

TABLE OF CONTENTS

15. ANNEX I..... 15-1

15.1 PURPOSE..... 15-1

15.2 SITUATION AND ASSUMPTIONS..... 15-1

 15.2.1 SITUATION 15-1

 15.2.2 ASSUMPTIONS 15-1

15.3 GENERAL PROCEDURES AND RESPONSIBILITIES..... 15-2

 15.3.1 FINANCE/RISK MANAGEMENT ANNEX ORGANIZATIONAL CHART..... 15-2

15.4 PHASES OF EMERGENCY MANAGEMENT..... 15-4

 15.4.1 MITIGATION..... 15-4

 15.4.2 PREPAREDNESS 15-4

 15.4.3 RESPONSE 15-5

 15.4.3.1 Finance/Risk Management Section Chief..... 15-5

 15.4.3.2 Time Unit Leader 15-5

 15.4.3.3 Procurement Unit Leader 15-6

 15.4.3.4 Compensation/Claims Unit Leader 15-6

 15.4.3.5 Cost Unit Leader 15-7

 15.4.4 RECOVERY 15-8

CITY OF SPRINGFIELD EMERGENCY MANAGEMENT PLAN**15. ANNEX I: Finance/Risk Management**

→Lead Department: Finance, Human Resources
→Lead ICS Section: Finance/Risk Management

15.1 PURPOSE

The purpose of this Annex is to ensure that appropriate records are kept as required for local governments to obtain state and federal government reimbursement in the event of a disaster. These records include compilations of damages, deaths, injuries, and allocations of public and private resources. This Annex also provides for the maintenance of financial systems during all phases of an emergency in order to track incident costs and document incident information.

15.2 SITUATION AND ASSUMPTIONS**15.2.1 Situation**

During an emergency, accurate record-keeping facilitates expedient reimbursement to private organizations and other public agencies, in addition to facilitating reimbursement to the City through FEMA and insurance providers. Protection of City records storage systems, prior to and during an emergency, ensures continuity of at least minimal services to the public. Continuity of various financial systems during an emergency is critical to the City's ability to obtain equipment and/or supplies necessary for emergency management.

15.2.2 Assumptions

- An effective record-keeping system will significantly increase the City's ability to track expenditures and facilitate payment to vendors, employees, and other public agencies in a timely manner;
- An effective record-keeping system will provide accurate information to FEMA and insurance providers, ensuring timely and adequate reimbursement for disaster-related damages and expenditures;
- Depending on the nature and magnitude of an emergency, current record-keeping systems and storage mediums may be adversely affected, impacting the City's ability to continue performance of minimal business functions during and following an emergency;

- Depending on the nature and magnitude of an emergency, many City of Springfield electronic financial systems may not be operational, and alternate systems will need to be developed and maintained to facilitate payment to vendors, employees, and other public agencies.

15.3 GENERAL PROCEDURES AND RESPONSIBILITIES

When an emergency is declared and the EOC is activated, several record-keeping, reporting, financial, and risk management roles may come into play.

The Finance/Risk Management Section Chief will obtain a briefing from the EMO Incident Commander. The Finance/Risk Management Section Chief will then determine if additional emergency staff positions require activation. These positions include the Procurement Unit Leader, the Compensation/Claims Unit Leader, the Cost Unit Leader, and the Time Unit Leader.

The roles of the Finance/Risk Management Section will be filled with staff primarily from Finance and Human Resources. For purposes of this document and the emergency management process, the term *Finance/Risk Management Section* will be used to describe this emergency response unit.

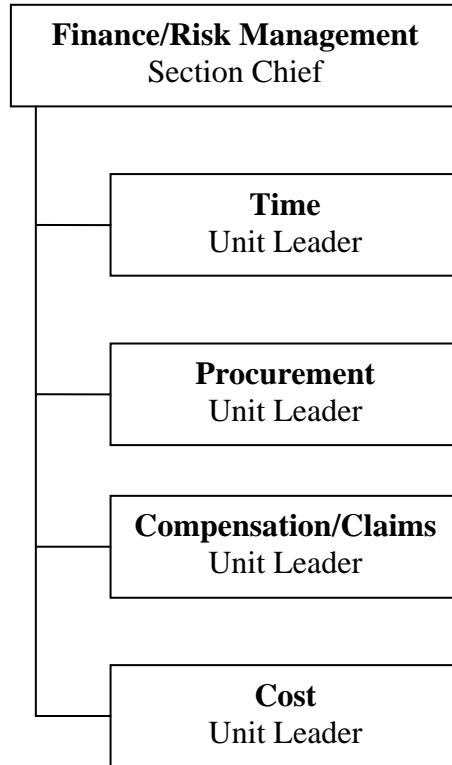
If an emergency occurs during the work day, Finance/Risk Management Section staff should return to their offices, if safe to do so, and await instruction from the Finance/Risk Management Section Chief.

If an emergency develops after hours or on a weekend, staff should stay by the phone and wait for instruction from the Finance/Risk Management Section Chief.

15.3.1 Finance/Risk Management Annex Organizational Chart

See the organizational chart on the following page.

CHAIN OF COMMAND
Finance/Risk Management Annex
Organizational Chart



15.4 PHASES of EMERGENCY MANAGEMENT**15.4.1 Mitigation****→ Departments Involved:**

- N/A

15.4.2 Preparedness**→ Departments Involved: Finance, Human Resources**

- Maintains insurance coverage; is familiar with various forms of coverage;
- Assesses which City records are vital to the continuity of operations during and after an emergency;
- Develops back-up records management, payroll, and purchasing systems;
- Determines retention schedules for various records generated during an emergency;
- Develops alternate locations of operation in the event an emergency affects availability of regular work locations;
- Trains appropriate personnel on method of requesting state, federal, and insurance reimbursement.

15.4.3 Response

→ Departments Involved: Finance, Human Resources

15.4.3.1 Finance/Risk Management Section Chief

Position:	Finance/Risk Management Section Chief
Responsible Department/Division:	Finance; Human Resources
Emergency Supervisor (title):	EMO Incident Manager
Reports to (location):	EOC
Applicable ICS Section:	Finance/Risk Management

The Finance/Risk Management Section Chief will coordinate all activities related to records management, procurement, claims and insurance management, and financial systems maintenance. Responsibilities include:

- Organizes and staffs section, as appropriate;
- Receives all procurement requests from other sections;
- Prioritizes requests for procurement; coordinates with EMO Incident Commander, if necessary, and submits requests to Procurement Unit Leader;
- Works with Logistics, as needed, to procure resources;
- Tracks all incident costs;
- Initiates, maintains, and ensures completion of documentation necessary to support claims for insurance and/or state and federal (FEMA) reimbursement.

15.4.3.2 Time Unit Leader

Position:	Time Unit Leader
Responsible Department/Division:	Finance
Emergency Supervisor (title):	Finance/Risk Management Section Chief
Reports to (location):	Finance--Library
Applicable ICS Section:	Finance/Risk Management

The Time Unit Leader is responsible for ensuring daily time records are prepared for personnel and equipment. Responsibilities include:

- Determines requirements for time recording function;
- Assists units in implementing system for collecting equipment time reports and ensuring that all reports can link to a specific incident location;
- Apprizes Finance/Risk Management Section Chief on unit status and activity;
- Establishes and maintains files for employee time reports;

- Ensures daily personnel time recording documents are prepared in compliance with time policy;
- Provides for and ensures records security.

15.4.3.3 Procurement Unit Leader

Position:	Procurement Unit Leader
Responsible Department/Division:	Finance
Emergency Supervisor (title):	Finance/Risk Management Section Chief
Reports to (location):	Finance--Library
Applicable ICS Section:	Finance/Risk Management

The Procurement Unit Leader is responsible for coordination of purchases, purchase orders, and general financial resource needs through all phases of an emergency. Responsibilities include:

- Maintains list of vendors and contractors;
- Receives and processes prioritized procurement requests from Finance/Risk Management Section Chief;
- Develops incident procurement plan;
- Maintains accounts payable record systems;
- Advises Finance/Risk Management Section Chief on needs and activities;
- Processes mutual aid requests;
- Provides cost data from contracts and/or rental agreements to Cost Unit Leader;
- Coordinates use of petty cash, as required;
- Prepares and signs emergency service agreements;
- Works with Logistics (Supply Unit) on incident procurement needs and special requirements;
- Establishes contracts with supply providers as required by Logistics;
- Organizes and directs equipment time recording function; advises Operations Section on establishing and maintaining a process for tracking equipment time on a daily/shift basis.

15.4.3.4 Compensation/Claims Unit Leader

Position:	Compensation/Claims Unit Leader
Responsible Department/Division:	Human Resources
Emergency Supervisor (title):	Finance/Risk Management Section Chief
Reports to (location):	Library
Applicable ICS Section:	Finance/Risk Management

The Compensation/Claims Unit Leader is responsible for managing all liability and Workers' Compensation claims during the Response and Recovery phases of an emergency, including communication and coordination with the City's insurance broker and insurance companies.

- Obtains briefing from Finance/Risk Management Section Chief;
- Establishes contact with incident Safety Officer, Liaison Officer, and department representatives;
- Ensures evidence is gathered, and claims and documentation is prepared, for events involving damage to public or private properties that could result in claims against the City;
- Ensures evidence is gathered, and claims documentation is prepared, for events involving damage to City property in order to support insurance claims;
- Processes Workers' Compensation claims;
- Processes employee death claims;
- Briefs subordinates on incident activities;
- Apprizes Finance/Risk Management Chief on unit status and activity;
- Maintains unit log.

15.4.3.5 Cost Unit Leader

Position:	Cost Unit Leader
Responsible Department/Division:	Finance
Emergency Supervisor (title):	Finance/Risk Management Section Chief
Reports to (location):	Finance--Library
Applicable ICS Section:	Finance/Risk Management

The Cost Unit Leader is responsible for collecting all cost data, performing cost analysis, providing cost estimates and cost savings recommendations.

Responsibilities include:

- Obtains and records all cost data;
- Collects and files all records generated by an emergency in an orderly manner, ensuring that a chronology of events can be reviewed for future plans and settlement of claims;
- Provides detailed reports to FEMA on costs and resource expenditures;

- Apprizes Finance/Risk Management Section Chief on unit status and activity;
- Collects and compiles personnel and resource cost data from other sections;
- Maintains cumulative incident cost records.

15.4.4 Recovery**→ Departments Involved: Finance, Human Resources**

- Provides work space for insurance and/or FEMA representatives, as needed;
- Continues tracking all expenses, records, and data relevant to disaster recovery efforts.

Annex I, Finance/Risk Mgmt	15-1	Procurement Lists	15-6
Assumptions		Procurement Unit Leader.....	15-6
Finance/Risk Mgmt	15-1	Purpose	
Chart		Finance/Risk Management	15-1
Finance/Risk Management	15-2	Records	
Compensation/Claims Unit Leader.....	15-7	Continuity of Operations	15-4
Contractors	15-6	Employee Time Reports.....	15-6
Cost Unit Leader.....	15-7	Record Keeping.....	15-1
Emergency Operations Center (EOC)	15-2	Retention Schedule.....	15-4
FEMA	15-1	Storage.....	15-1
Finance	15-1	Recovery	
Finance/Risk Management	15-1	Finance/Risk Management	15-8
Finance/Risk Management Section Chief... 15-2, 15-5		Response	
Human Resources	15-1	Finance/Risk Management	15-5
Incident		Risk Management	15-1
Cost Tracking	15-1	Situation	
Mitigation		Finance/Risk Management	15-1
Finance/Risk Management	15-4	Time Unit Leader.....	15-5
Preparedness		Vendors	15-6
Finance/Risk Management	15-4		