual understanding of process.		
4. If possible, calculate the estimated total cost impacts of the disaster on the grant funded programs.		

CHECKLIST

Grants/Programs (Page 2 of 2)

PROCEDURES	TIME/ DATE
<i>EMERGENCY RESPONSE : (Cont.):</i>	
5. Based on the findings (in item #4), develop recommendations for grant funding strategies and/or for expanding existing grant programs, if able to include new findings from the disaster.	
6. Prepare financial analysis information regarding the grant-funded programs to support decision-making processes.	
<i>DEACTIVATION/RECOVERY:</i>	
1. Prepare a budget statement and report for the emergency.	
2. Forward to the Finance Team Leader.	
3. Revise this checklist as needed.	
9. De-activate your position in the EOC as directed by the Finance Section Chief.	
10. Do not delete or destroy any written documents or e-mail correspondence related to your EOC activities.	
11. Ensure return/retrieval of equipment and supplies and return all assigned EOC equipment.	
12. Upon deactivation of your position, provide a summary report of Grants/Programs actions taken and related information. Brief the Finance Section Chief on current problems, outstanding issues, and follow-up requirements.	
13. Upon deactivation of your position, ensure all documentation and Operational Logs (ICS Form 214) are submitted to the Finance Section Chief or Planning Section, as appropriate.	
14. Submit comments to the Finance Section Chief, or Planning Section as appropriate for discussion and possible inclusion in the after-action report; topics may include: <ul style="list-style-type: none"> • Review of pertinent position descriptions and operational checklists • Recommendations for procedure changes • Section accomplishments and issues • Emergency Response/Recovery plans, procedures activities that need improvement or worked well. 	