

Disaster Preparedness & Response

| Disaster Preparedness & Response | | | |
|---|--|-------------------------------------|--|
| INTRODUCTION AND PURPOSE | | | |
| REVIEW ELEMENTS | | | |
| ABBREVIATIONS | | | |
| NCUA REFERENCES | | | |
| EXTERNAL REFERENCES | | | |
| | | Yes/No/NA | Comments |
| Planning - Ensuring Financial Services to Members | | | |
| 1.0.0 | Is there a written Disaster Preparedness & Response (DPR) plan? | <input checked="" type="checkbox"/> | Telecommunications Continuity Plan |
| 1.0.a | a. Does the plan address periodic testing? | <input checked="" type="checkbox"/> | Annual Testing: results posted in web-portal |
| 1.0.b | b. Are updates to the plan and testing efforts documented in the board Minutes | <input type="checkbox"/> | |
| 1.1.0 | Does the DPR plan identify specific threats to delivering vital financial services to its members? | <input checked="" type="checkbox"/> | Telecommunications |
| 1.2.0 | Does the DPR plan identify critical systems and their role in providing members with vital financial services | <input checked="" type="checkbox"/> | Telecommunications, National Toll free numbers CULOCATe |
| 1.3.0 | Does the DPR plan establish a timeline for restoring critical systems? | <input checked="" type="checkbox"/> | |
| 1.4.0 | Does the DPR plan include multiple forms of communications? | <input checked="" type="checkbox"/> | Voice communications & Email notification |
| 1.5.0 | Does the DPR plan establish various methods for disseminating information to members? | <input checked="" type="checkbox"/> | National toll free number & CULOCATe |
| 1.6.0 | Does the DPR plan address communication between key staff, corporate credit unions, vendors, league affiliates, local media, and status reports to NCUA/state regulator> | <input checked="" type="checkbox"/> | Voice communications are restored, Email notification sent to key staff, national toll free number, CULOCATe |
| 1.7.0 | Does the DPR plan include evacuation and /or "shelter-in-place" guidance? | <input checked="" type="checkbox"/> | National toll free number can be updated by CU Staff @ anytime including pre event or post event. |
| 1.8.0 | Does the DPR plan include "pre-event" preparations? | <input checked="" type="checkbox"/> | National toll free number & CULOCATe |
| 1.8.a | Will back-ups of data be performed and accessible from a safe location? | <input type="checkbox"/> | |
| 1.8.b | b. Are members informed on how to contact the credit union after disaster occurs? | <input checked="" type="checkbox"/> | National toll free number & CULOCATe |
| Resources - Allocation of Equipment, Facilities, And Supplies | | | |
| 2.0.0 | Has the credit union determined its equipment, facility, and supply needs in the event of a disaster? | <input checked="" type="checkbox"/> | Telecommunications |
| 2.1.0 | Is a list of critical systems including emergency vendor/supplier contact information maintained at the credit union and alternate locations> | <input checked="" type="checkbox"/> | All can be stored in web-portal |
| 2.2.0 | Are appropriate contingencies developed in the event back-up or alternate systems fail? | <input checked="" type="checkbox"/> | Mutiple termination devices/locations available |
| 2.3.0 | Is there a designated alternate worksite(s) which is a reasonable distance from the credit union based on the potential disasters identified in the DPR? | <input checked="" type="checkbox"/> | phones calls can be redirected to any location before, during and after a crisis event. |
| 2.4.0 | Is a secondary alternate worksite location designated? | <input type="checkbox"/> | |
| 2.5.0 | Has the credit union designated one or more off-site storage facilities for backup information within a safe, but reasonable distance from the credit union? | <input checked="" type="checkbox"/> | Alternate telecom equipment |
| 2.6.0 | Has the credit union established a reliable means for disbursement of cash and/or checks in the event of disaster? | <input type="checkbox"/> | |
| 2.7.0 | Does the credit union maintain sufficient insurance and is the basic policy information included in the DPR plan? | <input type="checkbox"/> | |
| Evaluation - Testing of Contingencies for All Critical Systems | | | |
| 3.0.0 | Is the DPR plan tested periodically, and what was the date of the last test? | <input checked="" type="checkbox"/> | <i>Contracts, certification and testing doucments are all available on-line</i> |
| 3.1.0 | Are agreements with shared service branches evaluated for the ability to handle increased transactions in case of disaster? | <input checked="" type="checkbox"/> | TCP can readily scale to support additional requirements. |

| | | | |
|--|--|-------------------------------------|---|
| 3.2.0 | Are disaster support agreements with system vendor (s) evaluated at least annually? | <input checked="" type="checkbox"/> | Notification of any changes to CU profile is sent to CU & VoiceGard for review. |
| 3.3.0 | Are disaster support agreements for buildings and facilities reviewed annually? | | |
| 3.4.0 | Are temporary locations periodically tested for readiness? | | |
| 3.5.0 | Are alternate communication means tested by key credit union staff members? | <input checked="" type="checkbox"/> | Annual testing available |
| 3.6.0 | Has the credit union tested its ability to communicate with the local media? | <input checked="" type="checkbox"/> | National toll free numbers and additional Emergency contact numbers are available |
| 3.7.0 | Are test results integrated into the DPR plan? | <input checked="" type="checkbox"/> | All results are posted in web-portal |
| People - Maintaining Readiness of Staff And Officials | | | |
| 4.0.0 | Does the DPR plan include a listing of key people and their responsibilities? | <input checked="" type="checkbox"/> | All key staff are listed in the web portal, providing multiple means of contact. |
| 4.1.0 | Does the DPR plan clearly identify the individual authorized to initiate/ terminate the plan and their alternate? | <input checked="" type="checkbox"/> | All key staff are identified based on authorization |
| 4.2.0 | Has the credit union considered special skills and capabilities of staff members to aid in various types of disasters? | | |
| 4.3.0 | Does the DPR plan provide for each individual's specific responsibilities and secondary duties? | <input checked="" type="checkbox"/> | TCP enables more staff to participate |
| 4.4.0 | Does the DPR plan designate a Disaster Recovery Team (DRT)? | <input checked="" type="checkbox"/> | All key staff are identified. |
| 4.5.0 | Does the DPR plan identify a site for the DRT to assemble after a disaster? | <input checked="" type="checkbox"/> | TCP enables key staff to communicate anywhere |
| 4.6.0 | Are all credit union personnel provided with initial and periodic training as it relates to the DPR plan? | | |
| 4.7.0 | Is emergency contact information current on the 5300 Call Report? | <input checked="" type="checkbox"/> | All key staff are included |
| Alliances - Establishing Relationships With Other Organizations | | | |
| 5.0.0 | Does the DPR plan identify essential alliances? | <input checked="" type="checkbox"/> | VoiceGard: Telecommunications |
| 5.1.0 | Are communication plans in place for essential alliances? | <input checked="" type="checkbox"/> | TCP allows you to contact Alliance partners |
| 5.2.0 | Has the credit union considered whether geographic separation with its essential alliances is important? | <input checked="" type="checkbox"/> | Services are independent geogeographic location |
| 5.3.0 | Are essential alliances able to support emergency needs? | <input checked="" type="checkbox"/> | TCP enhances DATA & Workgroup recovery |
| 5.4.0 | Are essential alliances part of testing? | <input checked="" type="checkbox"/> | TCP easi |
| Review - Updating Internal Plans for Effectiveness | | | |
| 6.0.0 | Is the DPR plan periodically reviewed by officials and updated? | <input checked="" type="checkbox"/> | TCP is available via web browser |
| 6.1.0 | Are post-incident response reviews performed after the credit union is affected by a disaster or service disruption? | | |
| 6.2.0 | Are deficiencies found by the credit union during testing and/or causes for service disruptions corrected in the DPR plan? | | |
| Experience - Incorporate Lessons Learned From Others | | | |
| 7.0.0 | Are lessons learned from others evaluated and incorporated into the credit union's preparedness efforts? | | |
| 7.1.0 | Has management reviewed the disaster preparedness plans of its major vendors and utilized the best practices? | <input checked="" type="checkbox"/> | TCP is available via web browser |