

(Unofficial Translation\*)

**Code of Conduct on BAHTNET Services in an Event of Emergency**

This Code of Conduct is prepared for BAHTNET service users to use as a procedural guideline in an event of emergency concerning BAHTNET and its supporting systems so that preparation can be made to address potential problems or impacts from the unavailability of BAHTNET due to technical difficulties at the Bank of Thailand and/or BAHTNET service users.

**Objectives**

1. To stipulate roles, responsibilities and procedures to address the impacts for the BOT and BAHTNET service users so that they are clear and immediately actionable in an event of difficulty.
2. To foster smooth collaboration between BAHTNET service users and concerned departments and prepare to prevent any potential damages that may arise.

**Scope**

This Code of Conduct covers roles, responsibilities and preliminary procedures to address the impacts in an event of difficulty concerning BAHTNET and its supporting systems. It can also be referred to in any other events by ways of proper consideration of the impacts and selection of the most appropriate procedures.

**Emergency scenarios**

Scenario 1: BAHTNET service user loses connection with the mainframe due to an uncontrollable factor

Scenario 2: The mainframe experiences difficulty such that transfers via BAHTNET services are not possible

Scenario 3: Occurrence of a loss event or an emergency that causes BAHTNET services to become unavailable together with the BOT's announcement of a business continuity plan

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\* This translation is for the convenience of those unfamiliar with the Thai language. Please refer to the Thai text for the official version.

## **Scenario 1: BAHTNET service user loses connection with the mainframe due to an uncontrollable factor**

### **Procedures**

1. If the BAHTNET service user connects to and exchanges transfer instructions mainly via SWIFT, it must immediately notify such difficulty to the BOT's BAHTNET Help Desk and quickly proceed to request a connection and transfer instruction exchange service via BOTWEB PORTAL in the BOT's Electronic Financial Services (EFS) instead.

2. If the BAHTNET service user connects to and exchange transfer instructions mainly via BOTWEB PORTAL in the BOT's Electronic Financial Services (EFS), it must immediately notify such difficulty to the BOT's BAHTNET Help Desk and quickly proceed to request a connection and transfer instruction exchange service via BOTWEB PORTAL in the BOT's Electronic Financial Services (EFS) by using:

- (1) Its own client backup or
- (2) BOT's client backup or
- (3) Transfer instruction letter
- (4) Telephone order

3. If the BAHTNET service user cannot connect to and exchange transfer instructions at all, it must immediately notify such difficulty to the BOT's BAHTNET Help Desk and quickly consider options to exchange transfer instructions by using:

- (1) BOT's client backup to connect to and send transfer instructions via BOTWEB PORTAL in the BOT's Electronic Financial Services (EFS) or
- (2) Transfer instruction letter
- (3) Telephone order

However, enquiries regarding the outstanding balance or movements in the current account or settlement account including queuing of transfer instructions to be sent via BAHTNET and preparation of end-of-day report shall be addressed to BAHTNET Help Desk for convenience.

## **Scenario 2: The mainframe experiences difficulty such that transfers via BAHTNET services are not possible, for example**

- Some computer equipment at the mainframe site is malfunctioned
- Current account system at the mainframe site is malfunctioned
- Certificate server at the mainframe site is malfunctioned
- WEB server at the mainframe site is malfunctioned
- WEB application server at the mainframe site is malfunctioned

- Network service is malfunctioned

### **Procedures**

The BOT shall notify BAHTNET service users via telephone and immediately activate the backup site and/or notify BAHTNET service users to make settlements by any one of the following methods

- (1) Inter-bank settlement
- (2) Transfer instruction letter
- (3) Telephone order
- (4) Any other methods as stipulated by BOT

In this regard, procedures shall comply with rules, procedures and conditions as stipulated by the BOT.

### **Scenario 3: Occurrence of a loss event or an emergency that causes BAHTNET services to become unavailable together with the BOT's announcement of a business continuity plan**

#### **Procedures**

The BOT shall notify BAHTNET service users by telephone and immediately activate the backup site and/or notify BAHTNET service users to make settlements by any one of the following methods

- (1) Inter-bank settlement
- (2) Transfer instruction letter
- (3) Telephone order
- (4) Any other methods as stipulated by BOT

In this regard, procedures shall comply with rules, procedures and conditions as stipulated by the BOT.

### **BAHTNET Help Desk Contacts**

#### **Normal times**

Tel. 0 2356 7707-8, 0 2283 5045-7, 0 2283 5071-2  
0 2283 5139, 0 2628 5583-4, 0 2283 5053, 0 2356 7300  
Fax. 0 283 6772

#### **Emergency**

Tel. 0 2356 8613

### **Business Continuity Plan Preparation and Exercise**

The BOT shall arrange for the annual business continuity plan exercise whereby it will set the test scenario and provide briefing for BAHTNET service users so that they can prepare necessary equipment, information, and personnel to be used during the exercise.

### **Considerations for settlement procedures in an event of emergency**

1. Overall impact to liquidity circulation
2. Time periods during which BAHTNET is unavailable
3. Number of transactions and/or institutions wishing to send transfer instructions
4. Agreement for the BOT to make account debit and credit
5. Readiness of BAHTNET service users to comply with the stipulated procedures