



TEMPEST RISK MANAGEMENT



XX COMPANY

BUSINESS CONTINUITY PLAN

09/17/2020

Authored by Tempest Risk Management for **XX company**



VERSION HISTORY

Version #	Authored by	Revision Date	Approved By	Approval Date	Reason for Update
1	Andrew Ziegler - TRM	9/17/2020	TBD	TBD	First draft

CONFIDENTIALITY STATEMENT

The XXX Business Continuity Plan (BCP) should be strictly controlled. XXX data may include private personnel data, proprietary patents and designs, and marketing information. The information in this plan is distributed only to XXX with a “need to know” and with the understanding that they will hold this information confidential and will not disclose any information in this plan to third parties without the prior written consent of the President or CEO, or the filing by the third party of a binding non-disclosure statement that has been vetted by legal representation.

Business Continuity Plan Distribution/Update List

<i>Name</i>	<i>Phone</i>	<i>Email</i>	<i>Office Location</i>
Test 1	5559998811	test@test.com	Headquarters
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1 OVERVIEW AND GENERAL INFORMATION

1.1 Overview

This is the Business Continuity Plan for XXX. Information in this plan is intended to guide the company during natural and manmade disasters that impact our ability to conduct normal operations. Section one includes general information on the purpose, scope, objectives, and assumptions used in the development of the remainder of the plan. Section one also includes risk assessments, a summary of our Business Impact Analysis, organizational structure, and Business Continuity Team organizational structure. Section two contains critical supply and equipment lists as well as pre-plans for common business disruptions. Section three contains the protocols for maintaining and managing this plan.

1.2 About the company

XX Company, Inc. (HTL) is a contract research organization (CRO) that provides routine and specialized histology, IHC, histopathology and image analysis/digital pathology services. HTL maintains a single location in Boulder, CO

Headquarters address: 123 state st, CO 80301

of locations: 1

Sqft of business space: @16000

of employees: 45

1.3 Scope

The scope of this Business Continuity Plan includes all operations of XX Company including the companies virtual office spaces and the business offices located at 123 state st Boulder, CO 80301.

1.4 Planning Assumptions

1. This BCP is designed to address worst case scenarios including the temporary or permanent loss or inaccessibility of the company office, supplies, suppliers, inventory, industrial machinery, research data, customer data or proprietary information.
2. All critical business functions occur at the company headquarters
3. Most office replacement equipment and supplies can be acquired from any main stream supplier with the exception of specialized testing and lab equipment
4. All sales, customer service, financial and back office operations can be performed virtually
5. Approximately 1/3 of the staff can operate virtually throughout the duration of most business disruption events

1.5 Objectives

1. To provide a Business Continuity Plan structure for managing a business disruption that affects XX Company
2. To ensure the safety of all personnel within the capabilities of the company
3. To ensure the safety and prompt recoverability of facilities, customer and proprietary data in the event of a business disruption
4. To help ensure prompt resumption of business operations in the events of a business disruption
5. To document the critical information required for implementation of the Business Continuity Plan.

1.6 Risk Assessments

Key

<i>Probability Scale</i>	<i>Business Impact Scale</i>	<i>Control Scale</i>
1 – 2 – 3 – 4 – 5	1 – 2 – 3 – 4 – 5	1 – 2 – 3 – 4 – 5
Low.....High	No Impact.....High Impact	Good.....Poor

Assessment Table

Probability Scale: The likelihood that an event will occur.

Business Impact Scale: The degree to which the event will affect your business.

Control Scale: How much control you have in preventing the event

Threat	Probability Scale	Business Impact Scale	Control Scale	Ideas for Mitigation
TORNADO	1	5	4	NA, unlikely in region
HURRICANE	1	3	4	See “severe storms” below
SEVERE THUNDERSTORMS	2	3	4	Communicate with staff via cell phone groups directing that potential emergency is imminent. Direct staff to relocate to safe location until storm is cleared. Check with all staff after storm is over. Operate virtually, if needed, until office is safe to resume operations. Comply with any and all government direction and states of emergency.
BLIZZARDS /ICE STORMS	4	2	3	See “severe thunderstorms”
FLOODING	2	4	5	If localized flooding impacts access to facility, advise staff to remain at home until access is available. If flooding occurs while staff is in the office, shelter in place if possible and notify local authorities for potential emergency rescue. Secure facilities and engage landlord.

DROUGHT	4	2	3	If office is forced to close by landlord direct staff to operate virtually until office operation is restored.
HEAT	2	2	2	If office is forced to close by landlord or government state of emergency is declared direct staff to operate virtually until office operation is restored.
PANDEMIC/ANNUAL FLU	5	3	2	Advise staff to work from home or from an alternate location until pandemic is under control. Ensure staff members are cross trained and have the appropriate system access and access to documented SOP's to perform multiple functions should a staff member or multiple staff members become incapacitated.
Civil unrest / Terroristic threat	1	2	4	Advise employees to follow the directives of local authorities. Identify safe zones in the office building an ensure low breach doors are in place in all office outdoor access points. Provide active-shooter training and conduct drills.
Utility loss	2	4	2	The loss of power, water, internet or other utilities at the headquarters could disrupt business temporarily or for an extended period of time. Ensure utilities are serviced in a timely manner and frequently inspected.
Fire/flood	2	4	2	Ensure local guidelines for fire suppression and plumbing are met or exceeded on at least a yearly basis
Earthquake	2	3	5	If facilities or utilities are impacted, staff should operate virtually until utilities are restored. If facilities are permanently impacted, engage alternate location actions.

1.7 Business Impact Analysis Summary

This section contains a list of mission essential functions. It seeks to identify all necessary equipment, hardware, applications, and systems used to support those functions. Consider the potential financial impact to your company if one of those assets was lost. Assign a rating in the Business Impact column. Again, 1 is the lowest impact and 5 is the highest. Assess the impact of:

- Business interruption
- Employees unable to report to work
- Customers unable to reach facility
- Company in violation of contractual agreements
- Imposition of fines and penalties or legal costs
- Interruption of critical supplies
- Interruption of product distribution

BIA Summary

<i>Business Impact Scale</i>
1 – 2 – 3 – 4 – 5
No Impact.....High Impact

Critical business functions

<i>Function</i>	<i>Business Impact</i>	<i>Time before major impact realized</i>	<i>Backup frequency / Recovery ETA</i>
Web services	2	48 hours	Hosted in cloud environment by IT vendor
Customer data	4	48 hours	Daily / 3-4 hour recovery
Billing	3	7 days	Can be maintained virtually. Dependent on system availability.
Marketing/sales	3	5 days	Can be maintained virtually. Dependent on system availability.
Facilities	4	1 day	Dependent on acquisition of new facility. ETA 14-60 days for basic operation.

Finance	1	14 days	Can be maintained virtually. Dependent on system availability.
Histology	3	1 day	Dependent on acquisition of new facility. ETA 14-60 days for basic operation.
Pathology	3	1 day	Dependent on acquisition of new facility. ETA 14-60 days for basic operation.
Immunohistochemistry	3	1 day	Dependent on acquisition of new facility. ETA 14-60 days for basic operation.
Scanning/Imaging /Analysis	3	1 day	Dependent on acquisition of new facility. ETA 14-60 days for basic operation.
Shipping	3	7 days	Dependent on acquisition of new facility. ETA 14-60 days for basic operation.
Receiving	5	1 day	Dependent on acquisition of new facility. ETA 14-60 days for basic operation.
Client services/billing	4	1 day	Client service consists of 5 employees and can work virtually. Service may be interrupted if phone systems and/or email is disabled. IT recovery of phone and email systems are TBD (# of hours. Your IT provider should be able to give you this)

1.8 Emergency Operations Contacts

Headquarters	Location: 123 state st Boulder, CO 80301 Landlord: Crescent Property Management, main phone number: 303-442-6995 https://crescent.com/
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Emergency Operation Center (EOC) Virtual Location	Virtual on <u>Microsoft Teams</u>
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1.9 Alternate Site Locations and Contacts

Alternate Site	Company can operate virtually but has identified xxx as a potential alternate location. If this alternate site is not available, engage current landlord and insurance company to provide relocation assistance. Approximately 16,000 sqft of space would be needed for full operations.
Alternate point of contact	NA
Contact Phone Number	NA

Offsite Storage	None
Offsite Storage point of contact	None
Contact Phone Number	None

1.10 Business continuity team (BCT)

Consists of senior management (at the subject location) and an alternate. Obligates funds and makes decisions on behalf of the organization. Responsible for the overall direction, decision-making, and approvals required to implement the Business Continuity Plan. The BCP can generally be activated only by the Executive Management Team, especially if a commercial vendor charges a declaration fee upon disaster notification. This team also has overall responsibility for the management of business operations.

1.10.1 Business Continuity Coordinator (BCC)

Responsible for assisting in the activation of the Business Continuity Plan. The BCC coordinates all BCP activities and reports to the Executive Management Team. Responsible for ensuring the plan is updated and maintained. May have specific tasks and areas of responsibility related to the overall implementation of the BCP. Because of his or her responsibilities, the BCC will become the most knowledgeable person in the details of the BCP. The BCC is frequently designated to

provide emergency notification to employees, and engagement of utilities, landlords and insurance companies if applicable.

Other responsibilities of the Business Continuity Team

Damage Assessment /Salvage

Responsible for the damage assessment of the company's location, equipment, hardware, and furnishings and identifying assets that can be removed from the site and salvaged through repairs, refurbishing, or cleaning for re-use. The Damage Assessment/Salvage Team will document their observations and provide a briefing to the Executive Management Team so key decisions can be made. Works with the Facilities/Security Team (below) to verify if the building can be occupied after the disaster. After damage assessment is completed, this team will also be responsible for coordinating salvage operations as required. Coordinates with landlord, insurance company and local authorities.

Logistics/Transportation

Responsible for making emergency arrangements for personnel transportation, lodging, and dining at the alternate site if applicable. Also responsible for ordering and ensuring the delivery of offsite storage item, supplies and replacement equipment.

PR/Communications/Marketing

Responsible for all Public Relations, crisis communications and other essential communications (e.g. coordination with public authorities). Responsible for ensuring that critical marketing business functions are operational and providing customer support.

Facilities/Security

Responsible for the facility and its security. In a disaster, this team is also responsible for providing security to the Alternate Site if required. The Facilities/Security Team will also work with the Executive Management Team in providing oversight for repairs and reconstruction of the damaged facility.

IT/Telecommunications

Responsible for restoring all critical computer systems and workstations. Responsible for the restoration and maintenance of all voice and data communications. Also responsible for ensuring telephones are operational at the alternate site.

Finance/Accounting

Responsible for restoring all financial functions, including payroll, and ensuring that all critical accounting business functions are operational and accurate and backed up on a frequent basis.

Human Resources

Responsible for restoring all human resource functions. In a disaster, this team is responsible for responding to special needs of employees brought on as a result of the disaster to include workers compensation, insurance issues, stress management, grief counseling, etc.

2 CRITICAL BUSINESS INFORMATION

2.1 Business Continuity Team (BCT) Call List

<i>Name</i>	<i>Position</i>	<i>Phone</i>	<i>Email</i>	<i>After hours contact</i>	<i>Office Location</i>
Test CEO	CEO	8889991155	test@test.com	TBD	Headquarters
Test COO	COO	44656665511	test@test.com	TBD	Headquarters

2.2 BCT Standard Response Plan

<i>#</i>	<i>Task</i>	<i>Assigned</i>	<i>Frequency</i>	<i>Method</i>	<i>Schedule</i>
1	Emergency detected/possible	BCC coordinator or executive management	Na	Any	T0
2	Engage BCC to begin BCP documentation	BCC	Ongoing	Word/Onenote/Paper, any documentation available	T-30 min
3	Communication to all BCT members to join EOC	BCC	As needed	Text message/phone call/email	T-30 min
4	Team joins EOC	BCT	Immediately	Staff on site + Virtual (Teams)	T-60 min
5	Review state of facilities	BCT	Ongoing	EOC	T-120 min
6	Engage critical suppliers/vendors	Assigned by BC	If needed	Phone	T-90 min

7	Evaluate customer impact	BCT	Immediately then every 24 hours afterward	EOC	T-90 min
8	Customer communications	Assigned by BC	If/as needed, evaluate hourly	Phone/email. Consider blast email to all clients with pending projects. Individual contacts to major clients by management.	T-120 min
9	If incident is related to data loss execute data recovery and redeployment	BCT + IT Support supplier	As needed	Phone/email	T-4 hours
10	Financial considerations	Finance	As needed	EOC	T-24 hours
11	Begin secondary facility planning if needed	BCT+Insurance Co. + Landlord	If needed	EOC	T-24 hours

2.3 Mission Critical hardware and software list

****See HistoTox Hardware and Software Inventory and Use Plan for full details**

#	Name	Service	Replacement source
	See hardware and software inventory		

2.4 Mission Critical equipment list

#	Name	Used for/comments	Replacement source	Delivery ETA
1	Aperio AT 2 Scanners x2	Lab operations	Akoya	TBD
2	Vectra Polaris Scanner x1 (back up at sub-contractor)	Lab operations	TBD	TBD
3	AV Tech Environmental Monitoring System (and software)	Lab operations	TBD	TBD
4	Refrigerators x3	Lab operations	Any appliance store	Pickup within 6 hours
5	Freezer x6	Lab operations	Any appliance store	Pickup within 6 hours
	Ultralow Freezer x1	Used for lab operations. Dry ice can be used and a secondary unit is available at a nearby business.	TBD	TBD
	Leica Automatic Slide Stainer (Bond RX) x6	Lab operations	TBD	TBD
	Leica Automatic Slide Stainer (Bond III) x1 - critical	Lab operations	TBD	TBD

Sakura Embedding Center x3	Lab operations	TBD	TBD
Sakura Automatic Slide Stainer x2	Lab operations	TBD	TBD
Leica Automatic Slide Stainer x1	Lab operations	TBD	TBD
Oven x2	Lab operations	TBD	TBD
Cryostat x1 - critical	Lab operations	TBD	TBD
Coverslipper x3	Lab operations	TBD	TBD
Microtomes x6	Lab operations	TBD	TBD
Microscopes x5	Lab operations	TBD	TBD
Xybion Pristima (software)	Lab operations	TBD	TBD
Dishwasher x1	Lab operations	Any appliance store	Pickup within 6 hours
Fume Hoods x5	Lab operations	TBD	TBD
Processor x4	Lab operations	TBD	TBD
Recycler x1	Lab operations	TBD	TBD
Scale x1 - critical	Lab operations	TBD	TBD
Slide Labeler x2 – critical (always running)	Lab operations	TBD	TBD
Cassette Labeler x1 - critical	Lab operations	TBD	TBD
Water Bath x9	Lab operations	TBD	TBD

2.5 Mission Critical vendor/supplier list

#	Name	Services	Contact information
1	Integrative IT	Network and backup systems	123 much st, Boulder, Colorado 80301, ph. (555)387-7200
2	Xybion	Connection to and use of Pristima	XmsCustServ@Xybion.com
3	Leica Microsystems Inc / Leica Biosystems Inc.	Lab equipment providers	1700 Leider Lane Buffalo Grove, IL 60089 United States Office Phone: +1 844 534 2262 Service:: +1 844 534 2262 Service Email: TechServices@leicabiosystems.com
4	Akoya Biosciences	Lab equipment providers	1080 O'Brien Drive, Suite A Menlo Park, CA 855.896.8401 (Toll Free) customercare@akoyabio.com
5	Sakura Finetek USA, Inc.	Lab equipment providers	1750 West 214th Street Torrance, CA 90501 Tel: 800-725-8723 Tel: 310-972-7800 Email: mail@sakuraus.com

6	AVTECH Software, Inc.	Environmental monitoring provider (software and hardware)	16 Cutler Street, Cutler Mill Warren, RI 02885-2761 USA Phone: 401.628.1600 Sales: 888.220.6700 Support@AVTECH.com
7	Abcam	Antibody material supplier	1 Kendall Square, Suite B2304 Cambridge, MA 02139-1517 Tel: (888) 77-ABCAM (22226) Orders: us.orders@abcam.com Technical: us.technical@abcam.com
8	VWR Corporate Headquarters	Consumable material supplier	Radnor Corporate Center Building One, Suite 200 100 Matsonford Road Radnor, PA 19087-8660 VWR Customer Service: Phone: 1-800-932-5000
9	StatLab Headquarters	Consumable material supplier	2090 Commerce Drive McKinney, TX 75069 (972) 436-1010 Local (800) 442-3573 Toll-Free info@StatLab.com

10	Advanced Cell Diagnostics	Antibody material supplier	7707 Gateway Blvd. Newark, CA 94560 Toll Free: 1 (877) 576-3636 Phone: (510) 576-8800 For general information: Info.ACD@bio-techne.com For place an order: order.ACD@bio-techne.com For product support: support.ACD@bio-techne.com
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2.6 Team Vital Records List

- Vital paper records are stored onsite in a fireproof/locked safe/cabinet, server files are backed up with Integrative IT (see above)

****See Hardware and Software Inventory and Use Plan**

2.7 High level scenario pre-plans

In addition to executing the tasks listed in the BCT Standard Response Plan in section 2.2

Scenario	Pre-plan
Loss of utilities in office	<ul style="list-style-type: none">• Engage un-interrupted power supply (generator) if available to power critical equipment and client product.• Backoffice Staff to relocate to virtual locations (home office, offsite locations) including sales, customer service, finance and executive functions to continue without interruption.• Testing and processing to perform as much of their function as they safely can while virtual and with limited utilities• Backoffice staff work remotely until office services restored• If utilities or access to office loss will be for an extended period of time, engage property landlord to provide temporary or permemant alternate location.• If alternate location is required, BCT will coordinate and execute move to new facility with restoration of lab operations taking priority 1.
Supplier loss or interruption	<ul style="list-style-type: none">• Backup suppliers identified, however, unique equipment needs are not widely available.
Natural disaster in region (earthquake, flood, wildfire, storms, etc)	<ul style="list-style-type: none">• Staff to relocate to virtual locations (home office, offsite locations)• If forewarning of disaster is possible (ie storm, wildfire) business continuity team should activate and consider sending critical resources to relocate out of harms way or shelter.• Engage with local authorities for direction and coordination.• Have staff check in daily (email and/or phone) and report on availability and ability to operate at full or partial capacity

Loss/corruption of web and IT services	<ul style="list-style-type: none"> Engage IT supplier to investigate and possibly restore from backup Notify customers and provide ETA for restoration if needed Once live, perform user testing to ensure proper function Notify customers of restoration
Active shooter / Civil-Terror unrest threat	<ul style="list-style-type: none">

3 MAINTAINING THE BUSINESS CONTINUITY PLAN

3.1 Plan, Test, Maintain

Task	Frequency	Description
Update critical hardware/software needs	Monthly	<ul style="list-style-type: none"> As new resources are brought in, ensure redundancy is planned for and documented in the plan
Table top war game exercise	2X / year	<ul style="list-style-type: none"> Plan for at least 2 scenarios and simulate the actions Ensure business continuity core team is engaged Document lessons learned and use them to iterate the BCP or business continuity program Consider bringing in 3rd party to conduct disaster recovery exercise (ie Tempest Risk Management)
Test employee communication system	2X / year	<ul style="list-style-type: none"> Send test message to all employees and require response to track effectiveness Note and correct any issues

Full review and approval of BCP by senior mgmt.	Yearly	<ul style="list-style-type: none"> Review and discuss evolving local and industry risks Incorporate new functions and resources
Review succession plan	Yearly	<ul style="list-style-type: none"> Note any key personnel changes Review cross-training program for any gaps
Test technical disaster recovery plan	Yearly	<ul style="list-style-type: none"> Failover all IT services to redundant systems and operate functions for at least 24 hours to test validity Note gaps and add to business continuity program to resolve
Incorporate major company changes into BCP	As needed	<ul style="list-style-type: none"> New operation Company acquisition Senior leadership change
Hot Wash following a business disruption	As needed	<ul style="list-style-type: none"> Following a business disruption, gather the business continuity team and key employees and document lessons learned Note opportunities for improvement and enact corrections Hot wash template can be obtained for free from Tempest Risk Management here