

RecoveryPro: Content Guide



Introduction

The purpose of the RecoveryPro Disaster Recovery Manual Content Guide is to give you guidance on which pages within the Working Manual need custom credit union information as well as an explanation of the Manual Forms and the fields within them.

This Disaster Contingency Plan is not disaster specific. It is designed to provide the structure and guidance needed to respond to a wide variety of disaster situations with skills, procedures, and tools that will minimize loss and facilitate recovery. Any Event that can impede operations is considered a “disaster” and can include local, neighborhood, community, regional, statewide, and remote events.

The first part of the guide shows you the pages in the Working Manual that you will need to modify according to your specific information for your credit union. You will see the location of the page within the “*Edit Sections of Working Manual*” tree so that you can easily navigate to that page.

After you complete your edits for the Working Manual you will move on to filling out the Manual Forms. You will find each form listed in this guide as well as an explanation of the entries you are asked to populate.

Once you’ve updated the individual sections of the Working Manual and the Forms, you will be ready to publish your manual. The Publishing process merges the data of the Manual Forms into the corresponding page within the manual giving you a complete Disaster Recovery Manual.

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Part One: Section by Section Guidance

Part One will look at each section of the manual to give you guidance on what is in that section, what needs to be reviewed and what customization needs to be completed.

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Key Management Information Section

This section gives a general overview of management's commitment to the development of the plan, defines the Disaster Management Team, defines the scope of the plan, and outlines general Disaster Recovery Strategies.

Board Authorization

This section lists the date that the plan was approved by the Board of Directors. Once the plan is approved, this section will need to be customized with the date of approval. Any other directions or comments from the Board can also be added in this section.

Message from Management

This section is a message from management to staff and officials that encourages all individuals to be prepared for disasters and outlines the planning process and priorities considered in developing the plan. This section contains sample verbiage that to be reviewed by the credit union and can be customized for the credit union's own specific message, planning considerations, and priorities.

Statement of Confidentiality

This section reminds anyone reading the manual that the content is confidential. This section contains sample verbiage which to be reviewed and customized by the credit union if necessary.

Disaster Management Team

This section outlines the responsibilities of the Disaster Management Team, and gives authority to the members of the team to direct operations until the disaster condition is resolved. It also lists the team in order of authority.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary.

FORM: Data from two forms will be placed in this section:

- {DISASTER MANAGEMENT TEAM MEMBERS}
- {DISASTER PLANNING PROJECT TEAM}

Note: The CU may want add information to define the scope of an event that would trigger the Disaster Management Team to assemble. Minor events (i.e. short term power outage) may not warrant the assembly of the team.

Scope of Plan

This section defines the scope of disasters for which the credit union will plan. Credit Unions generally choose a Narrow or Broad scope.

A **narrow scope plan** recognizes that the credit union may be limited in resources (this can include staff time to develop the plan), and that it cannot plan adequately for every possible disaster scenario. The narrow scope is limited to disasters that affect the Credit Union's computer systems, facilities, and the local neighborhood. Generally the events that are planned for are those that are most likely to occur.

A **broad scope plan** is generally utilized by a credit union with significant resources at its disposal that intends to recover from a wide range of disasters. A broad scope of this plan is not limited by the size or geographical location of the disaster. This plan will look at many more events than the Narrow Scope plan, including those which may be less likely to occur, but would have a large impact on credit union operations if they were to occur.

This section contains sample verbiage for both Broad and Narrow Scope, which should be and customized by the credit union if necessary. Credit Unions should choose **either** Broad or Narrow Scope, and remove the verbiage for the plan they are **not** using.

FORM: Data from three forms will be placed in this section:

- { DISASTER/RISK ANALYSIS WORKSHEET NATURAL DISASTER}
- { DISASTER/RISK ANALYSIS WORKSHEET MECHANICAL FAILURES}
- { DISASTER/RISK ANALYSIS WORKSHEET HUMAN FAILURES}

Note: Many credit unions begin with a Narrow Scope and plan for recovery of a pre-determined set of disaster scenarios. As time and resources allow, the credit unions will continue to add recovery strategies for additional disaster scenarios, building upon the existing recovery strategies, to extend the scope of their plan to a Broad Scope.

Disaster Recovery Strategy

This section lists and prioritizes the Key Business Functions of the credit union to help determine the order that services should be restored after a disaster event. It also outlines relocation sites and member service strategies in the event that physical facilities become unavailable.

This section contains sample verbiage. The credit union should at a minimum customize the verbiage related to alternate facilities to be used for relocation and member service strategies for various scenarios. Not all the sample verbiage will apply to all credit unions.

Note: This section is a high level overview list of Key Business Functions and their priority, relocation sites, and member service strategies. It does not provide procedures for restoring services, the relocation process, or how to communicate service options to members. Specific procedures will be found in the various "Recovery Procedures" sections.

- FORM: Data from one form will be placed in this section:
{ KEY BUSINESS FUNCTION ANALYSIS}

Disaster Recovery Timeline

The Disaster Recovery Timeline is a stand-alone section which provides a summary of the disaster reaction and recovery process. The timeline outlines particular actions and how quickly each action should occur after the disaster event occurs.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary.

Disaster Response Procedures

This section is provided as a resource to assist you in responding to specific disaster situations, and includes several sub-sections with sample procedures for a variety of situations; including actions to prevent or minimize loss, and/or procedures to following during and immediately after the event.

The sub-sections included in this section contain sample verbiage which to be reviewed and customized by the credit union if necessary. The credit union should review each sub-section carefully and remove any event that is unlikely to occur; customize for existing credit union procedures for each event; and add additional events that may be likely to occur or would be specific to the credit union's situation (i.e. credit union is located next to a gas station and procedures may be added in case of gas station explosion)

Note: the procedures in this section are meant to deal with the immediate situation, not the disaster recovery process. Once the immediate event is over, and there is no imminent danger, then the credit union can look to the Disaster Recovery Timeline to begin the process of assessing the situation for damage/loss and begin the recovery process.

Situation Assessment

The first action during or immediately following a disaster will be to assess the situation. This assessment will take place on two levels: Global and Site Specific. Forms to assist you in this assessment are included in the sub-sections of this section.

These sections are not part of the plan per-se, but would happen **after** an event occurs.

Note: because these forms will be filled out after an event, many credit unions choose to print a blank version of these forms for the printed manual in the event they cannot access the electronic version during the assessment.

Global Assessment

This section lists suggested minimum information to be gathered for a global assessment.

A global assessment will assess the impact of the event on the area surrounding the credit union. This would be used in the event of a large scale disaster such as a hurricane, volcano, etc. A global assessment will not be necessary unless the event affects the surrounding neighborhood.

The forms used for the global assessment contain space for additional information gathering.

- FORM: Data from one form will be placed in this section:
{GLOBAL SITUATION ASSESSMENT}

Site Specific Assessments

This section lists suggested minimum information to be gathered for a site specific assessment.

A site specific assessment looks at the impact of an event on the credit union's facilities and/or property. A site specific assessment should always been used in any event as it gathers information related specifically to the credit union's recovery needs.

The forms used for the site specific assessment contain space for additional information gathering.

- FORM: Data from one form will be placed in this section:
{SITE SPECIFIC SITUATION ASSESSMENT}

Declaration of Disaster Section

The sub-topics in the section outline the disaster declaration process – when to declare a disaster, who is authorized to declare, emergency policies to be implemented in the event of a disaster, information on Technology Back up plans, and when to rescind the disaster declaration.

Note: Not all events will require a declaration of disaster.

Authorization For Disaster Declaration

This section lists which individuals, in order, have authority to declare an event or situation a disaster. This section contains sample verbiage that to be reviewed and customized by the credit union.

Guidelines For Disaster Declaration

This section provides guidelines for using the situation assessment to determine whether or not the event should be declared a “disaster”. Some events, while they prevent the serving of members and service must be recovered, are not considered a “disaster” situation.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary. The credit union may wish to add additional type of criteria to consider, including type of event, extent of damage to facilitates, minimum length of service downtime expected, number of services affected, etc, or a combination of these.

Policies Implemented Upon Declaration

This section outline which policies should be considered effective upon declaration of a disaster. This section contains sample verbiage that to be reviewed and customized by the credit union.

The policies referred to in the sample verbiage provided are included in the RecoveryPro manual (and are the next three consecutive sections). The credit union should make sure these policies have been reviewed carefully and approved by the Board. Any other policies the credit union may have in terms of Disaster Recovery should also be listed in this section, and the policy verbiage included.

Chain of Command/Order of Succession

This section defines the chain of command in order based the availability of each person. This should reflect the order provided in the “Disaster Management Team” section. The credit union may wish to insert the {DISASTER MANAGEMENT TEAM MEMBERS} form in this section as well.

This section contains sample verbiage to be reviewed and customized by the credit union if necessary.

This policy should be approved by the board, and the board approval date noted within the policy.

Emergency Powers

This section defines which operational policies may be changed in the event of disaster, including things like purchase limits, cash limits and personnel policies.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary. Any additional policies that the credit union may need the authority to change in the event of a disaster should be listed here, along with the parameters of the changes.

This policy should be approved by the board, and the board approval date noted within the policy.

Statement of Decision Criteria

This section provides decision making criteria as issued by the Board as a guide for the Disaster Management Team. This criteria is intended to provide direction when specific direction from the Board may not be available.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary.

This policy should be approved by the board, and the board approval date noted within the policy.

Implementation Of Technology Backup Plans

If the declared disaster would necessitate Computer System Recovery, this section authorizes management to implement the technology backup plans, including official notification of the hot site(s).

This section contains sample verbiage related to notification of the hot site and lists notification fees. This section will need to be customization by the credit union.

Note: If you do not use hot sites or other backup alternatives that require official notification, this section can be deleted.

Rescinding the Disaster Declaration

This section defines when the disaster declaration may be rescinded.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary. Any other rescission criteria to be considered should be added in this section (i.e. minimum levels of service to members restored, etc)

Human Resources

This section contains information needed to deal with the human issues that arise in a disaster situation.

Disaster Protocol & Communications

This section should contain written policies explaining how employees should respond during and immediately after a disaster. It should also contain the Credit Union's communications policy and information necessary to follow the policy, such as phone numbers.

There is no sample text for this section.

Note: employees should be trained prior to a disaster on the policies contained within this section.

Medical Treatment Resources

Include any reference material obtained from outside sources, first aid kit locations, and list employees trained in first aid, CPR, etc. in this section.

There is no sample text for this section.

Note: employees should be trained prior to a disaster on the information contained within this section.

Employee Training Policies and Information

Insert information concerning employee-training program, including employees trained in specific disaster response skills.

There is no sample text for this section.

Vital Employee Information

Insert the Vital Employee Information form for each employee and/or volunteer.

- FORM: Data from one form will be placed in this section:
{ VITAL EMPLOYEE INFORMATION }

Short Term Staffing Plan

Include the Credit Union's plan for staffing during and immediately following a disaster.

Contact information necessary to implement this plan (other credit unions, staffing services, or other resources the Credit Union will use) should be listed in the Telephone Directory (found under the "Key Reference Information" section)

There is no sample text for this section.

Long Term Staff Rehabilitation

Insert information on the resources available for physical and emotional rehabilitation.

There is no sample text for this section.

Technology Recovery Procedures

This section contains all of the critical information needed to recover the Credit Union's technology-based systems.

For each sub-section:

- There is some sample text which lists suggested items that should be included in each section. The credit union needs to review this list carefully and include the information listed in as much detail as possible.
- Detail your each system recovery procedures required to bring each of your technology services back on-line in the event that service has been disrupted. This can be quite detailed giving step-by-step instructions for bringing all equipment and connections back on-line. Your IT staff should be able to supply this information.
- Additional pages can be added as sub-pages to each section if necessary to help with organization and ease of review.
- Any system diagrams should be included, **even if the service is provided by a third party vendor**

Note: If your credit union uses a third-party provider for any of these services, note within that section that all disaster recovery functions will be performed by a third party vendor, and list all pertinent information to initiating the vendor to perform the recovery (i.e. contact information, your client number, cost authorizations, etc)

Computer System Recovery Procedures

The information required to bring the various computer systems of the Credit Union back on-line is included in this section.

- FORM: Data from one form will be placed in this section:
{ SOFTWARE INVENTORY }

Computer System Recovery Diagrams

Insert computer system diagrams here.

Network Recovery Procedures

The information required to bring the Credit Union's data network back on-line is included in this section.

- FORM: Data from one form will be placed in this section:
{ DATA CIRCUIT LIST }

Network Recovery Diagrams

Insert any diagrams of your Network layout in this section.

Telephone Recovery Procedures

The information required to bring the Credit Union's telephone network back on-line is included in this section.

- FORM: Data from one form will be placed in this section:
{ VOICE CIRCUIT LIST }

Telephone Recovery Diagrams

Insert telephone system diagrams here.

Security System Recovery Procedures

The information required to bring the Credit Union's security system back on-line is included in this section.

Security System Recovery Diagrams

Insert security system diagrams here.

Technology Vendor Directory

This section contains a directory of all the vendors providing technology services to the Credit Union. It is provided here as a resource to the individual(s) responsible for managing the recovery of technology systems in a disaster.

- FORM: Data from one form will be placed in this section:
{ TECHNOLOGY VENDOR DIRECTORY }

Facilities Recovery Procedures

This section contains critical information about how to shut down and evacuate each Credit Union facility in the event of a disaster. It also contains the information needed to replace or restore Credit Union facilities damaged in a disaster.

Facility Inventory Sheets

This section contains the Facilities Inventory forms for each Priority I facility. Priority I facilities are those that are absolutely essential and whose function must be restored, either through repair or substitution, within 48 hours.

In addition to the form information provided for each of these sections, the credit union may want to add an asset list, supplies inventory list, and paper forms list for each facility.

Priority I Facilities

This section contains the Facilities Inventory forms for each Priority I facility. Priority I facilities are essential for member service or administrative functions and whose function must be restored, either through repair or substitution, within 7 days.

Priority II Facilities (if applicable)

This section contains the Facilities Inventory forms for each Priority II facility. Priority II facilities are defined as non-essential to the immediate survival and recovery of the Credit Union. These facilities will be restored as resources permit.

Note: Depending on the number of CU locations, Priority II and III facilities may not be necessary, and these pages may be removed from the manual.

Priority III Facilities (if applicable)

This section contains the Facilities Inventory forms for each Priority III facility. Priority III facilities are defined as non-essential to the immediate survival and recovery of the Credit Union. These facilities will be restored as resources permit.

Note: Depending on the number of CU locations, Priority II and III facilities may not be necessary, and these pages may be removed from the manual.

Short Term Facilities

This section contains information about the Credit Union's short-term facilities options. It should include agreements, contact names and phone numbers, amount of space available, resources provided (power, data connections, furniture, etc.), notice requirements and anticipated cost.

Permanent Repair & Recovery

This section contains information about each Credit Union facility that will facilitate its repair or replacement. This information could include construction information, such as architect, contractor, cost, special property information, easements, building permits, etc.

Any other information, including replacement strategy that would be helpful to the Disaster Management Team should be included.

Facilities Vendor Directory

This section contains a directory of all the vendors providing facilities services to the Credit Union. It is provided here as a resource to the individual(s) responsible for managing the repair or replacement of facilities damaged in a disaster.

- FORM: Data from one form will be placed in this section:
{ FACILITIES VENDOR DIRECTORY }

Key Business Function Recovery Procedures

This section contains recovery procedures for the key business functions.

For each sub-section:

- Using the Priority Function List found in the “Disaster Recovery Strategy” section (under Key Management Information), recovery procedures required to bring each of your business services for each section. This can be quite detailed giving step-by-step instructions and procedures for each function.
- Additional pages can be added as sub-pages to each section if necessary to help with organization and ease of review.
- Note: the timeframes listed for each of the Priorities are suggested guidelines, and may be adjusted by the credit union based on credit union needs.

Priority I Functions & Recovery Procedures

This section should contain recovery procedures for Priority I Business Functions. Priority I is defined as those functions that must be recovered within 48 hours. It also contains the team members responsible for ensuring the recovery is completed.

- FORM: Data from one form will be placed in this section:
{ BUSINESS FUNCTION RECOVERY TEAM }

Priority II Functions & Recovery Procedures

This section contains recovery procedures for Priority II Business Functions. Priority II is defined as those functions that must be recovered within 7 days.

Priority III Functions & Recovery Procedures

This section contains recovery procedures for Priority III Business Functions. Priority III is defined as those functions that must be recovered within 30 days. Except in severe or unusual circumstances, it is expected that all key business functions will be recovered within 30 days.

Public Relations

This section contains information and guidelines that will help you manage the press and public information during a disaster.

Public Relations Fundamentals

This section provides some general guidance for dealing with the media during a disaster.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary.

- FORM: Data from one form will be placed in this section:
{ MEDIA INQUIRY LOG }

Note: because this form will be filled out after an event, many credit unions choose to print a blank version of these forms for the printed manual in the event they cannot access the electronic version during media inquiries.

Effective Crisis Communication

This section provides guidance for dealing with the media in the midst of an emergency or crisis situation.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary.

Employee Communication

This section provides guidance for communicating with employees during an emergency or crisis situation, and helping them understand their role in subsequently communicating information to the public.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary. The credit union may want to add additional information including through what channels the information will be distributed to employees and who is responsible to ensure this information is disseminated to employees in a timely manner.

Key Media Contacts

This section provides a list of Key Media contacts.

- FORM: Data from one form will be placed in this section:
{KEY MEDIA CONTACTS}

Tips for Working With Reporters

This section provides guidance for dealing specifically with reporters.

This section contains sample verbiage which to be reviewed and customized by the credit union if necessary.

Model News Releases

This section is for model press releases that can be used in the event of a disaster. A variety of model press releases could be listed for the various kinds and degrees of disaster.

There is no sample text in this section.

Insurance And Funding

This section contains information concerning the Credit Union's financial needs during disaster response and recovery. Some of the needs will be immediate, others will stretch out over time.

Additional sub-pages can be added if necessary any of the sub-section to help organize and more easily review the information in this section.

Bond Coverage

Include detailed information regarding provider contact information, copies of statements of coverage, claim processes, and claim forms.

Casualty Coverage

Include detailed information regarding provider contact information, copies of statements of coverage, claim processes, and claim forms.

Funding Arrangements

Include detailed information including copies of funding options and strategy; a listing of funding providers, key contacts, and phone numbers; and Line of Credit documents

Outside Assistance Information

In some disaster situations, the Credit Union movement becomes actively involved in helping Credit Unions survive a disaster. This aid can come in many ways, from cash assistance, to equipment, to loaned employees. This section contains the names and phone numbers of key contacts within the credit union industry.

This section should include names and contact information of your local credit union association.

Key Reference Information

This section contains key reference information not found elsewhere in the plan. It is designed as a single source for vital information that may assist you in the recovery process.

Additional sub-pages can be added if necessary any of the sub-section to help organize and more easily review the information in this section.

Staff & Officials Directory

This list will help facilitate communications in the event of disaster.

- FORM: Data from two forms will be placed in this section:
{ VITAL EMPLOYEE INFORMATION}
{ CREDIT UNION OFFICIALS}

Emergency Telephone List

This list will provide a single resource to assist the Disaster Management Team in coordinating resources and recovery efforts. It should contain all of the agencies, vendors, sponsors, or other resources that may be needed in a disaster.

There is suggested text in this section of the various contacts that should be included. The credit union should review this carefully and add contact information for all appropriate contacts, as well as any other contacts that would be important for the credit union to contact during or after a disaster event.

Copies of Key Documents & Contracts

This section provides a place to add important documents that the credit union may need during or after a disaster situation.

There is suggested text in this section of the various document and contracts that should be included. The credit union should review this carefully and add in all appropriate detailed information, as well as any other documents that would be important for the credit union to have on hand during or after a disaster event.

Note: Rather than storing and maintaining these documents as part of the plan, the credit union may use this area as a list of these documents, and where they can be found in alternate locations and/or off-site storage.

Part Two: Populating the Manual Forms

An overview of all the forms are given on the following pages for your convenience in filling out the manual.

*** Note*** Each form must have at least one entry added to appear as part of the content in the electronic manual.

Blank forms are available for printing from the Library section.

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Media Inquiry Log	34
Voice Circuit List	35
Information Systems Backup Log	35
Insurance And Funding Directory	36
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Emergency Services Vendor Directory	36
Business Function Recovery Team	36

Vital Employee Information

Include information for all employees including specific medical treatment information, spouse dependent information and emergency contact information. The more detailed these forms are filled out the more useful they will be in the event of a severe disaster.

- This form is found on the “*Vital Employee Information*” page, in the “*Human Resources*” section.
- This form is also found on the “*Employee & Officials Directory*” page, in the “*Key Reference Information*” section.

Key Media Contacts

Include information of various media contacts the Credit Union corresponds with or might need to contact in the event of various types of disaster events. This includes traditional media outlets such as local newspaper, TV or radio stations, as well as other communication outlets such as the credit union’s Web developer.

- This form is found on the “*Key Media Contacts*” page, in the “*Public Relations*” section.

Global Situation Assessment

Include information regarding Global (wide or distant scale) disasters that in some shape or form affect the credit union (ex: possible computer outages due to internet service provider affected by disaster).

- This form is found on the “*Global Assessment*” page, in the “*Situation Assessment*” section.

The fields are defined as below:

Situation: Can be any disaster which occurs on a regional or global scale.

Severity: Specify the severity of the disaster as well as how long the disaster is expected to affect the area.

Date/Time of Occurrence: List the date of the disaster.

Geographical Scope of Situation: Specify the area that the disaster occurred.

Human Impacts: Specify how deeply the disaster affects people living in that area.

Impact to Site: List the physical damage to the area affected by the disaster.

Impact to Sites Computer System: List the damage inflicted upon the computer system in the area affected by the disaster.

Impact on Site’s Communications: List the damage inflicted upon the communications systems in the area affected by the disaster.

Services Impacted by this Situation at this Site: List the services that your credit union relies upon that are impacted by the disaster in this area.

Other Important Information: List any relevant information about the disaster or recovery procedures.

Key Business Function Analysis

Identify the various Key Business Functions that your Credit Union operates on a regular basis. See Chapter 13 (Identification of Key Business Functions) of the Implementation Guide for a sample list of functions.

- This form is found on the “*Disaster Recovery Strategy*” page, in the “*Key Management Information*” section.

The recovery priority of the business function after a disaster is defined below:

Recovery Priorities are defined as:

- **Priority 1:** Absolutely essential function which must be restored within 48 hours.
- **Priority 2:** Important function for essential member service or administrative support that must be restored within 7 days.
- **Priority 3:** Non-essential function to the immediate survival and recovery of the credit union. It will be restored as resources permit.

Testing Evaluation Form

This form helps test key elements of your plan before an actual disaster strikes.

- This form is found on the *“Disaster Recovery Strategy”* page, in the *“Key Management Information”* section.

The fields are defined as below:

Test Director: Person responsible for leading the test.

Participants: List all persons involved in the test and their roles.

Scope of Test: Document the aspects of the system that you are testing.

Systems to be Tested: Clearly identify each system to be included in the test. (ex: main computer system, key desktop computers, backup network links, home banking systems, audio response units, etc.)

Testing Process: Briefly describe the process you will use to test each system. Some processes may effectively test multiple systems.

Contacts for Scheduling: Schedule the resources for each test appropriately, alert outside vendors as well as security and police if necessary.

Objective: List the objective of your test regarding the system. Make sure the objectives are measurable and not too broad.

Problems Encountered: Describe any errors or technical problems.

Facility Analysis

This form identifies all Facilities locations such as your main office, retail branches, administrative offices, call centers, ATM's/kiosks, storage facilities, etc..

- This form is found on the “*Priority I Facilities*”, “*Priority II Facilities*” and “*Priority III Facilities*” pages, in the “*Facilities Recovery Procedures*” section.

The fields are defined below:

Recovery Priority: **Priority 1** facilities are those that are absolutely essential and whose function must be restored, either through repair or substitution, within 48 hours. **Priority 2** facilities are essential for member service or administrative functions and whose function must be restored, either through repair or substitution, within 7 days. **Priority 3** facilities are defined as non-essential to the immediate survival and recovery of the Credit Union. These facilities will be restored as resources permit.

Additional priority ranking can be specified for each entry by setting a sub-priority from **a (high) – z (low)**.

Security Requirements/System: List the security system and requirements for this facility

Power Requirements: List the power requirements for this facility

Datacomm Requirements: List the datacomm requirements for this facility

Telephone Requirements: List the telephone requirements for this facility

Value As An Alternate Facility: Describe the extent to which each facility can be used as an alternate for other facilities that may be unavailable.

Shutdown Procedures: Describe the procedures to shutdown all major functions of this facility in the event of a disaster.

Evacuation Procedures: Describe the evacuation instructions for all employees and members to safely exit the facility in the event of a disaster.

Recovery Foundation Report Card

List the various vital operations to your Credit Union that are essential to begin recovery efforts in the event of a disaster. See Chapter 3 (Operations Procedures) of the Implementation Guide for a sample list of operating areas.

- This form is found on the “*Disaster Recovery Strategy*” page, in the “*Key Management Information*” section.

The fields are defined as below:

Regulation: Vital Operation of your Credit Union

Priority: Rank the priority of restoring this operation in the event of a disaster from **1 (high)** to **4 (low)**.

Grade: Grade your ability to restore this operation after testing your Disaster Contingency Plan rating from **A (excellent)** to **F (poor)**

Regulation Description: Give a brief description of the operation procedure that you are testing.

Comments: Record any comments on testing this recovery operation.

Recommendations: List and recommendations (if any) for improving recovery time and ability for this operation.

Disaster/Risk Analysis Worksheet: Natural Disasters

This form is the risk analysis for Natural Disasters. When working on NARROW SCOPE plans, list only those that will affect the local area. For BROAD SCOPE plans, list all that may apply.

- This form is found on the “*Scope of Plan*” page, in the “*Key Management Information*” section.

The fields are defined as below:

Natural Disaster: Use the drop down box to choose a natural disaster.

Preparation Priority: Weigh the various dimensions of each disaster and consider the potential loss to the credit union. Rate the priority as

- **1 Top Priority** (high risk of loss, prepare for at the earliest opportunity),
- **2 Medium Priority** (some risk of loss, prepare for as time and resources permit), or
- **3 Low Priority** (low risk of loss, do not expend resources in this area).

Probability: Rate the probability of this disaster occurring from **High, Medium** to **Low**.

Severity: Measures the impact on credit union operations. Rate the severity of the disaster from **High, Medium** to **Low**.

Frequency: Estimate how often this type of disaster occurs from **Often, Sometimes** or **Rarely**.

Scope: Defines the estimated area of impact. Is it local as in the case of a computer room fire or broad as in the case of massive flooding due to Hurricanes. Specify the area that this disaster would affect from **Building, Locale** or **Region**.

Predictable: Specify whether this disaster could be predicted either **Yes** or **No**. (A gas line rupture is not predictable while spring flooding due to heavy snow pack and warm weather is.)

Speed of Onset: Specify how quickly the disaster develops and would affect the credit union either **Sudden** or **Gradual**.

Duration: Measures the length of time the disaster condition is expected to last. Specify either **Long (14+ days), Medium (3-14 days)** or **Short (1-2 days)**

Disaster/Risk Analysis Worksheet: Human Failures

This form is the risk analysis for Human Failures. When working on NARROW SCOPE plans, list only those that will affect the local area. For BROAD SCOPE plans, list all that may apply.

- This form is found on the “*Scope of Plan*” page, in the “*Key Management Information*” section.

Human Failure: Use the drop down box to choose a Human Failure Disaster.

Preparation Priority: Weigh the various dimensions of each disaster and consider the potential loss to the credit union. Rate the priority as

- **1 Top Priority** (high risk of loss, prepare for at the earliest opportunity),
- **2 Medium Priority** (some risk of loss, prepare for as time and resources permit), or
- **3 Low Priority** (low risk of loss, do not expend resources in this area).

Probability: Rate the probability of this disaster occurring from **High, Medium** to **Low**.

Severity: Measures the impact on credit union operations. Rate the severity of the disaster from **High, Medium** to **Low**.

Frequency: Estimate how often this type of disaster occurs from **Often, Sometimes** or **Rarely**.

Scope: Defines the estimated area of impact. Is it local as in the case of a computer room fire or broad as in the case of massive flooding due to Hurricanes. Specify the area that this disaster would affect from **Building, Locale** or **Region**.

Predictable: Specify whether this disaster could be predicted either **Yes** or **No**. (A gas line rupture is not predictable while spring flooding due to heavy snow pack and warm weather is.)

Speed of Onset: Specify how quickly the disaster develops and would affect the credit union either **Sudden** or **Gradual**.

Duration: Measures the length of time the disaster condition is expected to last. Specify either **Long (14+ days), Medium (3-14 days)** or **Short (1-2 days)**

Disaster/Risk Analysis Worksheet: Mechanical Failures

This form is the risk analysis for Mechanical Failures. When working on NARROW SCOPE plans, list only those that will affect the local area. For BROAD SCOPE plans, list all that may apply.

- This form is found on the “*Scope of Plan*” page, in the “*Key Management Information*” section.

Mechanical Failure: Use the drop down box to choose a Mechanical Failure Disaster.

Preparation Priority: Weigh the various dimensions of each disaster and consider the potential loss to the credit union. Rate the priority as

- **1 Top Priority** (high risk of loss, prepare for at the earliest opportunity),
- **2 Medium Priority** (some risk of loss, prepare for as time and resources permit), or
- **3 Low Priority** (low risk of loss, do not expend resources in this area).

Probability: Rate the probability of this disaster occurring from **High, Medium** to **Low**.

Severity: Measures the impact on credit union operations. Rate the severity of the disaster from **High, Medium** to **Low**.

Frequency: Estimate how often this type of disaster occurs from **Often, Sometimes** or **Rarely**.

Scope: Defines the estimated area of impact. Is it local as in the case of a computer room fire or broad as in the case of massive flooding due to Hurricanes. Specify the area that this disaster would affect from **Building, Locale** or **Region**.

Predictable: Specify whether this disaster could be predicted either **Yes** or **No**. (A gas line rupture is not predictable while spring flooding due to heavy snow pack and warm weather is.)

Speed of Onset: Specify how quickly the disaster develops and would affect the credit union either **Sudden** or **Gradual**.

Duration: Measures the length of time the disaster condition is expected to last. Specify either **Long (14+ days), Medium (3-14 days)** or **Short (1-2 days)**

Software Inventory

Fill out the form listing the various software programs installed on your computers needed for daily operation (MS Office, MS Outlook, Mainframe systems, etc.)

- This form is found on the *“Computer System Recovery Procedures”* page, in the *“Technology Recovery Procedures”* section.

The fields are defined below:

Software Name: Give the full name of the program installed (ex. Adobe Acrobat Reader).

Version: List the version number of the software program.

License #: Record the license number (if any) assigned to your software program.

Single/Network: Specify whether the license purchased for your software is for a single computer install or for your entire network of computers.

Install Date: Specify when the software was originally installed.

Computer Where Installed: Specify which computer or computers currently have the software installed.

Support #: Record the support number associated with the software program for technical difficulties or customer service.

Renewal Date: Record the renewal date for the software program if there is any.

Facilities Vendor Directory

Fill out the form to include vendors responsible for services such as electrical power, natural gas, water, sewer, etc.

- This form is found on the *“Facilities Vendor Directory”* page, in the *“Facilities Recovery Procedures”* section.

Technology Vendor Directory

Fill out the form to list all Technology Vendors and related contact information.

- This form is found on the “*Technology Vendor Directory*” page, in the “*Technology Recovery Procedures*” section.

Data Circuit List

Fill out the form for all of your Data Circuits. Your IT staff should be able to supply this information.

- This form is found on the “*Network Recovery Procedures*” page, in the “*Technology Recovery Procedures*” section.

The fields are defined as below:

Phone Number (if applicable): List the phone number assigned to your data circuit.

Circuit Number: List number assigned to your data circuit.

Type: Specify the type of circuit this is. (Frame Relay, Integrated Voice/Data, SDSL, etc.)

Speed: Specify the speed of this circuit. (T1, T3, etc.)

Location: Specify the location this circuit is installed at.

Routing Info: Record the routing information for this circuit.

Support #: Record the phone number for technical support or customer service.

Disaster Management Team Members

This form lists the credit union's Disaster Management Team Members. Those designated as Disaster Management Team Members will execute the Disaster Recovery Plan in the event of a disaster.

- This form is found on the "*Disaster Management Team*" page, in the "*Key Management Information*" section.

Site Specific Situation Assessment

This form would be filled out after a disaster has occurred. It is for local disasters that in some shape or form affect the credit union (ex: Tornado that impacted power lines).

- This form is found on the "*Site Specific Assessments*" page, in the "*Situation Assessment*" section.

The fields are defined as below:

Situation: Can be any disaster which occurs on a local scale.

Severity: Specify the severity of the disaster as well as how long the disaster is expected to affect the area.

Date/Time of Occurrence: List the date of the disaster.

Geographical Scope of Situation: Specify the area that the disaster occurred.

Human Impacts: Specify how deeply the disaster affects people living in that area.

Initial Projections for Financial Impact to Credit Union: Estimate how this disaster will affect your credit union financially.

Impact on System-Wide Computer System: List the damage inflicted upon the computer system as regards all credit union locations and branches.

Impact on System-Wide Communications: List the damage inflicted upon the communications systems as regards all credit union locations and branches.

Key Business Functions Impacted by this Situation: List the services that your credit union relies upon that are impacted by the disaster in this area.

Other Important Information: List any relevant information about the disaster or recovery procedures.

Records Retention Log

See Chapter 3 (Records Retention) and Chapter 4 (Preservation of Damaged Records) of the Implementation Guide for a detailed explanation of various record descriptions.

- This form is found on the *“Copies of Key Documents & Contracts”* page, in the *“Key Reference Information”* section.

Disaster Planning Project Team

This form lists the credit union’s Disaster Planning Project Team members. Although the Disaster Planning Project Team and Disaster Management Team may have the same team members the responsibility of the Disaster Planning Project Team is to develop the Disaster Contingency Plan. Select your Disaster Planning Project Team members based on their ability to develop the plan. Generally you would select individuals from Upper Management, IT, Facilities and perhaps other departments.

- This form is found on the *“Disaster Management Team”* page, in the *“Key Management Information”* section.

Media Inquiry Log

This form would be utilized when a media figure contacts the Credit Union. This helps record communications as well as capture contact information.

- This form is found on the *“Public Relations Fundamentals”* page, in the *“Public Relations”* section.

Voice Circuit List

This form lists all of the credit union's Voice Circuits. Your IT staff or vendor should be able to supply this information.

- This form is found on the *"Telephone Recovery Procedures"* page, in the *"Technology Recovery Procedures"* section.

The fields are defined as below:

Phone Number: List the phone number assigned to your voice circuit.

Circuit Number: List number assigned to your voice circuit.

Type: Specify the type of circuit this is. (Analog DID, Integrated Voice/Data, etc.)

Location/Configuration: Specify the location this circuit is installed at as well as it's configuration.

Provider: List the service provider of this circuit.

Support #: Record the phone number for technical support or customer service.

Information Systems Backup Log

This form lists the credit union's IS backup logs. Your IT staff or vendor should be able to provide the following information:

- This form is found on the *"Implementation of Technology Backup Plans"* page, in the *"Declaration of Disaster"* section.

Media Type/ID#'s: Specify what type of media was used for the backup as well as the Name or Number that identifies each backup.

In Set: Specify the number of media pieces used for the backup (ex. 3 compact discs)

Description: Describe what has been backed up (ex. data server)

Location: Specify where this backup resides

Verified By: Specify who checked the backup as a reliable backup.

Insurance And Funding Directory

This form is a record of all the Credit Union's Insurance and Funding policies.

- This form is found on the *"Insurance & Funding"* page, which is the first (main) page in the *"Insurance & Funding"* section.

Credit Union Officials

This form lists all of the Credit Union's Officials.

- This form is found on the *"Employee & Officials Directory"* page, in the *"Key Reference Information"* section.

Emergency Services Vendor Directory

This form lists the various Emergency Services Vendors that will be vital to contact during and after a disaster.

- This form is found on the *"Emergency Telephone List"* page, in the *"Key Reference Information"* section.

Business Function Recovery Team

This form assigns the manager in charge of each key business function as the team leader for the recovery effort of the area of their expertise.

- This form is found on the *"Priority I Functions & Recovery Procedures"* page, in the *"Key Business Function Recovery Procedures"* section.
- **Priority:** **Priority 1** is defined as those functions that must be recovered within 48 hours.
- **Priority 2** is defined as those functions that must be recovered within 7 days.
- **Priority 3** is defined as those functions that must be recovered within 30 days. Except in severe or unusual circumstances, it is expected that all key business functions will be recovered within 30 days.