

STAT Courier Service Inc. Emergency Management Plan and Business Continuity Plan

The primary objective of this Disaster Recovery Plan is to enable STAT Courier to survive a disaster and to reestablish normal business operations as soon as possible. STAT Courier must assure that critical operations can resume normal processing within a reasonable time frame. The goals of the Disaster Recovery Plan are as follows:

- Minimize the duration of a serious disruption to business operations;
- Facilitate effective co-ordination of recovery tasks; and
- Reduce the complexity of the recovery effort.

STAT Courier recognizes the low probability of severe damage to data processing telecommunications or support services capabilities that support daily operations. Nevertheless, because of the potential impact, a plan for reducing the risk of damage from a disaster however unlikely is vital. STAT Courier's Disaster Recovery Plan is designed to reduce the risk to an acceptable level by ensuring the restoration of Critical items within 24 hours, and all essential production (Business Continuity Plan) within one week of the outage.

This Plan is predicated on the validity of the following assumptions:

- The situation that causes the disaster is localized to the Corporate facility of Operations and Systems in Lake St. Louis, MO.
- It is not a general disaster, such as an earthquake, affecting a major portion of metropolitan St. Louis.

It should be noted however, that this Plan will still be functional and effective even in an area-wide disaster.

This Plan is based on the availability of back-up resources, as described. The accessibility of these, or equivalent back-up resources, is a critical requirement.

- **Damage Assessment/Salvage Team**. Headed by the Director of Operations and activated during the initial stage of an emergency, the team reports directly to the Business Continuity Management Team Leader- President, evaluate the initial status of the damaged functional area, and estimates both the time to reoccupy the facility and the salvageability of the remaining equipment.
 - Following the assessment of damage, the team is responsible for salvaging equipment, data and supplies following a disaster; identifying which resources remain; and determining their future utilization in rebuilding the data center and recovery from the disaster.
- **Transportation Team**. Headed by the Director of Operations, the transportation team is responsible for transporting resources personnel, equipment, and materials to back-up sites as necessary.

- **Telecommunications Team.** Headed by the VP Sales, is responsible for establishing voice and data communications between the affected site and the remainder of the campus.
- **Client, Employee, and Vendor Notification Team.** Headed by the Director of Operations, is responsible for notifying all clients, employees and vendors about the current situation and the plan to be up and running within 24 hours or less.

Disaster Response Tasks

- 1) Detect and determine a disaster condition
- 2) Notify persons responsible for recovery
- 3) Initiate the Business Continuity Plan
- 4) Activate the designated recovery site/s
- 5) Provide support services to aid recovery

Each subsection below identifies the organization(s) and/or position(s) responsible for each of these responses.

Disaster Detection and Determination

The detection of an event which could result in a disaster affecting operations is the responsibility of the Team Leader or whoever first discovers or receives information about an emergency situation developing in the functional areas.

Disaster Notification

When a situation occurs that could result in interruption of communications and technology, the following people must be notified:

- The President – Business Continuity Plan Team Leader - should receive the initial notice.
- VP Sales and Director of Operations.

Disaster Recovery Strategy

Summarizing the provisions of the Disaster Recovery Plan, subsections below explain the context in which the Business Continuity Plan operates. The Business Continuity Plan complements the strategies for restoring the data processing capabilities normally provided by Operations & Systems.

This section addresses three phases of disaster recovery:

1. **Emergency Phase.** The emergency phase begins with the initial response to a disaster. Security over the area is established as local support services such as the Police and Fire Departments are enlisted through existing mechanisms. If the emergency situation appears to affect the main data center, either through damage to data processing or support facilities, or if access to the facility is prohibited, the first responder will closely monitor the event, notifying personnel as required to assist in damage assessment. Once access to the facility is permitted, an assessment of the

damage is made to determine the estimated length of the outage. If access to the facility is precluded, then the estimate includes the time until the effect of the disaster on the facility can be evaluated.

If the estimated outage is less than 24 hours, recovery will be initiated under normal Information Systems operational recovery procedures. If the outage is estimated to be longer than 24 hours, then the first responder activates the Business Continuity Plan, which in turn notifies the appointed contact personnel and the plan is activated. The recovery process then moves into the back-up phase.

2. **Back-up Phase and Business Continuity Plan.** The back-up phase begins with the initiation of the appropriate Business Continuity Team Plan(s) for outages enduring longer than 24 hours. In the initial stage of the back-up phase, the goal is to resume processing critical applications. Processing will resume either at the main data center or at the designated recovery site, depending on the results of the assessment of damage to equipment and the physical structure of the building.

In the back-up phase, the initial recovery site must support critical applications for up to 4 weeks and as many of the non-critical applications as resources and time permit. During this period, processing of these systems resumes, possibly in a degraded mode, up to the capacity of the recovery site. Within this 4-week period, the main data center will be returned to full operational status if possible.

However, if the damaged area requires a longer period of reconstruction, then the second stage of back-up commences. During the second stage, the backup resource site is notified of the long term need is needed for processing all applications until a permanent site is ready.

3. **Recovery Phase.** The time required for recovery of the functional area and the eventual restoration of normal processing depends on the damage caused by the disaster. The time frame for recovery can vary from several days to several months. In either case, the recovery process begins immediately after the disaster and takes place in parallel with back-up operations at the designated recovery site. The primary goal is to restore normal operations as soon as possible.

Business Continuity Plan

Primary Contact and Team Leader: Natasha Boekholt, President

Alternate: Alex Boekholt, Vice President Sales

Alternate #2: Steve Huey; Director of Operations

Team Responsibilities

When notified by the Emergency Management Team that the Business Continuity Plan has been activated, the primary responsibilities of the team will be to use their resources to support the corporate recovery effort and to activate their Recovery procedures.

Team Leader Responsibilities / Checklist

General

The Primary responsibility of the Team Leader is to provide *leadership* of the recovery team and coordinate support for the recovery effort. Other responsibilities include:

- 1) Direct the Business Continuity efforts.
- 2) Oversee communications activities.
- 3) Coordinate with the Emergency Operations Center regarding all administrative issues.

Critical Functions

Restore the following critical functions:

RTO*	Critical Function
24 hours	Phone and Communication Equipment
72 hours	Dispatch Software

** Recovery Time Objective (Amount of down time before outage threatens the survival of the company.)*

Normal Business Hours Response

During an emergency that happens during normal business hours, follow the corporate emergency procedures to ensure the life and safety of all employees.

If the building is not accessible, the team personnel should assemble at:

- Primary site: Natasha Boekholt's home
- Alternate site: Kinko's in O'Fallon on Hwy K

Immediate actions to be taken by the department leader or assigned alternate:

- 1) Take a head count to make sure all team members are safe and available. Notify the
- 2) Emergency Management Team immediately if anyone is missing.
- 3) Look for a member of the Emergency Management Team to get instructions.
- 4) Record all the information and instructions given by the Emergency Management Team.

- 5) Before contacting anyone else review the Notification Procedure.
- 6) Notify department personnel not already notified. Use the Notification Call List; it contains a list of who to call and what information to pass on.

After Normal Business Hours Response

When notified by the Emergency Management Team that the Business Continuity Plan has been activated, the team leader will:

- 1) Record all the information and instructions given by the Emergency Management Team.
- 2) Before contacting anyone else review the Notification Procedure.
- 3) Use the Team Alert List. Record the status of all notifications and give the completed call list to the team leader.
- 4) If instructed by the Emergency Management Team, report to the Emergency Operations Center.
- 5) If instructed by the Emergency Management Team to activate your Recovery Team, procedures are located in this section.
- 6) When you activate your team, have them meet you at the primary or alternate meeting place listed below.

Primary Location

Facility Name: Natasha Boekholt's Home	
Street Address:	Floor:
City/State/Zip:	
Contact Person: Natasha Boekholt	Phone
Alternate Contact: Alex Boekholt	24 Hour No: same
	FAX No: n/a
	Other No.:
Security Considerations: n/a	

Alternate Location

Facility Name: Kinko's	
Street Address: 1312 Highway K Phone: (636) 379-3700	Floor:
City/State/Zip: O'Fallon, MO 63366-7510	
Contact Person: Steve Huey Alternate Contact: Tresa Agee	Phone No: 24 Hour No: same FAX No: n/a Other No.:
Security Considerations: n/a	

Team Recovery

Business Continuity Plan Copies

The team leader should ensure that sufficient copies of the Business Continuity Plan are available.

Cellular Phone (TBD)

The team leader has a cellular phone for team use. The Emergency Management Team should be notified immediately of the cellular phone number.

Notifications

Provide notification of the problem to clients, vendors, and employees. The information provided should be reviewed with the Emergency Management Team before calling.

Team Recovery Steps

The following recovery actions are to be used as a guide. During a real disaster circumstances may dictate that some or all of the steps documented may have to be altered. The team leader should use his/her judgment while managing the recovery operation.

1. The team leader should contact the Emergency Management Team to find out:
 - When voice communications will be available at the work area.
 - When servers will be operational and how current the master files will be.
2. Departmental Meeting: Key department personnel should meet to determine actions to be taken and establish the priority of restoring business functions based on the work area

and resources available. The department leader should explain the goals and objectives identified by the Emergency Management Team.

- a. Review tasks to be performed and assign personnel.
 - b. Personnel should be assigned to contact clients, vendors, and employees and advise them about the situation and when they can expect service to be restored. Use the Vendor Notification in the appendix for contact information.
 - c. Determine if some personnel will have to travel to the business recovery site.
 - d. Distribute copies of any forms that will be needed during the recovery operation.
 - e. Personnel should be assigned to provide recovery support needed by other teams, as needed.
 - f. Identify the category in which personnel should be alerted. Consider:
 - i. Personnel that might be need to give aid to other teams / departments.
 - ii. Personnel that will be needed at the work area to resume normal business functions.
 - iii. Personnel who should stay home and remain on standby (they will be needed when the initial group needs rest).
3. Contact personnel that will be needed to report to the assigned work area.
 4. Designate space for personnel reporting to the work area.
 5. Implement procedures to resume time dependent functions based on the priority established.
 6. Instruct all department personnel to carry photo identification with them at all times and be prepared to show it to security or local authorities.
 7. As progress continues during the recovery operation, the team should be prepared to move back to the affected facility and resume normal business operations.

Personnel Location Form

After the department personnel have been deployed, the department leader should complete the Personnel Location Control Form in the appendix. Completed forms should be sent to the Administrative Team to allow location tracking of all employees. Continue to update the information throughout each day of the recovery operation.

Status Report

The department leader should prepare written status reports frequently for the Emergency Management Team to keep them apprised of the current situation. Use the Status Report Form in the appendix as a guide.

Travel Arrangements

The department leader can get assistance for any team travel arrangements from the Administrative Support Team. This includes travel needs either inside of or out of the metro area.

Business Recovery Work Area Checklist

Work area Scenarios

The Emergency Management Team will provide the team leader with a work area for the team to use. One of the following is the most likely scenario that will take place.

1. **Work area at the location, if the facility is accessible.** The Emergency Management Team will provide information about what area the team can use.
2. **Work area at a vendor Business Recovery Site, if the site is not available.** The Emergency Management Team will provide information about what area to use and the estimated time before terminals and communications to the backup site will be available.

Work Area Requirements

The following lists the minimum requirements for the team at the work area recovery location. Copiers and FAX machines will be available at the work area for all teams to share.

Space in square feet: 20x20 minimum

Office Furniture: Desks: 4

Chairs: 4

File Cabinets: 1

Other Furniture: Personnel can use tables and chairs that may already be at the facility or none at all initially.

Telephone Equipment

Phone Type: Cell or Land

Number of Phones: 2

Computer Equipment:

Indicate what terminals and PC's would require connection to the network.

Two Laptops will be sufficient initially and four soon after.

Off Site Stored Materials

Copies of critical documents, computer/PC back up floppies and tapes, critical supplies etc. may be available from a number of sources:

- Software backups are held in the office and offsite at designated personnel home locations.

Critical Resources to be retrieved

Many incidents do not completely destroy contents of offices. Depending on the circumstances, it might be possible to clean and dry paper, microfilm or microfiche. Even if computer diskettes, tapes and hard drives have been water, smoke or soot damaged, it might be possible to extract the information from them.

[illegible]

SAMPLE - Status Report Form

Use this form to log significant recovery activities.

The team leader is required to submit written recovery status reports daily. Submit completed status reports to the Emergency Management Team. This status report may be submitted handwritten as long as it is legible.

Date: ____/____/____

Time: ____:____ AM / PM

Name: _____

Department: Operations Team

Comments: _____

Conclusions: _____

Recovery Preparedness

Team plans are intended to be living documents. They should reflect the latest information available. Team Leaders are responsible for reviewing and updating their plans on a semiannual basis.

STAT Courier Service, Inc.

Emergency Management Team Alert Contact List

Leader Name

Natasha Boekholt Home: n/a Date/Time:

Cell phone: Pager: n/a Status:

For Emergency:

Contact: Relation: Mother Phone:

(Alternate Team Leaders Names)

Alex Boekholt / Steve Huey Home: n/a Date/Time:

Cell phone: Pager: Status:

For Emergency:

Contact: Relation: Spouse Phone:

The Team Leader calls the following:

1. Tresa Agee Home: Date/Time:

Cell phone: Pager: n/a Status:

For Emergency:

Contact: Relation: Spouse Phone:

2. Paul Schupp Home: Date/Time:

Cell phone: Pager: n/a Status:

For Emergency:

Contact: Relation: Friend Phone:

3. Savannah Halbe Home: Date/Time:

Cell phone: Pager: n/a Status:

For Emergency:

Contact: Relation: Spouse Phone:

Record the date and time that each person was notified or last attempt made. Add the contact status BSY-Busy, NA-No Answer, PNA Person-not Available. After the team notification has been completed. This checklist should be given to the Emergency Operations Center staff or Emergency Management Team.

Notification

Notification Checklist

When notified by the Emergency Management Team that the Business Resumption Plan (BRP) has been activated, the team leader or alternate should record the following information that will be passed along to department personnel:

1. Brief description of the problem: _____

2. Location of the Emergency Operations Center: _____

3. Phone number to contact the Emergency Operations Center: _____

4. Any immediate support requested by the Emergency Management Team:

5. Whether or not the facility can be entered: Yes () No ()

1. If the facility can not be entered, the location that the team should use for a workarea or meeting place:

Notification Procedure

The team leader, alternate or assigned individual upon activation of the Business Resumption Plan will contact team personnel using the following procedure:

During notifications of an alert or declared disaster, use this procedure to alert all personnel. Read the procedures thoroughly prior to making a call. By using the following instructions, you will not unnecessarily alarm family members of an employee who was working at the affected site at the time of the disaster.

Place phone call and say, "May I speak with (individual)?"

1. If available, provide the information you called to convey.
 - Remind the person to make no public statements about the situation.
 - Remind the person not to call co-workers (unless instructed to) and to advise their family not to call other employees.
 - Record the information in the contact status column.
2. If not available, say, "Where may I reach (individual)?"
 - If at any location other than the data center, get the phone number. Call the other location and providing the information you wanted to convey.
 - If the individual was working at the affected site, indicate that you will reach the individual there. DO NOT discuss the disaster with the person answering the phone.
 - Immediately notify the Emergency Operations Center.
 - Record the information in the contact status column.
3. If contact is made with an answering machine: Make no statement regarding the situation. Provide the phone number to call at Emergency Operations Center; ask that the employee make contact at that number as soon as possible.
 - Record the information in the contact status column.
4. If no answer:
 - Record the information in the contact status column.
5. If no answer and the individual has a beeper:
 - Place a call to the beeper number.
 - Enter the number of the Emergency Operations Center for the individual to call.
 - Record the information in the contact status column.

Notification Call List

Using the team member contact list in the front of the plan, the team leader, alternate or assigned individual should convey the following information when contacting the team personnel:

- Brief description of the problem.
- Location of the Emergency Operations Center and / or the Business Recovery Site
- Phone number of the Emergency Operations Center.
- Immediate actions to be taken.
- Whether or not the facility can be entered.
- Location and time the team should meet.
- All team members should carry photo identification with them at all times and be prepared to show it to security or local authorities.
- Instruct everyone notified not to make any statements to the media.

All callers should record status of everyone they call, noting the time the call was placed and whether the person was contacted. Make a reasonable number of attempts if the phone was busy or there was no answer. Forward the completed list to the EOC and the staff will continue to attempt to contact team members.

Sample Driver Notification

CRITICAL Drivers

Product/Service:	
Vendor Name:	
Street Address:	
City/State/Zip:	
Contact Person:	Phone No.:
	24 Hour No.
Alternate Contact:	FAX No.:
	Other No.:
Comments:	

Product/Service:	
Vendor Name:	
Street Address:	
City/State/Zip:	
Contact Person:	Phone No.:
	24 Hour No.
Alternate Contact:	FAX No.:
	Other No.:
Comments:	

Product/Service:	
Vendor Name:	
Street Address:	
City/State/Zip:	
Contact Person:	Phone No.:
	24 Hour No.:
Alternate Contact:	FAX No.:
	Other No.:
Comments:	

Sample Customer Notification

KEY CUSTOMERS*

Product/Service:	
Customer Name:	
Street Address:	
City/State/Zip:	
COR Contact Person:	Phone No.
	24 Hour No.:
CO Contact Person:	FAX No.:
	Other No.
Comments:	

Product/Service:	
Customer/Client Name:	
Street Address:	
City/State/Zip:	
Contact Person:	Phone No.:
	24 Hour No.:
Alternate Contact:	FAX No.:
	Other No.:
Comments:	

Product/Service:	
Customer/Client Name:	
Street Address:	
City/State/Zip:	
Contact Person:	Phone No.:
	24 Hour No.:
Alternate Contact:	FAX No.:
	Other No.
Comments:	

QUICK REFERENCE GUIDE

- ◆ Receive alert notification, Normal business hours, and after hours
- ◆ Notify Recovery Team
- ◆ Meet Recovery Team at Assembly Site
 - Location:
 - Time:
 - Contact Name:
- ◆ Use employee contact list (attach local list to the back of the plan) to notify appropriate additional personnel to:
 - Proceed to Assembly Site
 - If appropriate, bring resumption plan
 - If appropriate, be prepared to travel
 - Bring ID Badge(s)
 - Bring pertinent resources from home or off-site
- ◆ If directed, meet the Emergency Management Team at the Command Center
 - Location:
 - Time:
 - Phone Number:
- ◆ Document information provided at the briefing
- ◆ Contact drivers and or clients if appropriate
- ◆ Report status of critical functions and potential concerns to the Emergency Management Team during the briefing
- ◆ Meet appropriate staff at Assembly Site
- ◆ Brief staff on the situation
- ◆ If Assembly Site is not the Work area instruct appropriate staff to report to the Work area

Begin team recovery activities