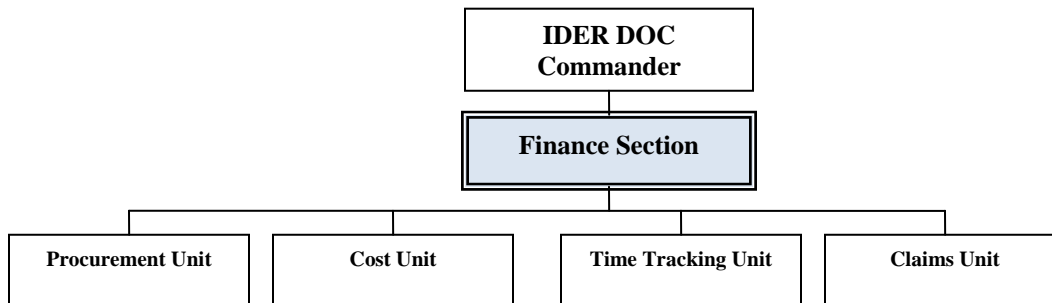


## 35. FINANCE SECTION

### A. ORGANIZATION CHART



### B. DESCRIPTION

#### a. Purpose & Objectives

The Purpose of the Finance Section is to facilitate the purchase and reimbursement of resources utilized in the infectious disease emergency response. Finance Section objectives include:

- Track hours worked by response staff for local, state, and federal reimbursement.
- Facilitate purchasing of supplies necessary for the emergency response.
- Monitor multiple sources of funds.
- Track and report to the Incident Commander the financial cost of the IDER response.

#### b. Methods

The Finance Section utilizes the following methods to achieve objectives:

**Procurement.** All financial matters related to the purchase of supplies and services for the emergency event are managed by the Procurement Unit. The Unit will ensure that proper purchasing protocols are utilized throughout the response. The Unit will generate purchase requisitions, obtain purchase order approvals, manage vendor contracts, and conduct all financial transactions with vendors.

**Cost Tracking.** All financial tracking and reporting for the response are managed by the Cost Unit. The Unit will ensure that all incident-associated costs are captured using existing standard DPH methodologies as well as alternate response-specific mechanisms. The Unit will produce cost reports and projects to decision-makers in the IDER organization to help inform and shape the response objectives and strategies.

**Time Tracking.** The Time Tracking Unit is responsible for ensuring the accurate recording of personnel time and compliance with agency and donor reporting policies. The Time Tracking Unit will maintain time records for all personnel assigned to the incident in preparation for cost-recovery reporting after the response. The Unit will coordinate with the payroll departments to ensure that payroll processing for response staff occurs in a timely fashion.

**Claims Processing.** All workmen's comp, property damage, and other claims resulting from the activation will be received and processed by the Claims Unit. The Unit will ensure that proper procedures are followed.

## C. IMPLEMENTATION

### a. Finance Section

Always activate the Finance Section, Cost Unit, and Time Tracking Unit. Consider activation of other Units if it is necessary to purchase goods or services and/or if claims are received or anticipated.

The Finance Section is responsible for managing the direct financial needs of the incident. In an incident requiring EOC activation, some or all finance functions may be performed at the EOC. The Finance Section Chief will determine which Units are required for the response and will activate the appropriate Units, after approval by the Incident Commander.

#### *Functions*

- Manage all financial functions for the response.
- Regularly provide updated financial information on the cost of the response, cost analysis information, and projected expenditures at Command Staff meetings and as needed.
- Meet with assisting and cooperating agency representatives to ensure financial processes are adhered to.
- Maintain daily contact with the EOC on finance matters. This is particularly critical in proclaimed disasters where State and Federal reimbursement is likely.
- Ensure that all personnel time records are accurately completed and transmitted to home agencies, according to policy.
- Provide financial input to demobilization planning.
- Ensure that all claims, invoices, purchase orders, etc. are properly executed.
- Brief Incident Commander and EOC or DPH management personnel on all incident-related financial issues.

## D. STAFF POSITIONS

The following positions are required for minimum staffing levels.

| <b>Staff Position Roster</b> |  |  |                                 |                 |
|------------------------------|--|--|---------------------------------|-----------------|
| <b>Job Title</b>             | <b>Task Overview</b>   | <b>Job Classification / Critical Skills</b>  | <b>Minimum No. of Employees</b> | <b>Location</b> |
| Finance Section Chief        | Supervise finance activities, assign responsibilities, orient staff and serve as a resource for all staff. Carries out unit functions if they have not been activated. | Accounting or purchasing manager, FAMIS/ADPICS access and experience, authority to approve POs | 1                               | DOC             |
| Finance Section Deputy       | Assists the Finance Section Chief in carrying out duties.  | Accounting or purchasing manager, FAMIS/ADPICS access and experience, authority to approve POs |                                 | DOC             |
| Administrative Assistant     | Perform administrative duties. Take notes at meetings and other duties.  |  |                                 | DOC             |

**E. REPORTING**

The Finance Section Chief reports to the Incident Commander.

**F. DELIVERABLES**

The Finance Section is responsible for producing the following:

- Summary of Costs
- Time Tracking Report
- Module Objectives and Update, ICS Form 202b (for each Operational Period)

**G. RESOURCES**

The following resources will be required to perform response operations:

**a. Protocols, forms, and guidelines, and MOUs**

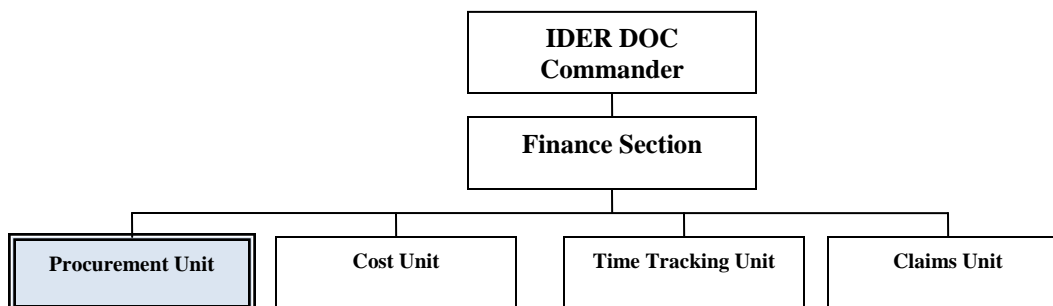
| <b>Items</b>   | <b>Location</b>    |
|--|--------------------|
| <b>ICS Forms</b>   | <b>Appendix B</b>  |
| <b>Job Action Sheets</b>   | <b>Appendix C</b>  |
| <b>Finance</b>   | <b>Appendix L</b>  |
| <b>Procurement</b>   | <b>Appendix La</b> |
| Flowchart of Procurement Mechanisms  | Appendix La1       |
| Procurement and Cost Unit Tracking Spreadsheet   | Appendix La2       |
| Instructions on completing blanket purchase orders and releases against term contracts   | Appendix La3       |
| Blanket Purchase Order and Release Against Term Contracts Form   | Appendix La4       |
| Instructions on completing one-time purchase orders  | Appendix La5       |
| One-time purchase order form   | Appendix La6       |
| Controller’s Office Chart of Accounts  | Appendix La7       |
| References from CCSF Office of Contract Administration’s Rules & Regulations Pertaining to the SF Admin code, Chapter 21 Acquisition of Commodities & Services | Appendix La8       |
| Emergency Invoice List CDCP  | Appendix La9       |
| <b>Time Tracking</b>   | <b>Appendix Lc</b> |
| Personnel Time Tracking Report Template  | Appendix Lc1       |

**b. Office and Communication Supplies**

| <b>Items</b>                                 | <b>Units Required</b> | <b>Location or Request From</b> |
|--|-----------------------|---------------------------------|
| Telephone                                    | 1                     | Logistics                       |
| Fax machine access                           | 1                     | Logistics                       |
| Computer with local network, internet access | 1+                    | Logistics                       |
| Printer access                               | 1                     | Logistics                       |
| 800 MHz Radio/cell phone/pager               | 1                     | Logistics                       |
| Copy machine access                          | 1                     | Logistics                       |

## 36. PROCUREMENT UNIT

### A. ORGANIZATION CHART



### B. DESCRIPTION

#### a. Purpose & Objectives

The purpose of the Procurement Unit is to ensure that supplies are procured through the appropriate protocols during a response. The Unit's objectives include:

- Ensure cost accountability of the response through the preparation of appropriate purchasing documents for supplies and equipment.
- Ensure the quick and efficient procurement of response supplies by establishing and managing vendor contracts.
- Support ongoing response operations through acquisition of scarce supplies via commercial sources.

#### b. Method

Procurement Unit methods and tools for procuring supplies include:

**Blanket Purchase Order.** DPH has established Department blanket purchase orders, renewed every fiscal year, with various vendors that allow the Department to purchase commodities from those vendors according to the terms of the contract. Due to the front-loaded fiscal approval mechanism required to set-up blanket purchase orders, purchases made against blanket purchase orders will be a reliably efficient means of procuring supplies in an emergency. It is possible to establish a blanket purchase order with a vendor during the incident response. The Procurement Unit will compile and maintain a listing of all known blanket purchase orders that may be relevant to the response. The Unit will collaborate closely with the Logistics Section's Supplies Unit to coordinate releases against blanket purchase orders.

**One-time Purchase Order.** If a purchase needs to be made from a vendor with whom the City and County of San Francisco does not currently have a blanket purchase order agreement, the Procurement Unit may requisition a one-time purchase order with the vendor, which must be approved by the appropriate DPH fiscal authority. The Procurement Unit will coordinate with the DPH Fiscal Section for expedited review and approval while ensuring compliance with CCSF's purchasing policies. Refer to Appendix L for Purchase Order form and instructions.

**Term Contracts.** For purchases of standard commodities from established vendors, purchase orders may be released against a term contract. The Office of Contract Administration establishes term contracts with qualifying vendors, thereby front-loading the approval mechanism similar to blanket purchase orders. A term contract is established between a vendor and CCSF, renewed every 3 years, that allows San Francisco Departments to purchase any, or specified items, up to a certain dollar amount, depending on

the terms of the contract. The Procurement Unit will research term contracts and maintain a listing of high-volume commodities relevant to the response.

**Issuing emergency credit cards.** In a large-scale emergency, the Controller's Office may activate a series of pre-identified credit cards (one per city agency) in the event the city's accounting system is unable to provide timely payments to vendors. If DPH's emergency credit card has been activated, the Procurement Unit may request to use the credit card. If appropriate, coordinate the use of the emergency credit card with the Logistics Section.

**Purchasing during a declared emergency.** In a large-scale emergency, the normal purchasing policies may be suspended following a declaration by the Mayor. The Controller's Office will issue emergency index codes (usually one per city agency) and provide guidance for their use. The Procurement Unit will coordinate with the EOC Finance Section on how to use the FEMA index code. When establishing the criteria for making purchases using the FEMA index code, the Procurement Unit will take into consideration all issues that relate to post-incident reimbursement claims.

**Advanced Purchasing and Inventory Control System (ADPICS).** The Advanced Purchasing and Inventory Control System is the online purchasing system for goods and services used by the City and County of San Francisco. The Procurement Unit may need to access the ADPICS system to create and track the approval path of purchase requisitions. The system also stores vendor information that will be important for Unit staff to utilize as part of their vendor relations responsibilities. If ADPICS becomes unavailable for any reason, the Procurement Unit must establish paper-based procedures for generating purchase orders and placing orders with vendors.

## **C. IMPLEMENTATION**

### **a. Procurement Unit**

Activate the Procurement Unit when it is necessary to purchase items for the response. The Unit should be staffed with individuals who have authority to generate purchase requisitions and expedite approvals.

The Procurement Unit will primarily receive purchase requests from the Logistics Section Supplies Unit and the Operations Section Chief. Purchasing procedures will vary depending on the scale of the response. Until a local emergency is declared by the Mayor's office, the Procurement Unit should adhere to all normal purchasing procedures. After a local emergency declaration, the Unit may adopt emergency procurement procedures as specified in Section 21.15 of the San Francisco Administrative Code. Refer to Appendix L for a flowchart of procurement mechanisms.

#### **Steps for Filling a Procurement Request**

1. Review and clarify all purchase requisitions with the Supplies Unit.
2. Identify multiple vendors to determine most efficient and cost-effective source of procurement.
3. Consult DPH Fiscal staff when necessary.
4. Determine the appropriate funding source to be used and match the correct index and character codes for the purchase.
5. Ensure that if grant funding is used for the purchase the guidelines of the grant allow for the expenditures.
6. Establish, understand, and troubleshoot contracts and agreements with supply vendors.
7. Issue the purchase order.
8. Communicate with vendors to assess availability and cost of commodities.
9. Establish blanket purchase orders during the response, if necessary.
10. Update the Supplies Unit on the status of purchase orders.

11. Coordinate with the Supplies Unit to ensure that supplies are delivered to the appropriate location.
12. Confirm that deliveries are accepted and invoices processed.
13. Maintain documentation of all supplies purchased during an incident.

### **Issuing purchase orders from term contracts or blanket purchase orders**

See Appendix L for instructions on completing blanket purchase orders and releases against term contracts, respectively, and all associated forms.

### **One-time purchases**

Instructions for making one-time supply purchases of less than \$10,000 are as follows:

1. Receive a quote, in writing, from the vendor detailing the item(s), quantities and their costs.
2. Create a requisition for this purchase, attaching the vendor quote, form, and appropriate funding codes (index and character codes).
3. Obtain a minimum of three separate vendor quotes if the total cost of the purchase requisition exceeds \$2,500.
4. Send completed forms to the DPH Fiscal at 1380 Howard Street.

### **Change of procedures during a declared local emergency**

Once the incident has been declared a local emergency by the Mayor’s Office, the Procurement Unit is responsible for switching over to emergency purchasing procedures. The Unit will confirm that purchases are charged to the appropriate emergency index codes. All documentation of purchases made must be submitted to the Cost Unit in preparation for cost-recovery reimbursement programs.

### **Cost tracking**

Cost-tracking during an incident is done by the Cost Unit. Determine what information or documentation must be provided to the Cost Unit on a regular basis as the incident progresses. Submit in-progress and completed purchase orders to the Cost Unit.

#### *Functions of the Procurement Unit*

- Draft and process all supply purchase requisitions using appropriate procedures.
- Communicate with vendors to clarify quotes and invoices.
- Work closely with the EOC Finance Section to clarify procedures and index codes.
- Update procurement originator on the status of purchases.
- Ensure that supplies are received and invoices are processed for payment.
- Produce and submit to the Cost Unit all Purchase Order Summary Reports.

## **D. STAFF POSITIONS**

The following positions are required for minimum staffing levels.

| <b>Staff Position Roster</b> |   |   |                                 |                 |
|------------------------------|---|---|---------------------------------|-----------------|
| <b>Job Title</b>             | <b>Task Overview</b>  | <b>Job Classification / Critical Skills</b> | <b>Minimum No. of Employees</b> | <b>Location</b> |
| Procurement Unit Leader      | Assign responsibilities, reviews and approves all purchase orders. Provide procurement updates to the Cost Unit | Experience with DPH/CCSF Finance            | 1                               | DOC             |

|                        |   |  |  |     |
|------------------------|---|--|--|-----|
|                        | Leader.   | protocols, authority to approve purchase orders, access to ADPICS system   |  |     |
| Procurement Unit staff | Compile purchase order requests, research and assign index and character codes, execute purchase orders, organize and document all purchase orders. | Experience with DPH/CCSF Finance protocols, familiarity with ADPICS system |  | DOC |

## E. REPORTING

The Procurement Unit Leader reports directly to the Finance Section Chief.

## F. DELIVERABLES

The Procurement Unit is responsible for producing the following:

- Purchase Orders
- Summary of purchase orders
- Module Objectives and Update, ICS Form 202b (for each Operational Period)

## G. RESOURCES

The following resources will be required to perform response operations:

### a. Protocols, forms, and guidelines, and MOUs

| Items  | Location           |
|--|--------------------|
| <b>ICS Forms</b>   | <b>Appendix B</b>  |
| <b>Job Action Sheets</b>   | <b>Appendix C</b>  |
| <b>Finance</b>   | <b>Appendix L</b>  |
| <b>Procurement</b>   | <b>Appendix La</b> |
| Flowchart of Procurement Mechanisms  | Appendix La1       |
| Procurement and Cost Unit Tracking Spreadsheet   | Appendix La2       |
| Instructions on completing blanket purchase orders and releases against term contracts   | Appendix La3       |
| Blanket Purchase Order and Release Against Term Contracts Form   | Appendix La4       |
| Instructions on completing one-time purchase orders  | Appendix La5       |
| One-time purchase order form   | Appendix La6       |
| Controller's Office Chart of Accounts  | Appendix La7       |
| References from CCSF Office of Contract Administration's Rules & Regulations Pertaining to the SF Admin code, Chapter 21 Acquisition of Commodities & Services | Appendix La8       |
| Emergency Invoice List CDCP  | Appendix La9       |
| <b>Time Tracking</b>   | <b>Appendix Lc</b> |
| Personnel Time Tracking Report Template  | Appendix Lc1       |

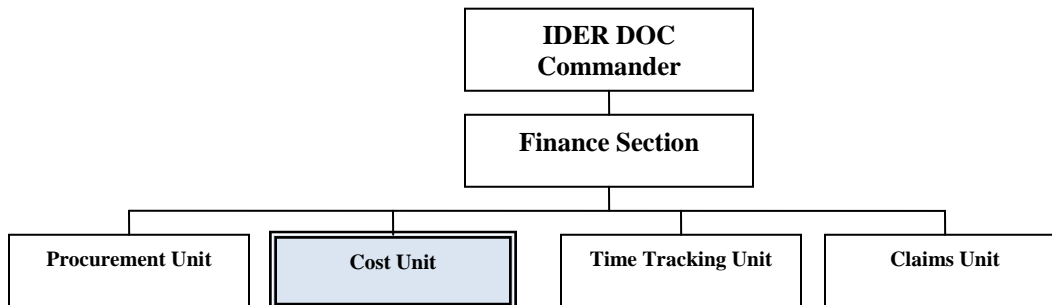
### b. Office and Communication Supplies

| <b>Items</b>                                 | <b>Units Required</b> | <b>Location or Request From</b> |
|--|-----------------------|---------------------------------|
| Telephone                                    | 1                     | Logistics                       |
| Fax machine access                           | 1                     | Logistics                       |
| Computer with local network, internet access | 1+                    | Logistics                       |
| Printer access                               | 1                     | Logistics                       |
| 800 MHz Radio/cell phone/pager               | 1                     | Logistics                       |
| Copy machine access                          | 1                     | Logistics                       |



## 37. COST UNIT

### A. ORGANIZATION CHART



### B. DESCRIPTION

#### a. Purpose & Objectives

The purpose of the Cost Unit is to track, analyze, and project costs related to response operations. The Unit's objectives include:

- Provide cost accountability for effective management of the incident.
- Capture all financial transactions and expenditures to assist in post-incident cost-recovery efforts.
- Provide realistic and timely cost projections to inform decision-makers and shape response objectives.
- Maintain accurate financial records for incident-related compensation claims.
- Meet compliance and audit requirements of grant-funded incident response activities.
- Project financial resources needed to adequately sustain the response as well as continuity of operations.

#### b. Methods

Methods and tools used by the Cost Unit to support the IDE response include:

**Expense tracking and cost summary.** The Cost Unit will capture costs associated with the incident. The Cost Unit will maintain thorough paper-based and electronic records of accrued costs while ensuring that all regular accounting procedures are followed.

**Financial Accounting Management Information System (FAMIS).** The Financial Accounting Management Information System is the cost-accounting system used by the City and County of San Francisco for recording and processing financial transactions. The Cost Unit will need to access FAMIS to extract and input cost data during a response. CDCP staff will provide first-line support for querying FAMIS for cost tracking purposes. The Cost Unit will ensure that all financial transactions are eventually captured in FAMIS. The Unit will also be responsible for maintaining documentation to support the transactions when reimbursement claims are filed in the cost-recovery phase of the response.

**Financial planning and projection.** The Cost Unit will compile response cost data to develop financial projections. The availability of accurate and realistic financial expenditures and projections will help the Incident Commander and others make critical decisions regarding resource allocation. Financial projections will be generated with input from other Sections to capture anticipated resource needs.

## C. IMPLEMENTATION

### a. Cost Unit

Always activate the Cost Unit.

The Cost Unit is responsible tracking all costs and the balance on funding streams made available for the incident response. A summary of this information should be provided to the Finance Section Chief once during every operational period, and more often if requested. Documentation costs originate from multiple sources, and it will be the primary activity of the Cost Unit to compile them.

**Personnel Costs.** A summary of personnel costs will be provided by the Time Tracking Unit. The Cost Unit will review the guidelines of local, state, and federal grants and other funding sources to determine if the response is eligible for re-imbursement.

**Material Costs.** A summary of procurement costs will be provided by the Procurement Unit. Other costs will be tracked by the Cost Unit. If an emergency declaration has been made by CCSF governing officials, the Controller's Office will provide guidance on the usage of "FEMA index codes" pre-established for each city agency. In such cases, the Cost Unit will track incident-related expenses using the emergency index codes. If needed, the Cost Unit will request additional index codes from the Controller's Office.

**Claims.** A summary of claims costs will be provided by the Claims Unit. If the EOC has been activated, the Claims Unit will coordinate with, and refer claims against the city for damage of personal property as a result of the response or disaster service workers' personal injury claims. If the EOC is not activated, the Claims Unit will work with DPH, DEM and other appropriate CCSF officials.

If state or federal reimbursement will be pursued by the Controller's Office, the Cost Unit staff will provide supporting documentation to facilitate this process.

#### *Functions of the Cost Unit*

- Ensure that records of all funding sources supporting the incident are maintained.
- Collect and record all expenditures and financial data in a manner that allows for transparency to support state and/or federal cost-recovery claims at the end of the response.
- Compile cost reports and generate projections for the duration of the response.
- Coordinate closely with other Sections to reconcile financial and operational records.

## D. STAFF POSITIONS

The following positions are required for minimum staffing levels.

| Staff Position Roster |   |  |                          |          |
|-----------------------|---|--|--------------------------|----------|
| Job Title             | Task Overview   | Job Classification / Critical Skills   | Minimum No. of Employees | Location |
| Cost Unit Leader      | Assign responsibilities, provide expenditure reports, provide cost projections, ensure documentation is maintained. | Experience with DPH and CCSF Finance protocols, experience producing cost projections, access to FAMIS | 1                        | DOC      |

|                 |   |   |  |     |
|-----------------|---|---|--|-----|
|                 |   | system  |  |     |
| Cost Unit Staff | Collect, analyze and summarize cost data. | Experience with DPH and CCSF Finance protocols, familiarity with FAMIS system |  | DOC |

## E. REPORTING

The Cost Unit Leader reports directly to the Finance Section Chief.

## F. DELIVERABLES

The Cost Unit is responsible for producing the following summaries during each operational period:

- Expenditure Report
- Cost projection Report
- Module Objectives and Update, ICS Form 202b (for each Operational Period)

## G. RESOURCES

The following resources will be required to perform response operations:

### a. Protocols, forms, and guidelines, and MOUs

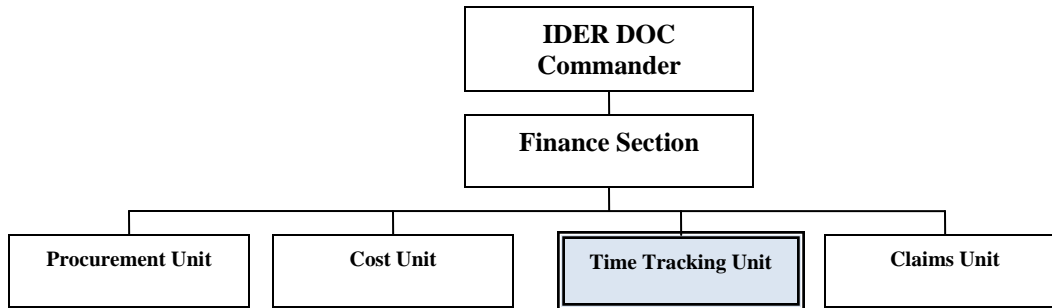
| Items             | Location   |
|-------------------|------------|
| ICS Forms         | Appendix B |
| Job Action Sheets | Appendix C |
| Finance           | Appendix L |

### b. Office and Communication Supplies

| Items  | Units Required | Location or Request From |
|--|----------------|--------------------------|
| Telephone                                    | 1              | Logistics                |
| Fax machine access                           | 1              | Logistics                |
| Computer with local network, internet access | 1+             | Logistics                |
| Printer access                               | 1              | Logistics                |
| 800 MHz Radio/cell phone/pager               | 1              | Logistics                |
| Copy machine access                          | 1              | Logistics                |

## 38. TIME TRACKING UNIT

### A. ORGANIZATION CHART



### B. DESCRIPTION

#### a. Purpose & Objectives

The purpose of the Time Tracking Unit is to ensure that hours worked by response staff are accounted for in a manner that is consistent with local, state, and federal guidelines should the event qualify for cost-recovery reimbursement. The Unit's objectives are to:

- Track and document hours worked by all personnel involved in the response
- Ensure that payroll is not disrupted for personnel who are deployed in a response
- Adapt existing payroll procedures to report hours worked
- Produce a personnel time tracking report.

#### b. Methods

The primary responsibility of the Time Tracking Unit is to document all hours, including overtime, worked by response staff for the duration of the response. Multiple methodologies for personnel time tracking will be used to complement the different response activities at different sites.

**Sign-in/out sheets.** Sign-in/sign-out sheets should be provided to the Staging Area and all facilities where response activities are carried out.

**Timesheets.** Time Tracking Unit staff will ensure that timesheets are available to all responders at the beginning of every operational period. Timesheets will be collected, reviewed for accuracy, compiled and stored, and summarized.

**Personnel Tracking Software.** A software program that allows employees to sign-in and out during each operational period by swiping their disaster service worker ID cards through custom card readers may be utilized. Time tracking data may be extracted from this system and summarized by the Time Tracking Unit staff.

### C. IMPLEMENTATION

#### a. Time Tracking Unit

1. Always activate the Time Tracking Unit.

This Unit will work closely with the Plans Section Resource Status Unit and Logistics Section Personnel Unit to ensure that all personnel time documentation is completed and collected. The Unit will utilize sign-in/out sheets, timesheets, personnel tracking software, or other methods to capture personnel time spent on the response. Time-tracking-related information to be collected, documented, and summarized including:

- Responder name
- Responder Civil Service Classification number
- Responder’s usual city agency and supervisor
- Hours worked during the operational period
- Assignment performed by each individual during this time
- Breaks and meal times

The Time Tracking Unit will provide summarized time tracking information for every operational period to the Finance Section Chief and Cost Unit. If the response qualifies for local, state, or federal reimbursement, all personnel time tracking data collected during the response needs to be summarized and all supporting documentation must be available for the cost-recovery claims submission.

*Functions of the Time Tracking Unit*

- Provide guidance to response on time tracking methods, overtime allowances, frequency, and forms.
- Track and document hours worked by all personnel involved in the response.
- Submit a personnel time tracking report for every operational period.
- Adapt existing payroll procedures to report hours worked.
- Maintain documentation.
- Summarize time tracking data and prepare cost-recovery claims submission.

**D. STAFF POSITIONS**

The following positions are required for minimum staffing levels.

| <b>Staff Position Roster</b>        |  |   |                                 |                 |
|-------------------------------------|--|---|---------------------------------|-----------------|
| <b>Job Title</b>                    | <b>Task Overview</b>   | <b>Job Classification / Critical Skills</b>   | <b>Minimum No. of Employees</b> | <b>Location</b> |
| Personnel Time Tracking Unit Leader | Assign responsibilities to Unit staff, reviews time sheets for submission to payroll, provide time reporting guidance. | Experience with payroll procedures and policies, has acting authority to sign time sheets | 1                               | DOC             |
| Personnel Time Tracking Unit Staff  | Collect and summarize time tracking information from multiple sources, produce reports, submit information to payroll. | Experience with payroll procedures and policies   |                                 | DOC             |

**E. REPORTING**

The Personnel Time Tracking Unit Leader reports directly to the Finance Section Chief.

**F. DELIVERABLES**

The Personnel Time Tracking Unit is responsible for producing the following:

- Personnel Time Tracking Report
- Module Objectives and Update, ICS Form 202b (for each Operational Period)

**G. RESOURCES**

The following resources will be required to perform response operations:

**a. Protocols, forms, and guidelines, and MOUs**

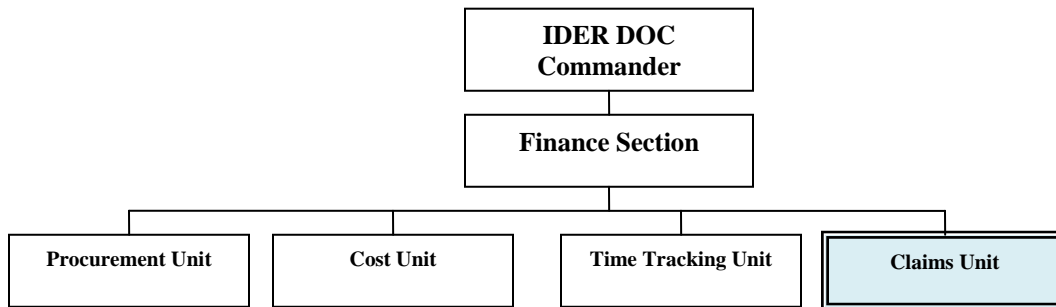
| <b>Items</b>                            | <b>Location</b>    |
|---|--------------------|
| <b>ICS Forms</b>                        | <b>Appendix B</b>  |
| <b>Job Action Sheets</b>                | <b>Appendix C</b>  |
| <b>Finance</b>                          | <b>Appendix L</b>  |
| <b>Time Tracking</b>                    | <b>Appendix Lc</b> |
| Personnel Time Tracking Report Template | Appendix Lc1       |

**b. Office and Communication Supplies**

| <b>Items</b>                                 | <b>Units Required</b> | <b>Location or Request From</b> |
|--|-----------------------|---------------------------------|
| Telephone                                    | 1                     | Logistics                       |
| Fax machine access                           | 1                     | Logistics                       |
| Computer with local network, internet access | 1+                    | Logistics                       |
| Printer access                               | 1                     | Logistics                       |
| 800 MHz Radio/cell phone/pager               | 1                     | Logistics                       |
| Copy machine access                          | 1                     | Logistics                       |

## 39. CLAIMS UNIT

### A. ORGANIZATION CHART



### B. DESCRIPTION

#### a. Purpose & Objectives

The purpose of the Claims Unit is to provide overall management and direction of all administrative matters pertaining to compensation for injury and other claims-related activities for the IDER event. The Unit's objectives include:

- Receive, investigate and document claims issued by employees and non-employees.
- Ensure that records required by insurers, government and other agencies for loss recovery are accurately compiled, maintained and available.
- Ensure that all Compensation for Injury and Claims logs and forms are complete and routed to the appropriate agency for post-incident processing prior to demobilization.

#### b. Methods

Methods and tools used by the Claims Unit to support the IDE response include:

**Documentation.** The Claims Unit will capture claims associated with the incident. The Claims Unit will maintain thorough paper-based and electronic records of all claims while ensuring that proper procedures are followed.

**Investigation.** The Claims Unit may investigate all claims except for personal injury.

### C. IMPLEMENTATION

#### a. Cost Unit

Activate the Claims Unit if the IDER event has resulted in, or may result in, employees or non-employees filing compensation for injury claims, damaged property claims, or other claims against the city.

The Claims Unit is responsible for receiving, investigating and documenting all claims reported to the DOC during the emergency incident. Statements should be obtained from claimants and witnesses in a timely manner. A summary of this information should be provided to the Finance Section Chief once during every operational period, and more often if requested.

The Claims Unit will coordinate with the EOC (if activated) and refer claims against the city for disaster service workers' personal injury or damage of personal property as a result of the response. If the EOC is not activated, the Claims Unit will work with other appropriate city/county/regional officials.

The Claims Unit will provide a summary of claims costs to the Cost Unit once per operational period, or more often if requested.

*Functions of the Claims Unit*

- Receive, investigate and document claims issued by employees and non-employees. Use photographs or video documentation when appropriate.
- Ensure that records required by insurers, government and other agencies for loss recovery are accurately compiled, maintained and available.
- Compile and summarize final claims reports and submit to the Finance Section Chief once per operational period, or more if requested.
- Ensure that all Compensation for Injury and Claims logs and forms are complete and routed to the appropriate agency for post-incident processing prior to demobilization.
- Periodically review logs and forms produced by the Compensation/Claims Specialists to ensure that they are complete, entries are timely and accurate and that they are in compliance with agency requirements and policies.
- Provide a summary of claims costs to the Cost Unit.
- Coordinate a claims prevention plan with applicable incident functions.
- Initiate an investigation on all claims other than personnel injury.
- Ensure that site and property involved in an investigation are protected.
- Obtain witness statements pertaining to claims other than personnel injury.
- Document any incomplete investigations.
- Document follow-up action needs by the local agency.
- Keep the Compensation/Claims Unit Leader advised on the nature and status of all existing and potential claims.

**D. STAFF POSITIONS**

The following positions are required for minimum staffing levels.

| <b>Staff Position Roster</b> |  |   |                                 |                 |
|------------------------------|--|---|---------------------------------|-----------------|
| <b>Job Title</b>             | <b>Task Overview</b>   | <b>Critical Skills</b>                                    | <b>Minimum No. of Employees</b> | <b>Location</b> |
| Claims Unit Leader           | Assign responsibilities, provide claims reports, ensure documentation is maintained. | Experience with Department/city Finance/claims protocols, | 1                               | DOC             |
| Claims Unit Staff            | Collect, analyze and summarize claims data. Investigate claims as appropriate.       |   |                                 | DOC             |

**E. REPORTING**

The Claims Unit Leader reports directly to the Finance Section Chief.

**F. DELIVERABLES**



The Claims Unit is responsible for producing the following summaries during each operational period:

- Module Objectives and Update, ICS Form 202b (for each Operational Period)
- Claims Cost Summary
- Claims Summary

**G. RESOURCES**

The following resources will be required to perform response operations:

**a. Protocols, forms, and guidelines, and MOUs**

| <b>Items</b>             | <b>Location</b>   |
|--------------------------|-------------------|
| <b>ICS Forms</b>         | <b>Appendix B</b> |
| <b>Job Action Sheets</b> | <b>Appendix C</b> |
| <b>Finance</b>           | <b>Appendix L</b> |

**b. Office and Communication Supplies**

| <b>Items</b>                                 | <b>Units Required</b> | <b>Location or Request From</b> |
|--|-----------------------|---------------------------------|
| Telephone                                    | 1                     | Logistics                       |
| Fax machine access                           | 1                     | Logistics                       |
| Computer with local network, internet access | 1+                    | Logistics                       |
| Printer access                               | 1                     | Logistics                       |
| 800 MHz Radio/cell phone/pager               | 1                     | Logistics                       |
| Copy machine access                          | 1                     | Logistics                       |