



**NORTHEAST DATA**

23 Hollow Crest Road | Tunkhannock, PA 18657  
P: 866.435.3816 | F: 570.996.6670 | [nedatainfo@northeastdata.com](mailto:nedatainfo@northeastdata.com)

# Business Continuity Plan

**FY YEAR 2023-2024**

Version 4.0

To be reviewed September 2024

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# Introduction

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The business continuity plan has been developed to minimize disruption to Northeast Data, Inc.'s services in times of crisis. It lays out what the business should do if normal business activities cannot be continued due to a disabling event such as loss of technology, the building, or a large proportion of staff.

The business continuity plan:

- Realistically formalizes the actions you will need to take
- Minimizes the downtime for the business
- Identifies business priorities so that if services are limited, they can be allocated effectively

# Priorities and responsibilities

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During an emergency these are the priorities and responsibilities for Northeast Data, Inc.

<b>General</b>	<p>All Northeast Data, Inc staff are safe and accounted for</p> <p>Northeast Data, Inc. manages the situation by ensuring that:</p> <ul style="list-style-type: none"><li>• Managers or others notify the Business Continuity Manager (BCM) immediately of business interruption issues</li><li>• Staff actions and priorities are consistent with overall business recovery strategy</li><li>• There are manual work arounds for critical business processes</li><li>• The public can be provided with fundamental services at an appropriate level</li></ul>
<b>Critical business function</b>	<p>Critical business functions of Northeast Data Inc.:</p> <ul style="list-style-type: none"><li>• Communications<ul style="list-style-type: none"><li>○ Set up a central area for Northeast Data, Inc. staff and key stake holders and in time the public</li><li>○ Ensure traveling staff know the extent of the emergency and have a contact number for the Northeast Data, Inc. office</li></ul></li><li>• Establish what electronic systems are available and set up for use</li><li>• Ascertain what business functions will be provided</li></ul>
<b>Civil Emergency</b>	<p>Northeast Data, Inc is not an organization which manages major resources essential for an effective response in the event of a civil emergency.</p> <p>Northeast Data, Inc.'s objective during a civil emergency is the safety of its staff and the maintenance of the essential functions of the office.</p>

# Key Risk and minimization measures

## Assumptions

Because Northeast Data, Inc operates from a single office, it is possible that the whole of Northeast Data, Inc.'s core business could be disrupted.

Business support systems failure could disrupt business, but the assumption is that serious disruption is not likely to occur until at least after 1-day. The business continuity plan takes this into account.

## Disaster events

This plan concentrates on the events that are most likely to occur. These three events (in order of impact) are:

1. Loss of office building (e.g., earthquake, fire)
2. Loss of office building functions (e.g., electricity, gas, flood)
3. Loss of technology:
  - a. Payroll
  - b. Email
  - c. Network (including file and print) and remote access
  - d. Phones – landlines
  - e. Phones – mobile
  - f. Client Management system
  - g. Financial systems
  - h. Website
  - i. Loss of building / functions

A **key risk** for staff is inability to access or leave the office building. Departure or access may be denied as a result of transportation failure, nature (e.g., floods, earthquake), personnel or political reasons.

The **key response** for responding to inability to depart or access the building is outlined below. Specific instructions for issues are detailed in the specific business continuity plans (see Section 7).

Characteristics of interruption	Risk assessment rating	Action for short term interruption (up to 7-day) Recovery location	Action for Long term interruptions
No Access to the General Area	Med	Short Term: This would be a civic emergency and beyond the business continuity plan  Long Term: Staff to relocate to the business recovery office	
Staff unable to leave the building	Low-med		
No access to the Town of Tunkhannock	Med	Short Term: Staff work off-site or remain at home  Long Term: Staff to relocate to business recovery office	
No access to the block on which office is located	Med-Low	Short Term: Staff work off-site or remain at home  Long Term: Staff to relocate to business recovery office	

## Loss of technology

System	Tolerable Outage	Tolerable data loss
Payroll	Two Weeks	One Week
Email	One day	One day
Network (including remote access)	One day	One day
File server / sharing	One day	One day
Phones (landline)	One day	One day
Phones (mobile)	One day	One day
Accounting System	One day	One day
Website	One day	One day

# Roles and Responsibilities

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During an emergency these are the roles and responsibilities.

Role	Who	Responsibility
<b>Business Continuity Manager (BCM)</b>	Position CFO/CEO	Contacting the Chief Review Officer at first knowledge of an emergency  Arranging the initial meeting of the Emergency Decision Group (BCM, CRO and Technology Advisor) to: <ul style="list-style-type: none"><li>• Activate the Business Continuity Plan</li><li>• Undertake emergency tasks</li><li>• Confirm critical business functions and business recovery location</li></ul> Reinstating services at Northeast Data, Inc.
<b>Chief Review Officer (CRO)</b>	Position CEO/CFO	Contacting the BCM at first knowledge of an emergency  Ratifying the decisions of the Emergency Decision Group  Leading Northeast Data Management team  Communicating to Northeast Data, Inc. (Including the board)
<b>Business Recovery Office Manager</b>	Exec Administrative Assistant / CFO	Co-ordinate the setting-up of the business recovery office along with the managers.
<b>Technology Advisor</b>	Network Manager / Network Director	Co-ordinate the management of ICT BCP
<b>Communication Contact Role</b>	CEO/CFO	Communicating with: <ul style="list-style-type: none"><li>• Clients</li><li>• Stakeholders</li><li>• Media</li><li>• Anyone else important to Northeast Data, Inc.'s operations</li></ul>

# Emergency Recovery Process

## Active the Emergency Evacuation Procedures

When	Who	Procedure
As soon as you are informed of the emergency	The Business Continuity Manager (BCM)	The building is cleared of all staff using Emergency Evacuation Procedures

## Activate the Business Continuity Plan

When	Who	Procedure	Action
As soon as you are informed of the emergency	The Business Continuity Manager (BCM) in conjunction with the Chief Review Officer (CRO) if available	The BCM follows this procedure to activate and implement the BCP	<ol style="list-style-type: none"> <li>Take details of the emergency from the initial call: <ul style="list-style-type: none"> <li>What has happened</li> <li>Access to the building</li> <li>Who has been contacted (emergency services, key recovery teams, Department Managers)</li> <li>Details of any immediate injuries, etc. to staff.</li> </ul> </li> </ol>
			<ol style="list-style-type: none"> <li>Check that the Evacuation Procedures are underway and request regular updates are provided to the BCM.</li> </ol>
			<ol style="list-style-type: none"> <li>Convene a meeting of the Emergency Decision Group (BCM, CRO, and Technology Advisor) which assesses the impact of the emergency on the business and decides the following: <ul style="list-style-type: none"> <li>Activating the BCP</li> <li>Immediate emergency tasks (first hour's response)</li> <li>Determine the key business functions to carry out.</li> <li>Agree the need and location of a business recovery office; assign role of Business Recovery Office Manager.</li> <li>Assign individual to carry out the Communication Contact role.</li> <li>Key staff members to remain on-site and agree actions for remaining staff.</li> </ul> </li> </ol>
			<ol style="list-style-type: none"> <li>Advise managers of decisions made and have them relay the information to their staff members.</li> </ol>
			<ol style="list-style-type: none"> <li>Contact staff members to take on the Business Recovery Office Manager and Communication Contact Roles.</li> </ol>
			<ol style="list-style-type: none"> <li>Ensure appropriate delegated authorities are in place.</li> </ol>



## Manage staff's immediate concern (during business hours)

When	Who	Procedure	Action
You will need to manage your staff during an emergency to ensure they are safe, kept informed and scheduled for work or released to go home.	Department Managers	Department Managers use the following procedures to manage staff after the Emergency Evacuation Procedures have been completed.	1. Note the physical location of all staff – confirm who was due to work today, who is on leave, who is not accounted for.
			2. Ensure that staff are congregated in a central location and have been given access to telephones to advise family they are safe. Check that food & beverages have also been provided.
			3. Liaise with the Department Manager to organize private counseling and transport when and where necessary.
			4. Send home those staff who are not required with instructions when they will be contacted to advise of any changes and when/where to return to work.
			5. Provide regular updates as advised by the BCM. (Use staff call tree in Section 9.1)

## Letting Staff know about the emergency (outside normal business hours)

When	Who	Action
Immediately after you have received a call from the CRO or Department Manager	CRO to contact the Department Manager and the Department Managers to contact team Members	1. Take all relevant details from the caller; what has happened.  Is there access to the building?  Who you need to contact and what information to relay?
		2. Check the call tree to find out whom you need to contact (use Staff call tree on page 24)
		3. Make a list for each person that includes: <ul style="list-style-type: none"> <li>• Which staff you want at the business recovery office and staff you want on standby at home</li> <li>• What they must do</li> <li>• Their intended role (if they don't already know.</li> <li>• Your contact number / detailed for them in case they encounter any problems in carrying out what you have asked.</li> <li>• Their intended role.</li> </ul>
		4. Make the calls – passing on information prepared above (use Staff call tree in section 9.1)

# Business Recovery Process

## Set up the business recovery office (temporary off-site location)

Northeast Data, Inc. may need to set up a business recovery office as a temporary place to carry out business following an emergency where access to the office is restricted for longer than one week.

When	Who	Procedure	Action
As soon after the emergency as possible, following instructions from the BCM.	Business Recovery Office Manager	Co-ordinate the setting up of the Business Recovery Office with the Vice President and Staff	1. Work with real estate companies to rent temporary office space for all staff.
			2. Gather the staff members from each of the departments that will be setting up in the business recovery office.
			3. Check that resources are available for use by the departments and make necessary allowances if not all resources are available. Where required arrange for the purchase of items.
			4. Allocate resources to each of the departments. Assign designated work areas and stations for each department. Label each workstation with the staff name.
			5. Co-ordinate the setting up of computer equipment and phones. Prevent any safety hazards (e.g. tripping on loose cabling)
			6. Obtain contact numbers for each department and circulate to the Communication Contact.
			7. Co-ordinate the orientation of staff to their new environment.

## Communication priorities and processes

When	Who	Action
Immediately	Communication Contact Role	1. Receive confirmation of the business recovery location and go directly to the location.
		2. Provide regular recovery status information to CRO, particularly Northeast Data's services are available and where, and those services not available and an anticipated recovery time.
One day later		3. Set up the alternative phone links for Northeast Data, Inc. and have a staff member staffing the phone or ensuring all callers receive a recorded message advising that the office is closed and anticipated reopening.
One day later		4. Contact major external stakeholders and Northeast Data to establish communication.
As required		5. Handle calls from stakeholders, and media as received.

## Reinstate services at the office

When	Who	Action
Once access and services at the office are available	BCM	1. Ensure all insurance needs have been covered
		2. Ensure that the usability of the office will still meet the needs of Northeast Data.
		3. Assess the technology requirements to reinstate services at the office.
		4. Assess furniture and fixture needs for the reinstatement of services in the office.
		5. Ensure all health and safety requirements are in place.
		6. Ensure all general office services are in place.
		7. Arrange for staff to return to the office.

# Business Continuity plans for ICT

## Payroll

Core Business Functions	Characteristics of Interruption	Short Term (2-weeks)	Long Term (More than 2-weeks)
Payroll	No access to building	Team will process payroll from outside of the location using Northeast Data issued PC's to enter their time into Prime Pay. Payroll will be processed by the administrators outside of the office using the Prime Pay system.	Employees will be able to log into the payroll system outside of the office using either Northeast Data equipment or provided smart phone to log into payroll.  Administrators will process payroll using the Prime Pay portal
	No access to building & to the payroll system	Northeast Data will process payroll by contacting Prime Pay and having the previously processed payroll run.	Employees will submit time directly to their managers if the portal isn't working and time will be collected as usual being sent to the administrative assistance and to be processed by calling in the hours to Prime pay or emailing a spreadsheet of hours to Prime Pay for processing
	Access to building but not to payroll system	Northeast Data will process payroll by contacting Prime Pay and having the previously processed payroll run.	Northeast Data will move to the QuickBooks payroll system to process the payroll of the employees until the Prime Pay system is back up an operational

## Email

Core Business Function	Characteristics of interruption	Short term (up to 1-day)	Long term (more than 1-day)
Email	No Access to building	Employees will utilize their company provided laptop / pc to access their outside email or their company provided smart phone. An online email portal with office.com can also be accessed to be able to check and respond to emails	Employees will utilize the office.com portal to access their emails.
	Office.com email server down	Technology Advisor will advise ISP of server down.  Accounts will be set up or accessing email via webmail if the outage is extended  Use of laptops and PCs at home to access webmail accounts or smart phones	Have ISP change downed accounts to different ISP server

## Network (including file & print) & remote access

Core business functions	Characteristics of Interruption	Short term (up to 1-hour)	Long Term (More than 1-hour)
Email, Accounting, Client management & general business application	No access to building but servers operating	IT to assist staff to access network remotely.	Work offsite  Temporary IT systems will be arranged at business recovery office if necessary.  VPN access to be set up for offsite personnel to work remotely.
	No access to building and server not running.  There will be no access to shared drives, print services or (Specialist & financial system)/(Specialist application.)	Unitrends on demand back up to be moved over to new server for up and ready rebuild.  Rebuild will take an hour and employees will then be able to remote into the system with IT staff assistance.	New implemented backup server will run Unitrends instant rebuild and employees will have to remote into system with IT staff assistance.
	Access to building but Terminal Server not running.  There will be no access to shared drives, print services or (Specialist & financial system)/(Specialist application)	Unitrends on demand back up to be moved over to new server for up and ready rebuild.  Rebuild will take an hour  Employees will be able to work with new configuration	New implemented backup server will run Unitrends instant rebuild.
	Access to building and server but user PC down	IT to set up temporary PC to user and rebuild user applications with new configuration	Encryption keys to be kept in safe on USB drive with print outs of keys kept on offsite location in preparation to unencrypt data on hard drive if necessary  IT pc image kept on site and off site for quick load of basic pc functions with imaging

## Phones – landlines

Core business functions	Characteristics of Interruption	Short Term – (4 –hours)	Long Term (more than 4-hours)
<b>Phone Calls</b>	No access to building and phone system down	<p>Contact Telco provider to report system down</p> <p>Contact Voice Tech to attempt remote repair but unlikely as phone system must be running for remote access to work.</p> <p>Arrange for the telco lines to be diverted to mobile phone or a landline in the business recovery office.</p>	<p>If phone system is unrepairable, purchase a new system.</p> <p>The implementation or repair of the phone system will have to wait until access to the building has been restored.</p> <p>Arrange for telco to remove the phone diversions.</p>
	Access to building but phone system down.	<p>Contact Telco provider to report system down</p> <p>Contact Voice Tech to attempt remote repair but unlikely as phone system must be running for remote access to work.</p> <p>Arrange for the telco lines to be diverted to mobile phone or a landline in the business recovery office.</p>	<p>If phone system is unrepairable, purchase a new system.</p> <p>Temporarily relocate phone lines to old cisco phone system and change out NEC phones with Cisco system.</p> <p>The implementation or repair of the phone system will have to wait until access to the building has been restored.</p> <p>Arrange for telco to remove the phone diversions.</p>

## Phones – mobile

Core business functions	Characteristics of Interruption	Short Term (up to 4-hours)	Long term (more than 4-hours)
<b>Phone Calls</b>	No access to building and mobile phones not working	<p>Contact Verizon to access extent of issue.</p> <p>Arrange for Verizon to setup diversions of the mobile numbers to business recovery office or to staff home phones if this is possible.</p>	<p>Contact Verizon to access extent of issue.</p> <p>Arrange for mobile telco to remove diversions</p>
	Access to building but mobile phones not working	<p>Contact Verizon to access extent of issue.</p> <p>Arrange for Verizon to set up diversions of the mobile numbers to business recovery office or to staff home phones if this is possible</p>	<p>Contact Verizon to access extent of issue.</p> <p>Arrange for Verizon to remove the diversions.</p>

## Accounting systems

Core business functions	Characteristics of interruption	Short Term (up to 1-day)	Long Term (More than 1-day)
Accounting	No access to the building and Quickbooks is not working	Technology Advisor to contact Network Administrator  Network administrator to attempt remote repair of Quickbooks File.	If File is unrepairable, Network Administrator to utilize Untirends backup to restore last back up.  Repair of the file will have to wait until access to the building has been restored or Quickbooks will be implemented on a new server in the business recovery office.
	Access to the building, but Quickbooks not working	Technology Advisor to contact Network Administrator  Network administrator to attempt remote repair of Quickbooks File.	If File is unrepairable, Network Administrator to utilize Untirends backup to restore last back up.

## Website

Core business functions	Characteristics of interruption	Short Term (up to 1-day)	Long Term (More than 1-day)
Website	Website not working	Technology Advisor to contact website supplier Penteledata.  Penteledata to attempt repair of website	If website is unrepairable, work with current or new supplier to recreate website from backups or redevelop



# Emergency Delegation list

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Delegations will be sought to ensure emergency expenditure can be approved by:

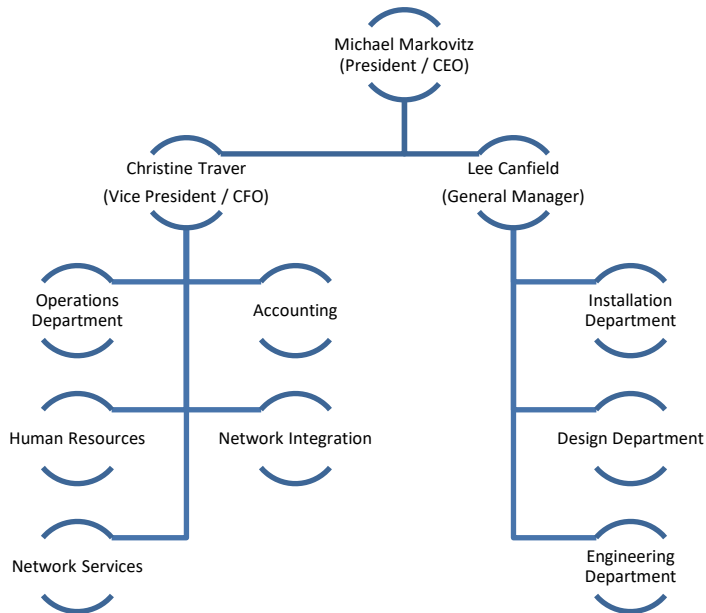
Position	Level of Authority
CEO	See Level of Authority Listing
Vice President / CFO	See Level of Authority Listing
General Manager	See Level of Authority Listing

# Contact List

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## Company

The flow chart below describes who is responsible for calling who, in the event of an emergency and to keep in contact with staff.



## Staff, Supplier, and stakeholder contact list

The staff, supplier, client, and stakeholder contact lists will be maintained by the Receptionist and Executive Manager

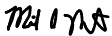


The contact lists are to be kept in a confidential file on salesforce.

The spreadsheet has four sheets

1. Staff
2. Suppliers
3. Clients
4. Stakeholders

Every two months, at the beginning of the month, the Receptionist will email the spreadsheet to all staff and Northeast Data, Inc. consultants to their Northeast Data, Inc. email addresses.

The four contact lists are published in this plan as the last page.

Reviewed by	Title	Date Approved
 <a href="#">Michael Markovitz (Sep 20, 2023 12:46 EDT)</a>	President / CEO	Sep 20, 2023
 <a href="#">Christine Traver (Sep 20, 2023 09:47 EDT)</a>	Vice President / CFO	Sep 20, 2023
 <a href="#">Lee Canfield (Sep 21, 2023 06:42 EDT)</a>	General Manager	Sep 21, 2023