



## AAA-ICDR® Business Continuity/Disaster Recovery Summary

At the American Arbitration Association-International Centre for Dispute Resolution® (the “AAA-ICDR”), ensuring the continued operation of our business in the event of a significant business disruption or disaster is very important to us as well as to our customers. Accordingly, the AAA-ICDR has in place both a detailed Business Continuity Plan (“BCP”) to address business contingencies as well as a Disaster Recovery Plan (“DRP”), referenced in the BCP, to address the recovery of the AAA-ICDR’s technology infrastructure and key information systems.

### Key Elements of the AAA-ICDR BCP Plan

The purpose of the BCP is to ensure the continuation of critical business operations in the event of a significant business disruption. The AAA-ICDR BCP documents business continuity roles, responsibilities, communications and all other essential information needed for the AAA-ICDR to protect personnel and assets, and to restore mission-critical functions as quickly as possible.

A key component of the BCP is the Business Impact Analysis (BIA). The BIA is meant to identify the potential impact of business disruptions for the AAA-ICDR’s primary business functions and to assess and prioritize critical business processes to ensure mission-critical processes are recovered first. The BIA includes an estimation of maximum allowable downtime associated with each business function/process (recovery time objective or “RTO”).

In the addition to the BIA, the BCP includes an assessment of the major risks or threats which could significantly disrupt AAA-ICDR operations. Impact of these threats fall into three main categories: Loss of People, Loss of Office or Loss of Technology. The AAA-ICDR has several resiliency strategies in place to significantly mitigate the impact of these outcomes as outlined below. In all cases, the critical processes outlined in the BIA are used to drive recovery priorities.

### Loss of People

In the event that a significant number of AAA-ICDR staff at one or more locations is unavailable to perform their job responsibilities (e.g. Natural Disaster, Pandemic, Mass Causality Event), case administration work can be re-assigned to a number of different AAA-ICDR offices. The AAA-ICDR has offices with case administration staff in over 25 locations throughout the US and abroad. Work is already shared across the offices and work reassignment is practiced regularly during more minor disruptive events such as office closings due to inclement weather. The AAA-ICDR utilizes a hosted VOIP telephone system enabling easy forwarding of any AAA-ICDR or mobile phone numbers thus ensuring that AAA-ICDR customer inquiries are routed to available staff. Email can also be forwarded quickly as needed.

### Loss of Office

In the event that access or travel to a given AAA-ICDR office is in some way restricted or if an office is severely damaged (Fire, Black Out, Transit Strike, etc.), AAA-ICDR staff can work from their home offices or any other location with a reliable internet access. Over 180 AAA-ICDR personnel including SVPs, VPs, AVPs/Directors, Supervisors and Office Managers



already have laptops, VPN access to the AAA-ICDR's network and access to AAA-ICDR email on their mobile devices. Again, AAA-ICDR phone extensions can be forwarded to other AAA-ICDR offices or personal phones as needed.

For extended office occupancy disruptions (greater than 30 days), the AAA-ICDR may also consider relocation of the impacted AAA-ICDR operation to another office. In the Northeast Region, the AAA-ICDR has space in several other AAA-ICDR locations where we can relocate AAA-ICDR operations as needed. Outside the Northeast, the majority of AAA-ICDR's regional offices are located in large office parks where the landlord has many buildings at the same site or elsewhere in the same city and thus could help facilitate nearby relocation if necessary.

## Loss of Technology

The AAA-ICDR's technology recovery process is fully outlined in the AAA-ICDR's Disaster Recovery Plan ("DRP").

The AAA-ICDR maintains two data centers, a primary data center located in Secaucus, NJ and a secondary data center located in Plano, TX. Both data centers are housed off-site, in co-located, SOC Type II certified facilities with redundant connectivity and back-up electrical power. The geographic diversity of the data centers is meant to protect against regional disruptions.

Both AAA-ICDR data centers are highly resilient. Both employ a high-level of server virtualization, clustering and equipment redundancy, thus allowing for real-time failover of key business applications and/or connectivity in the event of an equipment failure.

The AAA-ICDR's secondary data center is "hot" meaning it is fully operational at all times and is used daily for network optimization as well as software development and testing environments.

Given the resiliency of the primary data center, failover from the primary data center to the secondary data center would only be required in the event of a complete outage of the AAA-ICDR's primary data center (i.e. rendered inoperable by a major disaster). Upon failover, our most critical systems can be recovered within 6 to 12 hours.

The AAA-ICDR maintains real-time, redundant, system image replication and back-ups of all IT systems and data stored in both the AAA-ICDR data centers. Therefore the recovery point objective ("RPO") within each data center in all cases is "no data loss." The AAA-ICDR also maintains back-ups of all IT systems and data, off-site, at Iron Mountain to be used in the remote event that both AAA-ICDR data centers become inoperable.

Lastly, the majority of AAA-ICDR office locations have redundant data communication lines allowing for the failover of data and/or VOIP capabilities in the event of an ISP outage.

## Updates and Periodic Review of the BCP/DRP

Both the BCP and DRP are to be reviewed annually and updated whenever there is a material change to our structure, business functions/processes, technology or locations. There is also a test plan in place to confirm plan effectiveness.



## Conclusion and Cautionary Language Regarding the BCP

While it is impossible to consider every possible disaster scenario and to develop a detailed contingency plan for each, we are confident we have addressed the major threats to our business and have critical resiliency plans in place to continue operating with minimum impact to our customers and business partners. It is possible, however, that in spite of our efforts, our ability to function after a catastrophic event may be adversely impacted by the actions (or failure to act) of third parties beyond our knowledge and control.