



FEDERAL RESERVE BANK  
OF DALLAS

TONY J. SALVAGGIO  
FIRST VICE PRESIDENT

July 30, 1993

DALLAS, TEXAS 75222

**Notice 93-70**

**TO:** The Chief Operating Officer of  
each financial institution in the  
Eleventh Federal Reserve District

**SUBJECT**

Operating Circular 18  
(Disaster Recovery)

**DETAILS**

The Federal Reserve Bank of Dallas has begun renaming and reissuing its Bulletins as Operating Circulars in order to conform to the language used in the Uniform Commercial Code. Accordingly, Bulletin 18 is being reissued as Operating Circular 18 (Disaster Recovery).

In connection with this reissue, changes have been made to include FR 2900 reporting and Treasury Tax and Loan as applications covered by our contingency arrangements for quick recovery.

**ENCLOSURE**

Enclosed is Operating Circular 18. Please file it in your Operating Circulars (Bulletins) binder and discard the old version.

**MORE INFORMATION**

For more information, please contact Larry Ripley at (214) 922-6430. For additional copies of this Bank's notice or Operating Circular 18, please contact the Public Affairs Department at (214) 922-5254.

Sincerely,

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# Operating Circular

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F e d e r a l   R e s e r v e   B a n k   o f   D a l l a s

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**18**

**Disaster Recovery**

# Scope

Operating Circular 18 addresses the services provided by the Federal Reserve Bank of Dallas in the event of a disaster and the conditions for access to and use of those services. This Operating Circular covers disaster situations affecting the Dallas Office only.

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18

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18

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**GENERAL**

*Purpose of This Operating Circular*

1. This Operating Circular addresses the services provided by the Federal Reserve Bank of Dallas in the event of a disaster—“critical services”—and the conditions for access to and use of those services. This Operating Circular also states the requirements placed on depository institutions for reconnection to critical services provided by the Bank and covered by this Operating Circular. This Operating Circular applies to all parties to which the Bank provides critical services pursuant to this Operating Circular, including their successors, representatives, and assigns.

*Disaster Recovery Operations*

2. The Bank operates four main computer centers at its offices in Dallas, Houston, El Paso, and San Antonio. If one of these centers is severely damaged, we will continue our critical-service operations at one of the other offices or at the Federal Reserve System’s disaster recovery center in Culpeper, Virginia (“Culpeper Center”). Services provided by the Bank may be disrupted in many ways, such as by a software or equipment failure, fire or water damage, or a disruption in the telecommunications network. We will endeavor to address each possible failure in such a way that financial institutions can rely on receiving an appropriate level of service on a consistent basis. In the event of a disaster requiring relocation of the Bank’s critical-service operations, the Bank requests that depository institutions execute a set of specified procedures and be prepared to provide specified data to effect resumption of critical services provided by the Bank.

**DEFINITIONS**

*Disaster Situation*

3. A disaster is defined as any situation resulting in the Bank’s loss of hardware, software, data, physical plant and equipment, or access to the physical plant and equipment to the extent that the Bank is unable to resume the provision of critical services to depository institutions without relocation. Senior officials of the Bank will declare a disaster. Depository institutions will then be notified via recordings on Bank telephone lines and other broadcast media, including the public news media. This Operating

Circular covers disaster situations affecting the Dallas Office *only*.

*Disaster Recovery Operations*

4. Disaster recovery operations are defined as operations that resume critical services after a relocation of the Dallas Office computer center to the Culpeper Center and/or the relocation of Dallas Office critical-service operating departments to the Houston Branch.

*Critical Services*

5. Critical services are defined to be the Wire Transfer Service, the Securities Transfer Service, the Automated Clearinghouse Service, the Treasury Tax and Loan Service, the Statistical Reporting Service, and the Accounting Service. Wire Transfer, Securities Transfer, Treasury Tax and Loan, Statistical Reporting, and Automated Clearinghouse services will be provided to depository institutions with electronic connections through connections rerouted to the Culpeper disaster recovery center. Offline Wire Transfer and Securities Transfer services will be provided within limitations established by responsible Bank officials in accordance with the ability of the responsible operating departments to provide those services. The deposit, processing, and delivery of automated clearinghouse (ACH) items and files will be supported, but the support of ancillary services thereto (data entry of ACH return items and notification of change items) will be provided only at the discretion of the Bank according to its ability to provide those services. Accounting information for the previously defined critical services will be provided on a three-day lag basis.

*Disaster Relocation Center*

6. The disaster relocation center for critical-service operating departments is defined as the Bank’s Houston Branch.

**NOTIFICATION OF DISASTER**

*Notification of Service Loss*

7. If a severe disruption of the Bank’s data processing facilities, data communication facilities, or critical-service operating department facilities occurs, senior Bank officials will assess the situation before deciding to declare a disaster. If facilities are available, online broadcasts will be made to online depository institutions to

advise them that a disaster has been declared. If facilities for broadcasts are not available or are disrupted, rerouting of voice communication lines to the Bank's Houston Branch will be effected, and recordings will be provided to advise depository institutions calling the Dallas Office that a disaster has been declared. Public announcements will be made through all available news media to advise depository institutions that a disaster has been declared by the Bank.

#### *Status of Recovery Efforts*

8. As in paragraph 7 above, the Bank will advise depository institutions of the status of its disaster recovery through all available media. When operations have been reestablished, online depository institutions will be notified through broadcasts that the Bank is prepared to resume critical services. Telephone numbers for contacting Electronic Customer Services or critical-service operating departments at the Houston Branch are listed in Appendix 1. Also listed in Appendix 1 are two sets of numbers for the direct-dial connection of Fedline terminals and dial backups for dedicated-line connections at the Culpeper Processing Center. The computer services that are relocated to Culpeper will use one of the two sites but not both. Broadcasts will direct depository institutions to use one or the other set of numbers (if the Bank's "800" number cannot be used) for direct-dial connection to data communication facilities at Culpeper.

#### *Contact Points*

9. The Bank expects that financial institutions will designate no more than one individual per critical-service department or function (wire transfer, securities transfer, automated clearinghouse, and so on) to maintain contact with the Bank until full normal operations are resumed. The Bank expects that the contact individual will pass all information on the status of the recovery and operations to other members of the department and the financial institution, if possible. Also, financial institution contact individuals should be responsible for passing information to their data processing and network support staff. Recovery of critical operations will proceed more quickly and smoothly if the Bank is not receiving unnecessary (multiple) calls from institutions requesting instructions and information. The appropriate Bank operations staff should be

advised of the contact person's name and telephone number at first contact. Financial institution staff not on the Bank's list of contact individuals will be advised to communicate with the appropriate contact person at their institution if they call Bank operations staff seeking information or assistance.

### **REESTABLISHING ELECTRONIC CONNECTIONS**

#### *Reestablishing Dial-up Connections*

10. If financial institutions are advised that a disaster has been declared, information can be obtained by calling Electronic Customer Services at the Bank's Dallas Office at the numbers listed in Appendix 1. If Electronic Customer Services at the Bank's Dallas Office cannot be reached, the Bank's Houston Branch should be called at the numbers listed in Appendix 1. The status of recovery of critical-service operations will be provided by a recording reached through the Electronic Customer Services call. Once the establishment of operations at Culpeper has been announced, financial institutions using dial-up connections should call the Electronic Customer Services toll-free number, (800) 333-1672, to establish data communications with the Culpeper Center. Dallas financial institutions that normally use the local Dallas dial-up numbers must use the "800" number. All financial institutions can dial directly to the numbers listed for Culpeper Processing Center Contingency Site 1 or Site 2 in Appendix 1. Financial institutions will be advised via telephone recordings and broadcasts which set of numbers to use. Financial institutions will use one set or the other but not both.

#### *Reconciliation and Resumption of Wire Transfer Service*

11. Reconciliation of wire transfers sent and received will be performed according to procedures listed in Appendix 2. Once reconciliation is complete, the Bank's wire room should be contacted. The wire room staff will advise the financial institution whether it can resume operations or whether the financial institution must close business for that day and resume operations on the next business day. The Bank's wire room staff will advise the financial institution of any procedures beyond those listed in Appendix 2 that must be followed to resolve unreconciled transactions.

***Reconciliation and Resumption of Securities Transfer Service***

12. Reconciliation of securities transfers sent and received will be performed according to procedures listed in Appendix 3. Once reconciliation is complete, Bank Securities staff will advise the financial institution whether it can resume operations or whether the financial institution must close business for that day and resume operations on the next business day. The Bank's Securities staff will advise the financial institution of any procedures beyond those listed in Appendix 3 that must be followed to resolve unreconciled transactions.

***Reconciliation and Resumption of ACH Service***

13. Reconciliation and resumption of the ACH Service will be performed in accordance with the procedures listed in Appendix 4. The Bank's ACH staff will advise financial institutions of procedures beyond those listed in Appendix 4 to be performed for unreconciled files or items. The Bank will not process trace or research requests on the day that a disaster is declared. The Bank makes no warranty that ACH return item and notification of change data entered by the Bank from paper items submitted by a financial institution or from data submitted by a financial institution through the Customer Assistance Touch-Tone Information Express (CATIE) facility will be processed and delivered. The Bank will advise financial institutions when such items are undeliverable and when financial institutions must make other arrangements for the delivery of such items.

***Provision of Reserve and Clearing Account Statements***

14. The Bank will make reasonable efforts to provide a complete and accurate account statement for each financial institution's account for the day on which the disaster is declared. For the days after the declaration of a disaster by the Bank, accounting statements will be provided on a three-day lag basis and will reflect only those transactions resulting from use of the critical services in accordance with the procedures listed in Appendix 5.

***Reconciliation and Resumption of Treasury Tax and Loan Service***

15. Reconciliation of Treasury Tax and Loan activity will be performed according to proce-

dures listed in Appendix 6. Once reconciliation is complete, Bank Fiscal Agency staff will advise the financial institution when Treasury Tax and Loan activity will resume. Treasury Tax and Loan operations may be suspended for up to three days after a disaster. Fiscal Agency staff will advise the financial institution of any procedures beyond those listed in Appendix 6 that must be followed to resolve unreconciled transactions.

***Resumption of Statistical Reporting***

16. Deadlines for all statistical reports collected by the Dallas Office will remain the same in the event of a disaster. Financial institutions will be contacted by Dallas Office Statistics staff if reports have not been received. Resumption of statistical reporting will be performed according to procedures listed in Appendix 7.

**EXCHANGE OF PHYSICAL ITEMS**

17. The Bank will provide for the messenger exchange of ACH magnetic tapes and for the pickup of statements and advices reflecting ACH, Transfer of Funds, Securities Transfer, and Accounting activity for Dallas Office financial institutions using messenger services at the address given in Appendix 8. The Bank will arrange for courier delivery of the items listed above to financial institutions that normally receive courier delivery by placing those items in the courier delivery system from the Bank's Houston Branch. The Bank does not warrant that such items will be delivered within normal (nondisaster) time frames.

**DATA SECURITY IN A DISASTER**

***Encryption Key***

18. The Bank expects to resume provision of critical services without change to security procedures. However, the Bank may choose, in its discretion, to change the encryption key used for encryption of data between financial institutions and the Bank.

***Terminal and Operator Security***

19. The Bank expects to resume data communication operations without change to terminal or operator security procedures. However, the Bank reserves the right, in its discretion, to require financial institution operators to change their password or other terminal or operator security identifiers.

**DEPOSITORY INSTITUTION  
RESPONSIBILITIES IN A DISASTER**

*Depository Institution Responsibility for  
Determining if a Disaster Has Been Declared*

20. Online financial institutions should monitor broadcast messages for notification of a disaster. A financial institution should attempt telephonic contact with the Bank if the financial institution is not able to establish a data communication connection or if it is an offline financial institution and receives no answer when attempting to contact a Bank operating department. Attempts should be made to telephone the Bank at the Electronic Customer Services local or "800" number listed in Appendix 1. If financial institutions are unable to contact the Bank by telephone, then they should monitor public news media for announcement of a Bank disaster.

*Reestablishing Electronic Connections*

21. When financial institutions are advised that the Bank has resumed operations, financial institutions should begin efforts to establish data communications with the Culpeper Center. Financial institutions with dedicated-line connections are required to first attempt to establish data communication connections by using their dedicated line. In the event this attempt fails, financial institutions are then required to attempt to establish data communication connections by using their dial backup facility, at the Bank's direction. FINANCIAL INSTITUTIONS WITH DEDICATED-LINE CONNECTIONS BUT WITHOUT A DIAL BACKUP FACILITY WILL BE GIVEN THE LOWEST PRIORITY IN REESTABLISHING DATA COMMUNICATION CONNECTIONS WITH THE BANK.

*Financial Institution Requirements for the  
Resumption of Transfer of Funds Service*

22. Financial institutions shall retain all documentation to verify that the Bank has received and processed all funds transfers sent by financial institutions and that financial institutions have received and processed all funds transfers sent to them by the Bank. Financial institutions shall keep all records of activity for the day on which a disaster is declared (the "disaster day"), as well as those for the day before the disaster day. Financial institutions are required to prioritize their wire transfers so that high-priority transfers may

be sent first upon the reestablishment of service with the Bank. Each financial institution is also required to provide the Bank with the sequence number of the last transaction sent by the financial institution to the Bank and the sequence number of the last transaction received by the financial institution from the Bank. Offline financial institutions shall be prepared to advise the Bank of their *position within* their code-word list. OFFLINE FINANCIAL INSTITUTIONS SHALL NOT PROVIDE THE BANK OR ANY OTHER ENTITY WITH THE NEXT AVAILABLE CODE WORD IN THEIR LIST EXCEPT WHEN MAKING AN OFFLINE WIRE TRANSFER THROUGH THE BANK WIRE ROOM.

*Financial Institution Requirements for the  
Resumption of Securities Transfer Service*

23. Financial institutions are required to retain all documentation to verify that the Bank has received and processed all securities transfer transactions sent by financial institutions and that financial institutions have received and processed all securities transfer transactions sent by the Bank. Financial institutions shall retain all records of activity for the disaster day, as well as those for the day before the disaster day. Financial institutions shall prioritize securities transfers for the reestablishment of service with the Bank. Financial institutions shall also balance their activity records to the terminal balance report and active issues report obtained after reestablishing data communication connections to the Bank's Securities Transfer Service.

*Financial Institution Requirements for the  
Resumption of ACH Service*

24. Financial institutions shall retain all documentation to verify that the Bank has received and processed all ACH files deposited by financial institutions on the disaster day and that financial institutions have received and processed all ACH files sent by the Bank. Financial institutions originating and depositing ACH files with the Bank are required to have copies of all deposited files available for retransmission, at the Bank's request, after reestablishment of the ACH Service. Financial institutions are required to maintain copies of deposited ACH files covering at least the business day before the disaster day and have all files deposited on the disaster day available for retransmission or deposit on tape. Financial institutions depositing ACH files on tape shall, at the Bank's request, redeposit those

files at the location given in Appendix 8. Financial institutions are further required to establish an alternative means of returning CATIE or paper ACH return items and notifications of change to the originating institution.

#### ***Financial Institution Responsibility for Reconciling ACH Files***

25. Financial institutions are required to maintain all ACH files received via data transmission or on tape from the Bank for the business day before the disaster day and to retain all ACH files received on the disaster day. Financial institutions are required to retain all ACH advices for the three days preceding the disaster day and all ACH advices received on the disaster day, because the Bank will not be in a position to provide copies of paper ACH advices. Financial institutions shall reconcile to the advices provided by the Bank all files deposited and received on the day before the disaster day, as well as those deposited and received on the disaster day. Financial institutions shall reconcile all ACH files deposited with the Bank and received from the Bank with the ACH staff at the Bank's Houston Branch at the Bank's request.

#### ***Exchange of Physical Items***

26. Financial institutions using messenger services to deliver and collect ACH magnetic tapes and/or accounting statements and advices reflecting ACH, Treasury Tax and Loan, Transfer of Funds, and Securities Transfer activity shall direct the messengers to the address given in Appendix 8.

#### ***Financial Institution Requirements for the Resumption of Treasury Tax and Loan Service***

27. Financial institutions are required to retain all TT&L documentation to verify that the Bank has received and processed all tax deposits sent by the financial institutions. Financial institutions shall retain all records of activity for the disaster day, as well as for the day before the disaster day, in a readily accessible place. Financial institutions must be prepared to balance their activity records to the "cutoff" statement that will be provided by the Bank.

#### ***Financial Institution Requirements for the Resumption of Statistical Reporting***

28. Financial institutions are required to retain all documentation to verify that the Bank has

received and processed all statistical reports sent by the institutions. Financial institutions that send their FR 2900 data to the Bank via Fedline must retain the data, ready for transmission, for at least one week at all times. Dallas Office staff will request retransmission if necessary.

#### **LIABILITY: AUTHORITY TO DEFER CRITICAL SERVICES**

29. Every financial institution for which the Bank provides critical services hereby authorizes the Bank to defer or cause to be deferred, for such periods during the time of the disaster situation as the Bank in its discretion may determine, the provision of critical services that the Bank believes to be impractical at the time because of the disaster situation.

#### **MISCELLANEOUS**

##### ***Right to Amend***

30. The Bank reserves the right to amend this Operating Circular at any time.

##### ***Termination***

31. The Bank may terminate arrangements set forth in this Operating Circular at any time.

## **APPENDIX 1**

### **CONTACT NUMBERS FOR CRITICAL SERVICES**

#### ***Dallas Office: Electronic Customer Services***

(214) 922-6161  
(800) 333-1672

#### ***Houston Disaster Relocation Center***

##### **Electronic Customer Services**

(713) 652-1671—Primary Houston number for  
Electronic Customer Services  
(713) 652-1677

##### **Accounting Services**

(713) 652-1673—Primary Houston number for Accounting  
(713) 652-1674  
(713) 652-1676  
(713) 652-1678  
(713) 652-1679  
(713) 652-1682  
(713) 652-1683

##### **Automated Clearinghouse**

(713) 652-1684—Primary Houston number for ACH  
(713) 652-1675

##### **Transfer of Funds**

(713) 652-1647—Primary Houston number for TOF  
(713) 652-1646  
(713) 652-1649  
(713) 652-1687  
(713) 652-1689  
(713) 652-1692  
(713) 652-1693  
(713) 652-1695  
(713) 652-1696

##### **Transfer of Securities**

(713) 652-1643—Primary Houston number for TOS  
(713) 652-1694

##### **Treasury Tax and Loan Services**

(713) 652-1636

##### **Statistical Reporting**

(713) 659-4433

**APPENDIX 1** *(continued)*

***Culpeper Processing Center Contingency Sites  
for Dial-in Data Communications Connections***

**Contingency Site 1**

(703) 825-5002

(703) 825-6560

(703) 825-6960

**Contingency Site 2**

(703) 829-7800

(703) 829-7830

(703) 829-0650

## **APPENDIX 2**

### **DISASTER RECOVERY PROCEDURES FOR TRANSFER OF FUNDS**

#### **IMMEDIATE ACTION TO BE TAKEN BY ALL DEPOSITORY INSTITUTIONS**

- Retain all documentation so you can verify that the Bank has received and processed all funds transfers you sent and that the financial institution has received and processed all funds transfers the Bank has sent.
- Be sure to keep records of activity the day before the outage, as well as the day of the outage.
- Prioritize funds transfers for the reestablishment of service with the Bank.
- The Dallas Relocation Team will assist online institutions in sending large dollar transfers. Small dollar transfers should be sent through the financial institution's correspondent institution.
- A broadcast message will be sent over the RESPONSE network to inform financial institutions when the Bank has reestablished operations and when reconciliation of transactions, both sent and received, may begin.
- Financial institutions will be informed via a broadcast message from the Bank staff about when they may transmit new business over the RESPONSE network.
- Financial institutions will be informed in the broadcast or by telephone call or telephone recording which of the following sets of numbers will be used if you are making a direct-dial connection to the Culpeper Processing Center:

#### **Contingency Site 1**

(703) 825-5002  
 (703) 825-6560  
 (703) 825-6960

#### **Contingency Site 2**

(703) 829-7800  
 (703) 829-7830  
 (703) 829-0650

#### **DETERMINE NEXT EXPECTED INCOMING AND OUTGOING SEQUENCE NUMBER**

- Financial institutions with dial-up, dedicated-line, FLASH, or FRISC electronic connections have access to an Inquiry function that enables them to review the most recent Fedwire messages sent from or received by the Bank's system. Through this medium, financial institutions can resynchronize their funds system with the Bank's and reconcile their records with the Bank's records.

#### **AFTER WE HAVE RECOVERED OUR FEDWIRE (TRANSFER OF FUNDS) OPERATION**

- Ensure that the last Fedwire messages sent and received by the Bank's system agree with the last messages sent and received by the financial institution's funds transfer system.

**APPENDIX 2** (continued)

- Depending on the nature of the disruption, some information that was being processed at the time of the disruption or shortly before the disruption could be lost. Financial institutions using the RESPONSE network have access to an Inquiry function that enables them to review the most recent Fedwire messages sent from or received by the Dallas Office's system. Through this service, financial institutions may reconcile their records with the Dallas Office's records.
- If there is a difference between the financial institution's records and the Dallas Office's records, please follow the steps listed below.

**RESPONSE network financial institutions using Fedline software** may choose either of these options:

1. Inquire concerning the last transfer that you (the financial institution) attempted to send or receive via the Browse feature from the Funds Transfer menu. Verify that the status code is *TA*.

OR

2. Perform a Retrieval (*RTVM*) request from the Create A Message menu, and view the last transfer sequence number you (the financial institution) sent or received.

**Financial institutions utilizing FLASH or FRISC links** should perform a Retrieval (*RTVM*) or Inquiry function to verify that the last transfer sent or received has processed completely.

- Prepare a list of any entries you are expecting, including respondent transactions, but have not received at the time of the disaster declaration.

**WHAT YOU CAN DO TODAY TO PREPARE FOR A DISASTER**

- Arrange for a test of your institution's backup leased-line connection with the Bank. Call an Electronic Customer Services representative at the Bank to arrange for this test.
- Test your institution's backup connection at least once every six months. The Bank routinely tests all its dial-up connections.
- Keep up to date the authorization forms at the Bank that designate personnel authorized to perform offline funds transfers for your institution.
- Discuss any issues or concerns regarding disaster recovery plans for funds transfers with a Bank Wire Transfer representative.

Transfer of Funds: (214) 922-6433

- If necessary, establish a new backup connection by calling a Dallas Office Electronic Customer Services representative at (214) 922-6161 or (800) 333-1672.
- To ensure that we can contact your institution after a disruption of your institution's operations, please check that you have given us backup telephone numbers for the Wire Transfer of Funds contact at your institution, as well as for your disaster coordinator.

**APPENDIX 2** *(continued)*

- Develop and practice manual procedures for gathering copies of all transactions processed on disaster day and any other data needed to reconcile accounts and reserve position.

## APPENDIX 3

### DISASTER RECOVERY PROCEDURES FOR SECURITIES TRANSFERS

#### IMMEDIATE ACTION TO BE TAKEN BY ALL ONLINE FINANCIAL INSTITUTIONS

- Retain all activity records.
- Request a balancing report.
- Submit a message retrieval for the current day's activity.
- Request member bank accounting totals.
- The Bank will notify your institution of the time of your last completed transaction; be prepared to balance your institution's activity records to the terminal balance report and the active issues report.
- Report any discrepancies to your local Federal Reserve office Securities representative at the numbers listed below, and we will assist you in confirming the completion of your transactions.

Dallas and El Paso financial institutions should call

**Dallas Office:** (214) 922-6748  
(800) 333-4460, Ext. 6748

Houston financial institutions should call

**Houston Branch:** (713) 652-1636  
(800) 392-4162, Ext. 1636

San Antonio financial institutions should call

**San Antonio Branch:** (210) 978-1303  
(800) 292-5810, Ext. 1303

- Resume regular operations only after you have been notified by the Bank via a RESPONSE network broadcast message.
- Financial institutions will be informed in the broadcast or by telephone call or telephone recording which of the following sets of numbers will be used if you are making a direct-dial connection to the Culpeper Processing Center:

#### Contingency Site 1

(703) 825-5002  
(703) 825-6560  
(703) 825-6960

#### Contingency Site 2

(703) 829-7800  
(703) 829-7830  
(703) 829-0650

**APPENDIX 3** *(continued)*

**WHAT YOU CAN DO TODAY TO PREPARE FOR A DISASTER**

- Arrange for a test of your institution's backup leased-line connection with the Bank. Call the Securities Department at the Bank to arrange for this test.
- Test your institution's backup connection at least once every six months. The Bank routinely tests all its dial-up connections.
- Discuss any issues or concerns regarding disaster recovery plans for securities transfer with a Bank Securities Department representative.

Dallas and El Paso financial institutions should call

**Dallas Office:** (214) 922-6748  
(800) 333-4460, Ext. 6748

Houston financial institutions should call

**Houston Branch:** (713) 652-1636  
(800) 392-4162, Ext. 1636

San Antonio financial institutions should call

**San Antonio Branch:** (210) 978-1303  
(800) 292-5810, Ext. 1303

- If necessary, establish a new backup connection by calling a Dallas Office Electronic Customer Services representative at (214) 922-6161 or (800) 333-1672.
- To ensure that we can contact your institution after a disruption of your institution's operations, please check that you have given us backup telephone numbers for the Securities contact at your institution, as well as for your disaster coordinator.
- Request that your local Fed office send you an active issues report. This will help to familiarize you with the report.
- Develop and practice manual procedures for gathering copies of all transactions processed on disaster day and any other data needed to reconcile accounts and reserve position.

## APPENDIX 4

### DISASTER RECOVERY PROCEDURES FOR AUTOMATED CLEARINGHOUSE

#### IMMEDIATE ACTION TO BE TAKEN BY ALL DEPOSITORY INSTITUTIONS

##### DISK FILES

- Depository institutions need to have the capability to resend their automated clearinghouse (ACH) files for 24 hours or the next business day. For example, Friday files should be resent on Monday or Tuesday.
- Data should be backed up, and institutions should have the data available to re-create and retransmit ACH files at any time.
- Retransmit your ACH file if the Bank notifies you that it is operating in a disaster recovery situation and your file is one that needs to be retransmitted.

##### TAPE FILES (USE ONLY IF ELECTRONIC CONNECTIONS CANNOT BE MADE)

- If tape files are damaged or lost because of a building or computer room disaster, the depository institution must be prepared to re-create the tape files upon request and deliver them to the auxiliary mail room at

Aviall  
Love Field  
7515 Lemmon Avenue  
Hanger K-L  
Dallas, Texas 75209

- Files must be delivered as follows:

Day cycle input—by 5:15 a.m.  
Night cycle input—by 5:15 p.m.

- Auxiliary mail room telephone number: (214) 357-8240
- If a disaster recovery situation exists, contact the ACH staff at the Houston Branch at (713) 652-1595 for additional information.

##### ACH RETURN ITEMS (PAPER, CATIE, DEDICATED-LINE)

- Depository institutions must be prepared to return all completed return item forms to the originating depository institution at the depository institution's own expense, if necessary.
- The ACH staff, relocated to the Houston Branch, will assist as much as possible on debit items of \$2,500 or larger.
- If your depository institution is a sending point or if another institution is set up in the ACH authorization file to send for your institution, you may elect to create a tape or electronic file for input of your return items. Such files must be delivered to the auxiliary mail room at Love Field or transmitted to the Bank's contingency data processing center in Culpeper, Virginia, by the times indicated above.

**APPENDIX 4** *(continued)*

**OUTPUT FILES**

- In the event of a service disruption, all Federal Reserve offices in the Eleventh District will receive their own output in the same manner as before with the exception of the Dallas Office. Dallas Office output will be received at the Houston Branch from the Culpeper Processing Center and distributed as follows:
  1. Mail: All data to be placed in U.S. Postal Service mail will be mailed from the Houston Branch.
  2. Courier: All data will be picked up from the Houston Branch by Pony Express and delivered to the courier points. As a result, data may be delivered later than usual.
  3. Private courier (messenger): Data will be delivered by Pony Express to the auxiliary mail room in Dallas, located at Love Field, for local messenger pickup. (The address of the auxiliary mail room is given above under "Tape Files.")

**REMAKES OF ACH DATA**

- As soon as your depository institution determines that it is missing a file, please request a remake. PLEASE DO NOT REQUEST PAPER ADVICE COPIES.

**TELEPHONE CALLS FOR DAILY TOTALS**

- Depository institutions that are usually called daily and given settlement totals WILL NOT BE NOTIFIED of their settlement totals in the event of a disaster. A CATIE facility to replace these telephone calls will be made available in the event of a disaster. Information concerning its use will be provided by ACH staff located at the Houston Branch.

**GARS (GENERALIZED ADVICE RETRIEVAL SYSTEM)**

- GARS will not be available. Please do not call the ACH Division for totals. ACH will not have microfiche or staff to check totals while handling an emergency.

**RESEARCH INFORMATION**

- Calls with reference to research, pricing, trace requests, and customer information file (CIF) changes will not be handled until after all operations have been recovered. Upon recovery, priority will be given to trace requests and CIF changes.

**AFTER THE ACH SERVICE HAS BEEN REESTABLISHED**

- Resume regular operations only after you have been notified by the Bank via a RESPONSE network broadcast message.
- Financial institutions will be informed in the broadcast or by telephone call or telephone recording which of the following sets of numbers will be used if you are making a direct-dial connection to the Culpeper Processing Center:

**APPENDIX 4** *(continued)*

**Contingency Site 1**

(703) 825-5002  
(703) 825-6560  
(703) 825-6960

**Contingency Site 2**

(703) 829-7800  
(703) 829-7830  
(703) 829-0650

- Ensure that all ACH files sent by the Bank to your institution have been received and that all ACH files sent by your institution have been received by the Bank.
- The ACH activity statement for the day on which the disruption occurred should be carefully reconciled the next morning to ensure that no files were lost, damaged, or duplicated.

**WHAT YOU CAN DO TODAY TO PREPARE FOR A DISASTER**

- Arrange for a test of your institution's backup leased-line connection with the Bank. Call an ACH representative at the Bank to arrange for this test.
- Test your institution's backup connection at least once every six months. The Bank routinely tests all its dial-up connections.
- In the event of a Dallas Office disaster, institutions that have tested their connections with this office will be given priority in receiving their ACH files.
- Keep signature cards at the Dallas Office up to date. Those cards serve as a list of authorized individuals at your institution we can contact about ACH.
- Discuss any issues or concerns regarding disaster recovery plans for ACH with a Bank ACH representative.

ACH: (214) 922-6443  
(214) 922-6441  
(214) 922-6437

- If necessary, establish a new backup connection by calling a Dallas Office Electronic Customer Services representative at (214) 922-6161 or (800) 333-1672.
- To ensure that we can contact your institution after a disruption of your institution's operations, please check that you have given us backup telephone numbers for the ACH contact at your institution, as well as for your disaster coordinator.

## APPENDIX 5

### DISASTER RECOVERY PROCEDURES FOR ACCOUNTING INFORMATION

#### IMMEDIATE ACTION TO BE TAKEN BY ALL DEPOSITORY INSTITUTIONS

Two services of the Bank's accounting system interface with financial institutions: the delivery of accounting statements and the delivery of reconciliation data.

- In the event of a disaster, call one of the representatives listed below. They will be able to give you information concerning the disaster and what to do. Contacts for both services are as follows:

#### **Dallas Office**

Jim Mabe (214) 922-5606  
Claude Davis (214) 922-5607  
Lisa Johnson (214) 922-5610

#### **Houston Contingency Site**

(713) 652-1673

#### **El Paso Branch**

Jerry Silvey (915) 521-8230

#### **Houston Branch**

C.O. Holt (713) 652-1530

#### **San Antonio Branch**

David Sowell (210) 978-1420

- Statement and reconciliation tape delivery will definitely be affected by the disaster relocation of the Dallas operations to Houston. The Bank will not be able to make "first day of the outage" deliveries until at least three days after the disaster has been declared.
- Even after the situation stabilizes, mail point depository institutions—for example, those in West Texas and Louisiana—will experience a three-day delivery lag for statements and reconciliation tapes. Other institutions will be serviced within two days, and depository institutions that use bulk data or ACH links for delivery of their reconciliation data will be serviced as soon as the connections are made and the data are available for transmission.

#### WHAT YOU CAN DO TODAY TO PREPARE FOR A DISASTER

- Arrange for a test of your institution's backup leased-line connection with the Bank by contacting the Dallas Office Financial Planning and Control Department at (214) 922-5610.
- Test your institution's backup connection at least once every six months. The Bank routinely tests all its dial-up connections.
- Discuss any issues or concerns regarding disaster recovery plans for Accounting Services with a Bank Financial Planning and Control Department representative.

Accounting Services: (214) 922-5610

- If necessary, establish a new backup connection by calling a Dallas Office Electronic Customer Services representative at (214) 922-6161 or (800) 333-1672.

**APPENDIX 5** *(continued)*

- To ensure that we can contact your institution after a disruption of your institution's operations, please check that you have given us backup telephone numbers for the Accounting contact at your institution, as well as for your disaster coordinator.

**APPENDIX 6**

**DISASTER RECOVERY PROCEDURES FOR  
TREASURY TAX AND LOAN SERVICES**

**IMMEDIATE ACTION TO BE TAKEN BY ALL FINANCIAL INSTITUTIONS**

- Retain all activity records.
- The Bank will provide a "cutoff" statement of activity to the point of disruption. Be prepared to balance your activity records to the cutoff statement.
- Report any discrepancies to your local Federal Reserve office, Treasury Tax and Loan Section, at the numbers listed below, and we will assist you in confirming the completion of your transactions.

**Dallas Office:** (214) 922-6711  
 (214) 922-6716  
 (214) 922-6704  
 (800) 333-4460, Ext. 6711, 6716, or 6704

**El Paso Branch:** (915) 521-8268  
 (800) 592-1631, Ext. 8268 (Texas)  
 (800) 351-1012, Ext. 8268 (New Mexico)

**Houston Branch:** (713) 652-1636  
 (800) 392-4162, Ext. 1636

**San Antonio Branch:** (210) 978-1303  
 (800) 292-5810, Ext. 1303

- A broadcast message will be sent over the RESPONSE network to advise financial institutions of the outage and the estimated time of recovery.
- Resume regular operations only after you have been notified by the Bank via a RESPONSE network broadcast message. TT&L operations may be suspended for up to three days.
- Institutions with a Fedline connection will be able to view their account activity and process advices when TT&L services have been restored.
- Financial institutions will be informed in the broadcast or by telephone call or telephone recording which of the following sets of numbers will be used if you are making a direct-dial connection to the Culpeper Processing Center:

**Contingency Site 1**

(703) 825-5002  
 (703) 825-6560  
 (703) 825-6960

**Contingency Site 2**

(703) 829-7800  
 (703) 829-7830  
 (703) 829-0650

**APPENDIX 6** *(continued)*

- Institutions accessing the FASTAX system can continue to call in their advices to one of three branch locations, and the advices will be stored until TT&L services have been restored.

**El Paso Branch:** (800) 592-1631, Ext. 8278 (Texas)

(800) 351-1012, Ext. 8278 (New Mexico)

**Houston Branch:** (800) 458-0057

**San Antonio Branch:** (800) 292-5810, Ext. 1234

**WHAT YOU CAN DO TODAY TO PREPARE FOR A DISASTER**

- Arrange for a test of your institution's backup leased-line connection with your local Fed office. Call the appropriate number below to arrange for this test.
- Test your institution's backup connection at least once every six months. The Bank routinely tests all its dial-up connections.
- Discuss any issues or concerns regarding disaster recovery plans for TT&L transactions with your local Fed office.

**Dallas Office:** (214) 922-6711

(214) 922-6716

(214) 922-6704

(800) 333-4460, Ext. 6711, 6716, or 6704

**El Paso Branch:** (915) 521-8268

(800) 592-1631, Ext. 8268 (Texas)

(800) 351-1012, Ext. 8268 (New Mexico)

**Houston Branch:** (713) 652-1636

(800) 392-4162, Ext. 1636

**San Antonio Branch:** (210) 978-1303

(800) 292-5810, Ext. 1303

- If necessary, establish a new backup connection by calling a Dallas Office Electronic Customer Services representative at (214) 922-6161 or (800) 333-1672.
- To ensure that we can contact your institution after a disruption of your institution's operations, please check that you have given us backup telephone numbers for the TT&L contact at your institution, as well as for your disaster coordinator.

## APPENDIX 7

### DISASTER RECOVERY PROCEDURES FOR STATISTICAL REPORTING

#### IMMEDIATE ACTION TO BE TAKEN BY ALL FINANCIAL INSTITUTIONS

##### DEADLINES

- Deadlines for all reports collected by the Dallas Office Statistics Department will remain the same in the event of a disaster. Financial institutions will be contacted by Bank Statistics staff if reports sent during the disaster have not been received. Fax numbers at Dallas and Houston are listed below.

##### FR 2900 REPORTERS

- Financial institutions that send their FR 2900 data to the Bank via the Fedline application Accounting Services (AS) or Statistical Remote Entry (K2-SRE) will need to have the capability to retransmit their data for at least one week.
- Statistics staff will contact financial institutions that need to retransmit their FR 2900 data after the Bank has recovered computer operations.
- Financial institutions will be informed by a RESPONSE network broadcast, telephone call, or telephone recording which of the following sets of numbers will be used if you are making a direct-dial connection to the Culpeper Processing Center:

##### Contingency Site 1

(703) 825-5002  
(703) 825-6560  
(703) 825-6960

##### Contingency Site 2

(703) 829-7800  
(703) 829-7830  
(703) 829-0650

##### FAX NUMBERS

- Use the Houston numbers if Dallas Office Statistics staff relocate to the Houston site.

**Dallas fax numbers:** (214) 922-5394  
(214) 922-5395

**Houston fax numbers:** (713) 652-1526  
(713) 652-9109

#### WHAT YOU CAN DO TODAY TO PREPARE FOR A DISASTER

- Arrange for a test of your institution's backup leased-line connection with the Bank. Call an Electronic Customer Services representative at the Dallas Office at (214) 922-6161 or (800) 333-1672 to arrange for this test.
- Test your institution's backup connection at least once every six months. The Bank routinely tests all its dial-up connections.

**APPENDIX 7** *(continued)*

- Send updated remote entry agreements to the Statistics Department when necessary. Keep up to date the authorization forms at the Bank that designate personnel authorized to perform FR 2900 data transmissions. Notify Statistics when report contacts change at your financial institution.
- Discuss any issues or concerns regarding disaster recovery plans for statistical reporting with a Bank Statistics representative.

Statistics: (214) 922-5401

- To ensure that we can contact your institution after a disruption of your institution's operations, please check that you have given us backup telephone numbers for the Statistics contact at your institution, as well as for your disaster coordinator.

**APPENDIX 8**

**DALLAS OFFICE AUXILIARY MAIL ROOM ADDRESS**

Aviall  
Love Field  
7515 Lemmon Avenue  
Hanger K-L  
Dallas, Texas 75209