

DOCUMENT NUMBER 91-7005	REVISION B	TITLE Business Continuity and Disaster Recovery Plan	REV DATE 07/2023	Page 1 of 14
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1.0 Purpose of Procedure

This document describes Product Resources' business continuity and disaster recovery plan. If an incident occurs that affects Product Resources business operations, this procedure will provide a guideline for reestablishing normal business operations.

2.0 Scope of Plan

The scope of this plan is to identify the personnel, documentation, and actions necessary to minimize the damage and restore operational services in the event of a serious disruption of normal operations at Product Resources. It includes ongoing activities to document the state of the business, emergency response activities, and responsibilities for mitigating and recovering from the damage of the disruption.

3.0 Process Owner(s)

3.1 Disaster Recovery Team Members

4.0 Procedure

4.1. Plan Maintenance and Distribution and Training

The Disaster Management Team Leader is responsible for maintaining and distributing this plan. The plan is maintained in our Document Control system, part of our QMS software QT9. It is a Tier 2 procedure in our QMS, part of the Risk Management major process. Because it is maintained in QT9, it is normally distributed by QT9 as well, which is web-based. However, because a business disruption could impact access to QT9, the plan is also distributed via the Product Resources organization's Teams platform, cloud based, in a team named Disaster Recovery Team.

The [43-1810] Emergency Plan is part of the Business Continuity and Disaster Recovery Plan and is also maintained in QT9. All employees must be trained in the Emergency Plan.

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4.2. Plan Objectives

The primary objective of this Business Continuity / Disaster Recovery Plan is to ensure the safety of employees and continued operation of identified business critical systems in the event of a disaster.

A Disaster is defined as an incident which results in the total or partial loss of operations at Product Resources facility at 4 Mulliken Way, Newburyport MA, including potential relocation to a Standby Facility. A disaster can result from several accidental, malicious, or environmental events such as fire, flood, terrorist attack, human error, and software or hardware failures.

An Emergency is any unusual situation where the Safety of any person is in doubt.

Product Resources is committed to protecting our employees from injury and loss of income due to a disaster, protecting the company property and resources and ensuring continuity of business operations if faced with a disaster.

The top priority in any situation is the safety of Product Resources' personnel and any other people that may be on the premises at the time. All efforts shall be focused on this priority until their safety has been assured.

Property and equipment protection is the next priority in the business continuity efforts. Therefore, the mitigation strategies detailed in this plan are intended to reduce the extent of possible loss of functionality of property, equipment and infrastructure that can result in business interruption.

Specific goals of the plan are:

- Before a Disaster – Gather relevant information and store it where it can be retrieved if use of the building is not possible.
- During an Emergency – (refer to [43-1810], Emergency Plan)
 - Prioritize Health and Safety of Employees.
- After the Emergency has passed and it is safe to focus on recovery
 - In the immediate aftermath of the emergency, to minimize the damage to Product Resources' business, equipment, inventory, and facilities.
 - Minimize the disruption to Product Resources' business.
 - If the extent of damage allows it, to be operational at our current facility within 3 working days, with all systems at least minimally functional and to have all systems 100% functional within 7 working days.
 - If necessary, to be operational at a standby facility within 7 working days, with critical systems operating and at least minimally functional and to restore operation to a permanent facility, with all systems 100% functional within 6 months.

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4.3. Documentation and Ad Hoc Information Location

Documents referenced in this Plan by Part Number, are part of Product Resources QMS and are stored in QT9. There is a current copy of the documents located in the Disaster Recovery Team, General Channel, Business Continuity Documents Folder. These documents have numbers shown within [square brackets].

There are ad hoc documents in this Plan being periodically updated. These documents are not stored in QT9, but only in the Team. These documents do not have an assigned document number. Each Team with such documents maintains an index of the documents detailing the document name, contents, and location. They are described in the following table:

Description	Location – Disaster Recovery Team
Lists of Equipment, Tools, and Fixtures that are required for manufacturing.	General Channel, in the relevant Team Folder.
Lists of Software with information about the location and credentials necessary to re-install the software	General Channel, in the relevant Team Folder.
Links and login credentials to suppliers handling insurance, payroll, etc.	Password Vault, accessed through the NordPass Business Tab
Supplier, Customer, and Prospect contact information. (Source: Syteline)	DRT Contact Information Channel, by month when report was executed.
Any other ad hoc documentation deemed necessary.	General Channel, in the relevant Team Folder.

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4.4. Priority, Responsibility, and Actions During Emergency

During an emergency, the top priority is the Health and Safety of all personnel at the facility. All employees are empowered and required to take whatever emergency actions they deem necessary to aid all personnel in exiting the affected area of the facility and evacuating to a safe location.

The [43-1810] Emergency Plan documents the details. Be sure you understand it ahead of time; there will be no time to pull it down from the QMS and read it once the chaos starts.

4.5. Team Leaders

The teams associated with this plan, and the current leader of each team are shown in the following table. In section 4.6, the activities and responsibilities of each team are detailed.

Responsibility	Leader
Disaster Management Team (DMT)	John Erickson
Information Technology Team	John Caruso
Facilities Team	Jerry Mace
Personnel Team	Carolyn Libelo
Business Team / Customer Communication	Carolyn Libelo
Manufacturing Team	Jerry Mace
Purchasing Team	Jenn Popp
Engineering Team	John Erickson
Test Team	Keith Housman
Sales Team	John Erickson

Table 1 - Team Leaders

Team Leaders are responsible for preparing their team for potential disasters and emergencies by documenting and securely storing information that will be necessary to help Product Resources recover from the disaster.

Each Team Leader listed must have a means to access Product Resources' Teams system and other communications and management tools. See "Minimum Equipment List" in the Business Continuity Documents Folder for details on the Hardware/Software and other equipment required.

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4.6. Recovery Teams and Responsibilities

4.6.1. Disaster Management Team (DMT)

The Disaster Management Team is responsible for providing direction to the various departments within Product Resources and coordinating external resources to achieve the Plan Goals.

Disaster Management Team Responsibilities

During the Disaster Recovery Period, the Disaster Management Team is responsible for the following:

Preparation:

- Meet at least annually to assess the plan.
- Ensure required documentation is complete and up to date.
- Develop training material for employees.

During Recovery:

- Determining the extent of the Disaster and the required response.
- Making top level decisions about restoring business critical operations, essential data and voice services (Infor ERP SyteLine, QT9 QMS, file serving, e-mail, phones) and manufacturing operations.
- Coordinating, monitoring, and documenting recovery operations.
- Controlling and recording emergency costs and expenditures.
- Making a detailed accounting of the damage to aid in insurance claims.
- Ensuring that the startup of operations at the current or standby facility are under sufficient control to provide the consistency required to meet the Quality system and customer requirements.
- Make official declarations of change in manufacturing location to all employees, customers, and suppliers.
- Communicating with customers, suppliers and contractors as required to inform, reassure, and coordinate.

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4.6.2. Information Technology Team

The IT Team is responsible for the computer environment (server/network room and other vital computer locations and information technology infrastructure) and for performing tasks within those environments. This team is responsible for restoring access to company files, applications, and communication systems in the case of a business disruption.

Note that “backup facility” and “backup equipment” below refer to a hired facility that will provide Product Resources either space for its own equipment located in the provider’s data center, or dedicated equipment leased by the provider in the data center, or a virtual private server physically housed in one or more of the provider’s data centers. “Backup provider” below refers to the provider of the software and storage space used for Product Resources’ routine, daily file and application server data backups. “Primary facility” below refers to Product Resources regular place of business.

- IT Team Responsibilities

Preparation:

- Ensuring that the backup facility and backup equipment is established.
- Configuring and maintaining the backup equipment, ensuring that the backup equipment meets the defined recovery time objectives and is ready.
- Establishing an IT Security Committee that meets periodically to manage risk to our IT infrastructure.
- Generate an index of information locations and store it in the Information Technology Team Folder – IT File Location Index
- Document the Design of the IT Systems and store necessary information in the IT Team Folder.

During Recovery:

- Activating the backup equipment and/or communicating with backup facility to declare emergency needs, all as applicable.
- Arranging for a LAN for the standby facility, and arranging Internet access for the standby facility, providing users at the standby facility with general Internet access as well as access to services hosted at the backup facility, also linking the standby facility to the critical users as applicable.
- Obtaining all immediately required backed-up data from the backup provider and restoring an up-to-date file and application server environment to the backup equipment and possibly to the standby facility.
- Installing a minimum voice network for the standby facility.
- Configuring voice services such that Product Resources phone numbers on the public switched telephone network (PSTN) connect to the standby facility and/or critical users, as appropriate.

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For restoring the existing or a new primary facility following a business disruption:

- Help to compile an inventory of surviving IT equipment and that which must be acquired.
- Ensuring that all backed-up data is at hand for primary facility restoration.
- Restoring file and application and voice services for the primary facility.
- Discontinuing services via the backup facility when replaced by services at the primary facility.

4.6.3. Facilities Team

The Facilities Team is responsible for the general environment including buildings, services and all requirements on the manufacturing floor. This team has responsibility for security, health, and safety and for replacement building facilities.

Facilities Team Responsibilities

Preparation:

- Generate an index of information locations and store it in the Facilities Team Folder – Facilities File Location Index
- Document the Design of the Facilities and store information in the General Channel/Facilities Team Folder.

During Recovery:

- Controlling security at the standby facility and the damaged site.
- In conjunction with the Disaster Management Team, evaluating the damage and identifying equipment which can be salvaged.
- Supporting the Manufacturing Supervisor and the Test Dept Manager in all efforts to reconstruct the manufacturing floor as quickly as possible in the Standby Facility,
- Supporting the Purchasing and Receiving department in all efforts to move shipping and receiving to the Standby Facility.
- Conduct an asset inventory and make a full evaluation of the damage.
- In conjunction with the Operations Team identify all potentially salvageable equipment.
- Carry out safety inspections and estimate the time to recover.
- Make the site secure, to prevent unauthorized access by staff or the public.
- Remove re-usable equipment from disaster site.

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4.6.4. Personnel Team

The Personnel Team will have responsibility for all aspects of coordination with employees.

Personnel Team Responsibilities

Preparation:

- Generate an index of information locations and store it in the Personnel Team Folder – Personnel File Location Index.
- Maintain a list of all employees and the critical information necessary (e.g., cell phone number, emergency contact info) to be able to contact them/their families. This list is stored in the DRT Contact Information Channel.

During Recovery:

- Notifications to employees
- Notifications to employee's family
- Notifications about employees to government organizations (OSHA, Workers' Compensation)
- Provide employees with contact information for them to use during the recovery period.
- Maintain a list of Employee Benefits Information and contact information in the General Channel/Personnel Team Folder. This information must include Account Numbers and any other information necessary to transact benefits remotely.

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4.6.5. Business Team / Customer Communication

The Business team will work to restore all administrative and accounting functions and direct support for all payroll and employee-related issues. In addition, it will be the first point of contact for any customer, supplier, and other third-party emergency information inquiries.

Business Team Responsibilities

Preparation:

- Generate an index of information locations and store it in the Business Team Folder – Business File Location Index.
- Maintain a list of contact information in the DRT Contact Information Channel for all key business contacts and essential utilities and others as necessary. Note that if the contact is maintained as a supplier or in the Sales Contacts, it will be automatically output to the appropriate channel periodically.
- Maintain a document with relevant account information in an appropriate location.

During Recovery:

- Notification to Insurance Company, Attorney, Bank, and other key business contacts of the disaster events, required details and the movement to the Standby Facility.
- Communication to all Customers regarding the nature of the disaster, revised production schedules, and ongoing communications with all customers as to status.
- Direct assistance with the Facilities Team and the IT Team in acquiring and securing the Standby Facility and other direct/immediate needs at the Standby Facility, including data and voice systems.
- Contact suppliers of essential utilities (phone, data, electricity, gas, water & sewer) and make any arrangements required because of the disruption.

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4.6.6. Manufacturing Team

The primary goal of the Manufacturing Manager will be to reconstruct the manufacturing floor as quickly as possible to avoid any disruption to business. In addition, with support from the Facilities Team and the Personnel Team, an assessment will be performed, and damages will be documented in detail for insurance purposes.

Manufacturing Team Responsibilities

Preparation:

- Generate an index of information locations and store it in the Manufacturing Team Folder – Manufacturing File Location Index.
- Document and Maintain information about the Fixtures, Jigs, Tools, and Manufacturing Equipment needed for Operations. Store this list in the General Channel/Manufacturing Team Folder.

During Recovery:

- Assess the extent of damage to manufacturing equipment and tools, etc.
- Compile a list of equipment necessary to get manufacturing running, work with the Purchasing Team to replace the equipment.
- Coordinate with the Business Team to identify losses for insurance.
- Make a physical count of inventory focusing on current production orders first. Make necessary adjustments to inventory levels to cause purchasing to order material that is short.

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4.6.7. Purchasing Team

In coordination with the Business Manager, the Purchasing Manager will contact all suppliers and notify them of any interruption of service or deliveries. If a Standby Facility is in use, all suppliers will be immediately notified. The Purchasing Manager will work closely with each Supplier to make sure that all orders are coordinated with any change in location or schedule. Notify all shipping providers (USPS, UPS, FedEx, etc.) of any temporary shutdown of operations and the location of the Standby Facility.

Purchasing Team Responsibilities:

Preparation:

- Generate an index of information locations and store it in the Purchasing Team Folder – Purchasing File Location Index.
- Maintain up-to-date supplier contact information in Syteline. Note that Syteline has an automated process to output the current supplier contact information to the DRT Contact Information channel periodically.

During Recovery:

- Coordinate with IT, Facilities, and Manufacturing to replace:
 - IT infrastructure,
 - Equipment,
 - Fixtures,
 - Tools,
 - Inventory,
 - Any other requested purchases.

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4.6.8. Engineering Team

The Engineering Team will be responsible for the generation and maintenance of information critical to the operation of the Engineering Department.

Engineering Team Responsibilities:

Preparation:

- Generate an index of information locations and store it in the Engineering Team Folder – Engineering File Location Folder. Information includes:
 - Design and Design-related information generated during design activities including Project Data, Design Output, Design Databases.
- Generate a list of Software Utilized for Design and Operation of the Engineering Department.
- Generate a list of Test Equipment required for Engineering activities.

During Recovery:

- Work to assess the infrastructure and equipment loss and provide specific details to the Business Team for insurance purposes.
- Work with Manufacturing and Facilities to replace equipment and fixtures required for manufacturing operations to resume.
- Perform validation activities to demonstrate the replacement equipment is operating per requirements.

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4.6.9. Test Team

The Test Manager will have direct contact with the department employees and coordinate their work schedule as determined by the DMT. The Test Manager will prioritize and delegate the department responsibilities so that the interruption to business is minimized.

Test Team Responsibilities:

Preparation:

- Generate an index of information locations and store it in the Test Team Folder – Test File Location Index.
- Generate a list, Test-Service Department Equipment List.xlsx:
 - Calibrated gauges
 - Computers and Computer Test Fixtures
 - Custom Test Fixtures
 - Any other items or software that would have to be replaced or re-purchased if damaged.
- List must also indicate the location of a Purchase Specification or Design so the item can be purchased or built again.

During Recovery:

- Work to assess the infrastructure and equipment loss and provide specific details to the Business Team for insurance purposes.

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4.6.10. Sales Team

The Sales Manager will have direct contact with the department employees and coordinate their work schedule as determined by the DMT. The Sales Manager will prioritize and delegate the department responsibilities so that the interruption to business is minimized.

Sales Team Responsibilities:

Preparation:

- Generate an index of information locations and store it in the Sales Team Folder – Sales File Location Index. Index must include locations for:
 - Quotations and Quote Data
 - Non-Disclosure Agreements
 - Contracts
 - Maintain up-to-date Customer and Prospect contact information in Syteline. Note that Syteline has an automated process to output the this contact information to the DRT Contact Information channel periodically.

During Recovery:

- Work to assess the infrastructure and equipment loss and provide specific details to the Business Team for insurance purposes.
- The Sales Team Leader will also coordinate with the Business Team Leader to keep customers informed of the issues, plan, and progress.
- The Sales Team Leader will work to assess the Sales-related infrastructure and equipment loss and provide specific details to the Business Team for insurance purposes.

5.0 Control of Records

The storage location and retention period for records referenced above are given in 91-6002, Control of Records.