

	四川科道芯国智能技术股份有限公司 Sichuan Keydom Smart Technology Co., Ltd	文件编号: Document No.:	KD-MCX-01
	二级文件 Class 2 Document	业务连续性管理标准 Business Continuity Mgt. Standard	版本号: Version number: A/1

四川科道芯国智能技术股份有限公司

Sichuan Keydom Smart Technology Co., Ltd

标准文件

Standard File

业务连续性管理标准

Business Continuity Mgt. Standard

批注 [u1]: 科道芯国 官网上并没有明确给出公司的英文名称。

我们在官网【对外生产与制造】版块找到至少两种不同的说法:

1. Sichuan precision intelligent technology Limited by Share Ltd

此为官网【质量管理】版块的译法。

2. Jing King Technology Holdings Ltd.

此为官网【资质】版块的译法。

但是这两种说法都与科道芯国的商标“KEYDOM”不相符，所以无法确定该公司的正式英文名称，暂时以商标为准，译为：Sichuan Keydom Smart Technology Co., Ltd

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文件种类：管制文件 File Type: Controlled document

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文 件 编 号: KD-MCX-01

Doc. No.:

编 制:

Prepared by:

审 核:

Reviewed by:

批 准:

Approved by:

版本 /修订状态: A 1

Rev./Revision status:

受 控 状 态:

Controlled status:

2020 年 1 月 1 日发布

2020 年 1 月 1 日实施

Issued on 1 / 1 /2020

Implemented on 1 / 1 /2020

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			A/1

修订历史记录 Document Changes

序号 No.	日期 Date	修订内容 Description of Change	版本 Version	编制 Made by	审核 Reviewed by	批准 Approved by
01	2019.9.2	初版制定 First edition	A0	郭明	刘劲松	陈为明
02	2019.12.30	更改文件格式	A1	郭明	刘劲松	陈为明
03						
04						
05						
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1. 目的 Purpose

本标准的目的是将事件对公司的影响控制在能承受的范围之内，构建“健全机制、集中领导、明确职责、预防为主、反应灵敏、处置高效”的业务连续性管理体系。

Specially make this standard to minimize the negative impact of incident under control, to establish business continuity mgt. (shortened as BCM in below content)system, which is with health mechanism, centralized leading, clear responsibilities, responding, prevention first, quick response and efficient disposal.

2. 范围 Scope

本标准适用于，对可能影响公司业务正常运营的威胁，进行业务连续性管理。包括关键信息保密性缺失类、关键 IT 系统/设备可用性/完整性缺失类、影响公司经营业务类及 EHS 类事件。

This standard is applicable for conducting BCM of threat may cause negative impact to continuous operation of KD, including incidents that key info lacking of confidentiality, key IT system/equipment lacking of accessibility/availability, affecting continuous operation and EHS incident.

3. 术语和定义 Definition

3.1. 业务连续性管理 BCM

为保护组织（包含员工）的利益、声誉、品牌和价值创造活动，找出对组织有潜在影响的威胁，为建设有效响应及恢复的能力，提供框架的整体管理过程。包括组织在面临灾难时，对经营业务的恢复或连续性的管理，以及为保证应急预案的有效性而进行培训、演练和检查的全过程。

Process to provide management framework of identifying threat with potential negative
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impact to KD and building ability of efficient response and recovery, to safeguard interest, reputation, brand and value creation activities of KD and KD's employees. These include the recovery and continuity management of business facing disaster and training, drill and verification of contingency plan to ensure its appropriateness.

3. 2. 业务影响分析 Business Impact Analysis (shortened as BIA below)

分析业务功能及其相关信息系统、生产系统、保障系统等资源，评估特定威胁对各种业务功能影响的过程。

A process to review the negative impact to business caused by threat by analyzing business function and source such as inform system, pro system and security system.

3. 3. 事件 Incident

本文中的事件是指，影响公司业务正常运营，且需要采取应急处置措施予以应对的，关键信息保密性缺失类、关键 IT 系统/设备可用性/完整性缺失类、影响生产经营业务类、EHS 类事件。

It refers to incidents which have negative impact on KD's business operation and need to be subject to emergency response treatments, including key info lacking of confidentiality, key IT system/equipment lacking of accessibility/availability, affecting continuous operation and EHS incident.

3. 4. 外部相关方 External Party

是指与组织的业绩或成就，有利益关系的个人或团体，具体指与公司业务相关联的外部备份工厂、承运商、供应商及其它机构。

It refers to personages or entities who has established business relationships with KD, such

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as backup site, carrier, supplier and other organization.

3. 5. 应急预案 Contingency Plan (Shortened as CP)

针对可能发生的事件，为迅速、有序地开展应急行动，而预先制定的行动方案。

It refers to an action procedure to carry out emergency response and treatment quickly and orderly which is pre-scheduled for incidents may happen.

3. 6. 应急响应 Emergency response

事件发生后，有关组织或人员采取的应急行动。

It refers to measures taken by related organization or personnel to respond to the emergency incident happened.

3. 7. 恢复 Recovery

初步控制事件的影响，为使生产、工作、生活和生态环境尽快恢复至正常状态，而采取的措施或行动。

It refers to measures and action taken to control the negative impact primarily to restore the production, working, living and environment to be normal status.

3. 8. 恢复时间目标 Recovery Time Objective (shortened as RTO below)

事件发生后，业务功能从停顿到必须恢复的时间要求。

Business recovery time required after incident.

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3.9. 演练 Drill

为训练人员和提高应急准备、响应及恢复的能力，而根据应急预案进行演习活动的过程。

A process to practice the contingency plan which specifies emergency response and treatment to improve personnel's ability of emergency preparation, response and recovery.

4. 职责 Responsibility

4.1. 总经理 General Manager

负责组织成立应急领导小组，并亲自担任组长，领导开展危机处理事宜。应急领导小组，负责在总经理领导下开展平息事件的具体工作。

Be responsible for organizing emergency leader team and acting as a leader of the team to lead crisis treatments. The emergency leader team is responsible for implementing the specific works under General Manager's leadership.

4.2. 管理者代表 Management Representative

负责根据业务发展方向，规划业务连续性总体战略，领导和决策业务连续性管理的重大事宜：

Be responsible for defining overall policy of business continuity and below significant affairs' decision.

- 审核与批准公司业务连续性管理方针政策；Review and approve BCM policy of KD;
- 审核与批准公司的业务连续性管理标准、工作计划及应急预案；Review and approve BCM mgt. standard and work plan, and contingency plan.

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- 为公司业务连续性管理工作的计划及落实，提供资源和管理保证。Ensure the resource needed by KD's BCM implementation are available.

4. 3. 安全策略部 Security Policy Dept.

- 负责确定公司业务连续性管理方针政策、目标和范围；To define the policy and strategy, objective and scope of BCM of KD.
- 负责制定业务连续性管理标准；To make BCM standards.
- 负责组织各部门进行业务影响分析及风险评估，识别与评价公司范围内可能发生的影响业务正常运作的事件；To organize other depts. to conduct BIA and risk assessment to identify and assess the incident may happened within KD which could cause negative impact to normal operation.
- 负责依据业务影响分析及风险评估、危险源分析及环境因素分析的结果，制定业务连续性管理计划；To make BCM plan according to the result of BIA, risk assessment, environmental aspects analysis and hazards analysis.
- 负责组织各部门依据业务连续性管理计划，根据业务分工不同参与不同应急预案的编制与修订；To organize relevant depts. to make and revise contingency plans within the scope of their responsibility according to the BCM plan.
- 负责组织公司应急预案的培训、演练及评审。To organize the training, drill and review of contingency plans of KD.

4. 4. 质量管理部 Quality Mgt. Dept.

负责组织识别和评价公司存在的重大环境因素与不可接受风险。

To organize the identification and evaluation of important environmental aspects and unacceptable hazards of KD.

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4. 5. 各部门 Other dept.

- 负责遵循公司业务连续性管理方针策略和目标，为部门业务相关的，业务连续性管理活动提供资源和管理保证；To follow the policies and objectives of BCM of KD and provide support to BCM activities within the scope of responsibilities.
- 负责在安全策略部的组织下，针对部门管理业务，进行业务影响分析，确定并实施相应的防范措施；To conduct BIA and adopt preventative measures for their own business.
- 负责依据本标准及公司业务连续性管理工作计划，实施本部门相关业务连续性管理活动；To conduct BCM activities related to depts..' business.
- 负责针对本部门已发生的应急事故，进行及时处理，将危险降至最低。事后，进行事件总结与整改；To adopt treatment timely against incidents happened within dept. to lowest the level of danger and summary and corrective action also should be carried out later.
- 依据公司应急预案，接受应急领导小组的领导，开展应急工作。To carry out emergency response as the requires of leadership of emergency leader team

5. 管理内容 Mgt. Process

5. 1. 业务连续性管理目的 Purpose of BCM

- 以“预防为主、防救结合、统一指挥，分级负责”为原则，更好地符合法律法规要求和公司业务持续运行的需要，给公司员工提供更好更安全的环境，保障公司业务的正常持续运行；To provide better and safe environment to employee and ensure the continuously running of businesses according to requirements of laws and regulations and BCM request, on the principle is ‘Prevention First, Protection and Rescue

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密级: 1 级 内部

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- Combined, United Command, Responsibility Divided’.
- 指导业务连续性管理活动按计划有序进行，防止因应急准备不足、行动组织不力或现场处置工作的无序和混乱，而延误事故的应急救援；To be a guideline for good running of BCM activity plan and preventing any delayed emergency response happened for lack of preparation and organization or disorderly treatment.
 - 有效地避免或降低人员伤亡和财产损失，实现业务连续性管理活动的快速、有序、高效开展。To ensure the BCM activities to be carried out quickly, efficiently and orderly, so that the casualties and loss of properties could be avoided or decreased efficiently.

5. 2. 业务连续性管理分类 Classification of BCM

依据适用于本业务连续性管理标准的事件类型，将业务连续性管理分为了四大类，详见下表内容。

The BCM activities have been divided into four types according to difference of incidents applicable to BCM, detail is specified as below:

key info lacking of confidentiality, key IT system/equipment lacking of accessibility/availability, affecting continuous operation and EHS incident.

管理类型名称 type of BCM	名称 简写 Abbriain	适用事件说明 Examples of Applicable Incidents
关键信息保密性缺失类 Key Info Lacking of Confidentiality	A 类 type A	敏感数据泄露、密钥泄露、产品遗失、敏感材料遗失等可能对公司业务运行产生重大负面影响的信息保密性缺失类事件 Incident which may cause significant negative impact to KD’s normal operation, such as divulgence of sensitive data and key and loss of product and sensitive material.
关键 IT 系统/设备可用性/完整性缺失类 Key IT System/Equipment Lacking of Accessibility/Availability	B 类 type B	IT 系统故障、网络故障、数据传输故障，导致 IT 系统、网络、数据传输等可能导致公司业务中断的，IT 系统/设备可用性/完整性缺失类事件 Incident which may cause business interruption, such as failure of IT system, network and data transmissions.
生产经营业务类 Pro Operation Business	C 类 type	采购供应中断、自然灾害、设备故障（电源、管线、重大空调故障、生产设备）、员工集体性罢工、规模性治安事件、交通中断等可能导致生产经营

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管理类型名称 type of BCM	名称 简写 Abbreviation	适用事件说明 Examples of Applicable Incidents		
	C	用业务中断的事件 Incident which may cause production business interruption, such as supply interruption, natural disaster, equipment failure (power, cable, air-conditioner and production devices), collective strike, large scale of public safety affairs, traffic stop and so on.		
EHS 类 EHS	D 类 type D	设备噪声、环境污染严重超标影响内外部环境安宁、因电源或其他人为原因引发火灾、自然灾害、重大交通事故、多人食物中毒事故、电梯事故、施工事故、工伤事故、触电事故等可能危害环境或人员健康的事件 Incident which may cause harm impact on environment or personnel health, such as equipment noise, significant environmental pollution, fire, natural disaster, significant traffic accident, food poisoning, elevator or construction related etc.		

5. 3. 业务连续性管理计划准备工作——A、B、C 类 Preparation for BCM——type A, type B and type C

5.3.1. 安全风险评估 Security Risk Assessment

识别各系统的资产价值、存在的脆弱性及面临的威胁，分析可能发生的，需要针对 A 类、B 类及 C 类业务的连续性，进行管理的事件。详细内容参见《安全风险评估管理标准》。

To evaluate the value of assets of every system and identify vulnerability existing and threat facing, to find out which incidents need to be subject to BCM of type A, B and C. Details can be found in Security Risk Evaluation Standard.

5.3.2. 业务影响分析 BIA

根据公司的业务连续性管理工作与目标，组织各部门实施业务影响分析，并形成《业务影响分析报告》，主要包含：

BIA should be conducted on principle of BCM activities and objectives of KD by related depts., output should be recorded on BIA Form

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5.3.2.1. 关键业务功能或系统识别与分析 Key Business or System Identification and Analysis

- 识别关键业务功能或系统。To identify key businesses and systems.
- 从合规要求、形象声誉、客户影响、业务关联、财务影响五个维度对业务影响进行赋值，计算关键业务影响度。To evaluate the business impact from five dimensionalities, i.e. compliance demand, image and reputation demand, customer impact, business connection and financial impact to value level of business impact.
 - A. 关键业务影响度=合规要求*权重+形象声誉*权重+客户影响*权重+业务关联*权重+财务影响*权重
Level of Business Impact = Value of Compliance Demand*Ratio + Value of Image and Reputation Demand*Ratio + Value of Customer Impact *Ratio + Value of Business Connection *Ratio + Value of Financial Impact *Ratio.
 - B. 当业务影响度分析结果值≥4 时，必须确定恢复时间目标，并进行业务影响风险分析；当业务影响度分析结果值<4 时，由高层管理者决策是否需要确定恢复时间目标，并进行业务影响风险分析.If the Level of Business Impact ≥ 4, RTO must be specified and corresponding risk of business impact should be analyzed too. Otherwise, the Management could decide if RTO specification and corresponding risk of business impact should be analysis are necessary.
 - C. 如下为业务影响度各维度赋值标准:Valuing Criteria of the Five Dimensionalities

维度 type	业务影响度 BI Level	取值 Value	权重 Ratio	描述 Description
合规要求 Compliance Demand	高 High	5	30%	明确违反了法律法规或监管机构的强制性要求，不可避免地会遭到严厉的惩罚。 KD will suffer harsh punishment for obviously violating mandatory requirements of laws and regulations or regulatory organization.
	中 Medium	3		违反法律法规、监管要求或合同条款，可能遭受一定程度的惩罚。 KD may suffer some punishment for violating mandatory requirements of laws and regulations or regulatory organization.

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维度 type	业务影响度 BI Level	取值 Value	权重 Ratio	描述 Description
	低 Low	1		没有明显证据证明违反法律法规、监管要求或合同义务。There is not any obvious evidence of violating mandatory requirements of laws and regulations or regulatory organization.
形象声誉 Image and Reputation Demand	高 High	5	20%	形象与声誉受到严重的、难以挽回的损失，受到来自监管方、客户以及社会舆论的巨大压力。It will cause significant and irretraceable damage to KD's image and reputation and enormous pressure from regulatory organization, customer and society.
	中 Medium	3		形象与声誉受到一定损失，存在一定的社会压力。It will cause little damage to KD's image and reputation and some pressure.
	低 Low	1		形象与声誉方面的影响可以忽略不计。The negative impact on KD's image and reputation could be ignored.
客户影响 Customer Impact	高 High	5	25%	向多数内外部客户（如：50%以上）提供的服务停止或持续不稳定。It will cause termination or instability of service to most internal and external customers (more than 50%)
	中 Medium	3		向少数内外部客户（如：10-50%）提供的服务停止或持续不稳定。It will cause termination or instability of service to some internal and external customers (more than 10%, less than 50%)
	低 Low	1		向个别内外部客户（如：少于 10%）提供的服务停止或持续不稳定。It will cause termination or instability of service to some internal and external customers (less than 10%)
业务关联 Business Connection	高 High	5	15%	其他业务系统中，多数系统或少数重要系统受到影响，无法正常运行。It will cause negative impact to most systems or some important systems.
	中 Medium	3		其他业务系统中，少数系统或个别重要系统受到影响，无法正常运行。It will cause negative impact to some systems or little important systems.
	低 Low	1		其他业务系统没有受到显著影响。There isn't any negative impact to some systems or little important systems caused.
财务影响 Financial Impact	高 High	5	10%	对公司财务收入产生严重的负面影响。It will cause significant negative impact on financial of KD.
	中 Medium	3		对公司财务收入产生一定的负面影响。It will cause some negative impact on financial of KD.
	低 Low	1		对公司财务收入没有受到明显影响。It will cause no negative impact on financial of KD.

- 确定恢复时间目标，对关键业务功能的恢复制定优先级排序。To specify the RTO, priority ranking the recovery of key businesses.

5.3.2.2. 业务影响风险识别与分析 Business Impact Risk Identification and Analysis

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- 识别关键业务功能所依赖的信息资产和资源，包括人员、设备、数据、软件和服务（含第三方）；To identify info assets and resources needed by key businesses, including personnel, equipment, data, software and service (including third-party).
- 结合针对这些信息资产和资源，所进行的安全风险评估结果，识别可能导致业务中断的安全事件；To identify the security incidents may cause business interruption by considering the security risk assessment result for these info assets and resources.
- 分析这些突发安全事件，将给关键业务功能造成的损失和影响，得出业务影响风险值。当业务影响风险<9 时，则为可接受业务影响风险；当业务影响风险值≥9 时，对应的安全事件应给出明确的应对措施或方案。To evaluate value of BI risk level by analyzing the loss and impact to key business caused by these emergency incident. The value of BI risk level to be less than 9 is acceptable. Appropriate and clear controls or plans should be made for BI risk with value ≥ 9.
- 业务影响风险值的计算 Calculation for Value of BI Risk Level
 - A. 业务影响风险值=业务影响风险可能性赋值*业务影响风险影响程度赋值 Value of BI Risk Level = Value of Likelihood of BI Risk * Value of Impact for BI Risk
 - B. 业务影响风险可能性赋值标准 Valuing Criteria for Likelihood of BI Risk

级别 Level	取值 Value	描述 Description
高 High	5	从威胁的驱动因素来看，该风险极有可能会发生；或 It is highly possible to happen for considering the driving factor of threat. 以前曾经发生过多次；或 It happened many times before. 以前发生过数次，并且该安全事件发生频率呈上升趋势。It happened some times before, the frequency seems to be on the rise.
中 Medium	3	从威胁的驱动因素来看，该风险较有可能会发生；或 It may happen for considering the driving factor of threat. 过去曾发生过该风险；或 It happened before. 虽然没有发生，但相应控制措施并不到位。It never happened, but the controls are not appropriate.

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低 Low	1	从威胁的驱动因素来看, 该风险发生的可能性较小; 或 It is not very possible to happen for considering the driving factor of threat. 过去很少发生; 或 It rarely happen. 已经有控制措施到位。Controls existing are very effective.		

C. 业务影响风险影响程度赋值标准 Valuing Criteria for Impact of BI Risk

级别 Level	取值 Value	描述 Description
高 High	5	风险发生后, 可能导致关键服务长时间中断 (4 小时以上), 相关活动受到显著影响。It will result a long interruption of key service for more than 4 hours, and related activities will be affected obviously.
中 Medium	3	风险发生后, 可能导致关键服务较长时间中断 (1-4 小时), 造成一定的损失。It will result a relatively long interruption of key service for more than 1 hour and less than 4 hours, and some loss will be caused.
低 Low	1	风险发生后, 可能导致关键服务短时间中断 (1 小时以内), 相关损失较少。It will result a short interruption of key service for less than 1 hour, and little loss will be caused.

5. 4. 业务连续性管理计划准备工作——D 类 Preparation for BCM——type D

5.4.1. 环境因素、危险源识别与评价 Identification and Evaluation of Environmental Aspects and Hazards

识别和评价环境管理体系覆盖范围内的活动、产品和服务中的重要环境因素, 公司存在的不可接受危险源, 分析可能发生的需要针对 D 类业务的连续性, 进行管理的事件。详细内容参见《环境因素识别与评价程序》、《危险源辨识评价管理程序》。

To identify and evaluate the important environmental aspects and unacceptable hazards existing for KD’s operation activities, service and products, to find out possible incidents needed to be subject to BCM for type D. Detail processes can be find in environmental aspects identification and evaluation procedure and hazards identification and evaluation mgt. procedure.

5. 5. 业务连续性管理计划 BCM Plan

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根据业务连续性管理目标、安全风险评估、业务影响分析结果、环境因素识别与评价结果，及危险源识别与评价结果，制定业务连续性管理计划。计划应包含如下内容。

To make BCM plan on basis of BCM objectives, result of security risk assessment and BIA and of environmental aspects and hazards identification and evaluation result. Below info. should be specified in the plan.

- 不可接受风险、重大环境因素、不可接受危险源的处置计划；Treatment plan for unacceptable risks, important environmental aspects and unacceptable hazards.
- 业务连续性管理培训计划；BCM training plan.
- 应急预案规划，如编制预案、培训、演练、评审计划。Scheme the Contingency Plan, such as plan of Contingency Plan making, training, drill and review

5. 6. 应急预案管理——编制预案 BCM——Contingency Plan Making

为了应对突发/重大业务连续性影响事件，需根据风险评估及业务影响分析结果，编制应急预案。应急预案能为突发/重大业务连续性影响事件中，不熟悉的人员，或要求进行恢复操作的系统，提供快速明确的指导。应急预案应明确、简洁、易于在紧急情况下执行。

To make contingency plan on basis of results of risk assessment and BIA to react to emergency/significant BI incidents. To provide quick and clear guidance for personnel unfamiliar with the procedure of recovery in these incidents. The contingency plan should be clear and succinct to convenient its implementation under emergency situation.

应急预案应包含总则、角色及职责、预防和预警机制、应急响应流程、应急响应保障措施和附件 6 个部分。可根据应急预案的特性，酌情增减。

There should be 6 parts of the contingency plan, including general rules, roles and responsibilities, prevention and early-warming mechanism, emergency response processes, safeguarding measures for emergency response and appendixes. Appropriate changes is OK

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according to the characters of the plan.

5.6.1. 总则 General Rules

总则部分应包括编制目的、编制依据、适用范围及工作原则这些内容，使应急预案更容易理解、实施和维护。In this part, the purposes, references, scopes and principles should be specified to convenient the understanding, implementation of the contingency plan.

5.6.2. 角色及职责 Roles and Responsibilities

5.6.2.1. 角色的划分及职责 Roles and Responsibilities Definition

根据公司组织架构与职责分工，建立公司应急准备、响应及恢复管理组织。该组织由管理、业务、技术和行政后勤等人员构成。一般分为 5 个功能小组，分别应急领导小组、应急实施小组、应急日常运行小组、应急技术小组及应急保障小组。为各组职责如下：

An organization of emergency preparation, response and recovery mgt. is established on basis of KD’s organization and responsibilities assignment. The organization is comprised of Emergency Leader Team (Shortened as ELT), Emergency Implementation Team (Shortened as EIT), Emergency Daily Operation Team (Shortened as EDOT), Emergency Technology Team (Shortened as ETT) and Emergency Safeguarding Team (Shortened as EST). Responsibility assignments are detailed as below:

功能小组 Team	职责 Responsibility	组成 Member
应急领导小组 ELT	a) 分析紧急状态，确定相应报警级别，根据相关危险类型、潜在后果、现有资源控制情况，确定行动类型；To determine alarm level after emergency analysis and action should be taken according to the risk type, potential consequence and available resource. b) 应急响应组织的启动，指挥、协调各类应急反应行动，与外部应急反应人员、部门、组织和机构进行联络；To initiate the emergency response action, command and coordinate all responding actions, contact with the external parties. c) 直接监督检查应急操作人员行动，协调后勤方面以支援应急反应组织；To	由公司的总经理或其授权人员担任组长，各职能部门根据职责不同，担任各成员 GM or his authorized

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功能小组 Team	职责 Responsibility	组成 Member
	<p>supervise the emergency response and ordinate with the logistics to provide supports needed.</p> <p>d) 应急评估、确定升高或降低应急警报级别，并通报外部机构，决定是否请求外部援助；To assess the emergency and determine the changes of emergency response level, to inform external organization of the situation and to determine if external support is needed.</p> <p>e) 决定应急撤离，决定事故现场外，影响区域的安全性。To determine emergency evacuation and assess the security of other areas.</p>	<p>backup is the team leader.</p> <p>Members are from other related depts.</p>
应急实施小组 EIT	<p>a) 接收事故、灾难预警；To receive early alarm of incidents and disasters.</p> <p>b) 定位突发事件、灾难并进行初始处理和保护；To locate the emergencies and disasters and perform initial treatment and protection.</p> <p>c) 实施应急预案；To implement contingency plan.</p> <p>d) 报告所负责范围内的，应急处置进展状况，和事态发展情况；To report the status of emergency treatment and incidents.</p> <p>e) 组织灾难恢复工作。To organize disaster recovery.</p>	<p>管理归属部门负责人担任组长，部门组成人员为成员 The leader of the depts. with mgt. owner is the team leader.</p> <p>Members are from this dept.</p>
应急日常运行小组 EDOT	<p>a) 应急监控系统的运行和维护（报警、监测系统 etc.）；To monitor and maintain the monitoring system (alarming system, monitoring system etc.)</p> <p>b) 应急基础资源的保障与维护（例如消防系统、备份系统与资源等）；To safeguard and maintain of basic resources for emergency response (such as fire system, backup system and resources etc.)</p> <p>c) 保护事故现场，对现场的有关实物资料进行取样封存；To protect the scene of accidents and seal the physical material related to the scene sampled for safekeeping.</p> <p>d) 进行事故调查及相关人员的责任，对相关人员进行处罚、教育、总结；To investigate the incidents and the responsibilities and make summary, and to take punishment and education to related personnel.</p> <p>e) 参与协助灾难恢复工作。To take part in disaster recovery affairs.</p>	<p>由公司安全策略部负责人担任组长，部门人员为成员。IT and Security leader will be acting as the leader. Members are from this dept.</p>
应急技术小组 ETT	<p>a) 评估事故、灾难发展事态、影响范围、严重程度、恢复情况等；To assess status of incidents and its evolution, scope and serious level of impact, and recovery status.</p> <p>b) 提供事故定级、备份站点切换等决策建议；To provide advices to some important decision, such as incidents ranking and backup site switching and so on.</p> <p>c) 根据事故现场的特点，及时向应急总指挥，提供科学的技术方案和技术支持，有效地指导应急响应行动中的技术工作。To provide technical plan and support to emergency response leaders according to incidents' characters timely, and to guideline the technical affairs of the emergency response.</p>	<p>由安全策略部负责人担任组长，各部门技术人员为成员 IT and Security leader will be acting as the leader. Members</p>

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功能小组 Team	职责 Responsibility			组成 Member
				are from this dept
应急保障小组 EST	a) 负责与政府相关单位、上级主管单位等相关部门，及其下级分支机构之间的联络协调工作； To communicate with government and higher regulatory dept. b) 负责协调后勤资源，提供快速的和充足的后勤支持； To coordinate logistic resources to provide quick and sufficient logistic support. c) 提供法律知识支持，审查对外公告的信息的法律符合性； To provide legal support and verify the law compliance of notice declared. d) 做好受伤人员医疗救护的跟踪工作； To track the medical assistance of injured personnel. e) 与保险部门一起做好伤亡人员及财产损失的理赔工作； To cooperate with insurance dept. to deal with claim settlement affairs. f) 慰问伤亡人员及家属。To express condolence to injured personnel and his/her family members.			组长由公司管理者代表担任，由其他相关职责部门人员为成员 MR will be acting as the leader. Members are from other related depts.

5.6.2.2. 组织的外部协调 External Coordination of KD

依据事件的影响程度，如需向卡组织、监管部门或客户通报准确情况，或需向其他单位寻求支持时，应与相关管理部门，及外部组织机构保持联络和协作。Contact and cooperation should be kept with relevant regulatory dept. and external parties, if it needs to notify card organizations/regulatory depts./customers of the exact situation of the incidents, or needs to get support from other entities.

5.6.3. 预防和预警机制 Prevention and Early-warming Mechanism

- 规定各部门各个环节的不可接受危险源、安全风险监测/监控方式，以及采取的相应预防措施。明确事故预警的条件、方式和信息的发布程序。The supervisor mechanism and prevention measures should be specified for unacceptable hazards and security risk in activities of every dept. Condition and method of early-warming of incidents and publish process of info. should be clearly defined.

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5.6.4. 应急响应流程 Emergency Response Processes

5.6.4.1. 事件通告 Announcement of Incident

- 组织内信息通报、相关外部组织信息通报、信息上报，明确信息披露的对象、时机、方式、内容及责任人。It includes to notify info internally, externally and to higher organization. The objects, time, method, contents and responsibilities of the info announcement should be defined.

5.6.4.2. 事件定级 Incident Ranking

- 确定事件的级别。针对事件危害程度、影响范围和公司控制事态的能力，进行分级。To rank the importance level of the incidents according to the level and scope of negative consequence of incidents and ability to control the state of incidents.

5.6.4.3. 应急启动 Emergency Initiation

- 应急启动所需遵循的原则、依据、方法。一般来说，通过事件发生的级别来确定是否启动应急程序，且由应急领导小组发布应急启动令。To define the principles, basics and methods should be followed while emergency initiate. Generally, the emergency initiation is decided by incident level and is published by ELT.

5.6.4.4. 应急处置 Emergency Treatment

- 启动应急预案后，应立即采取的，抑制事件影响的措施，避免造成更大损失。Control measures should be taken immediately to avoid greater loss after contingency plan is initiated.
- 事件得到控制后，应遵循的恢复顺序（业务影响分析结果）、操作流程，修复事故造成的损害，并恢复业务运行。The businesses and incidents’ loss should be recovered by following the priority order decided according BIA result and operation processes after the incidents’ situations are within control.

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5.6.4.5. 后期处置 Follow-up Treatment

- 组织开展后期处置，主要包括事件后果影响消除、重建、应急过程总结。总结重点可为事故发生的原因、相关责任人、应急准备响应措施中存在的问题及改进措施；形成报告，并存档。To organize related depts. to carry out the follow-up treatments, including negative consequence elimination, business rebuilding and emergency response summary. The key points of summary should be the reason for incidents, related responsibilities, issues existed in emergency preparation and response measures and corresponding improving measures.

5.6.5. 应急响应保障措施 Safeguarding Measures of Emergency Response

5.6.5.1. 通信与信息保障 Communication and Info Safeguarding

- 根据事故类型和实际情况，建立应急工作关联的人员联系方式，并提供备用方案。建立信息通信系统及维护方案，确保应急期间信息通畅。A contact list of personnel and relevant backups related to emergency affairs should be established according to the type and situation of incidents. A plan to maintain the info communication system should be in place to enable a free communication.

5.6.5.2. 应急队伍保障 Emergency Team Safeguarding

- 明确各类应急响应的人力资源，包括专业应急队伍、兼职应急队伍的组织与保障方案。同时，明确应急救援需要使用的，应急物资和装备的类型、数量、性能、存放位置、管理责任人及联系方式等内容。To define all kinds human resource needed by emergency response, including the project to organize and safeguard professional and part-time emergency team. Meanwhile, it needs to define the type, quantity, property, storage location and contact info of the admins of the emergency supplies and equipment.

5.6.5.3. 经费保障 Fund Guarantee

- 明确应急专项经费来源、使用范围、数量和监督管理措施，保障应急状态时应急经

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费及时到位。 To define the source, usage scope, quantity and supervision measures of the fund of special project to ensure the availability of fund during emergency status.

5.6.5.4. 其它保障 Other Safeguarding

➤ 根据公司应急工作需求，而确定的其它相关保障措施（如：交通运输保障、治安保障、技术保障、医疗保障、后期保障等）。To define other related safeguarding needed according to KD’s emergency affair request, including traffic, guards, technology, medial and others.

5.6.6. 编制应急预案必需的附件 Appendix Required

- 各应急小组成员联络清单；The contact list of members of each emergency team.
- 外部联络信息（供应商、客户、第三方、政府、上级监管单位、媒体等）。External contact list of external entities, such as suppliers, customers, governments, higher regulators and media etc.

5. 7. 应急预案管理——培训、演练、评审 CP Mgt.——Training, Drill and Review

为了检验应急预案的有效性,使应急预案相关人员了解应急预案的内容,熟悉操作流程,应按业务连续性管理工作计划中的规划，落实应急预案的培训、演练和评审。

To perform train, drill and review of CPs according to the schedule of BCM working plan, to verify the effectiveness of CPs and let relevant personnel to understand contents of CPs and be familiar with operation processes.

5.7.1. 应急预案的培训 Training of CP

对相关人员开展应急预案培训，通常在应急演练前进行的集中培训，可视为对该预案的

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培训。

To provide training of CP to relevant personnel. Normally, the training is provided before drills of CPs.

5.7.2. 应急预案的演练 Drills of CPs

确定应急演练的方式、频次、总结。

To define the method, frequency and summary of the drills of CPs.

5.7.2.1. 演练方式 Methods

演练方式包括桌面演练、模拟演练和完整演练等多种方式，演练方式可以根据情况自行选择。除了完整演练，其他演练方式应尽量减少对业务系统的影响。

The methods of drills include Desk Drill, Simulation Drill and Fully Drill and could be self-selected. Drills should lowest the impact to business operation except Fully Drill.

演练方式 Method	说明 Specification
桌面式演练 Desk Drill	主要由各类计划的拟定人，复查计划的可执行性，由部门负责人逐项确认。The owner of CP and the depts. are responsible for verify the enforceability of the CP.
模拟演练 Simulation Drill	针对某个突发安全事件的模拟场景，对此进行模拟的业务连续性管理演练。To simulate a scene emergency incident to conduct Simulation Drill.
完整演练 Fully Drill	完全测试在遭遇了各类突发安全事件后的，响应与各类计划。To fully test all response and plan to emergency happened.

5.7.2.2. 演练频次 Frequency

原则上，每个预案制定后，应在 3 年内进行一次应急演练。部分预案应根据需要每年进行一次应急演练。Principally, a CP should be test one time within 3 years after creation. Some CPs should be test annually as required.

5.7.2.3. 演练总结 Summary

形成应急预案演练报告，总结应急演练过程中如下各事项，针对演练中出现的问题作跟踪整改，确保应急预案的可用性和可靠性。To make a summary report of drill to summarize

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below items and follow-up the corrective action to the issues existed to ensure the accessibility and reliability of CPs.

- 应急响应流程的可行度、执行度；The enforcement and practicability of emergency response processes.
- 是否满足目标恢复时间的要求；If it satisfied with the RTO requirement.
- 相关人员的意识与技能。The awareness and skill of related personnel.
- 预案所需资源的优化。The improvement of resource needed for the CPs.

5.7.3. 应急预案的维护 Maintenance of the CP

- 对应急预案进行定期评审和修订，至少每年一次。To review and revise the CPs annually.
- 及时在应急预案中，反应业务流程的变化、人员的变更等内容。To update the CPs according to the changes of business processes and personnel timely.
- 根据应急演练效果的评估结果，按需进行应急预案的修订。To revise the CPs as request according to the performance of emergency drill.

5. 8. 应急预案管理——管理分工 CPs Mgt.——Division of Responsibilities

安全策略部负责统筹应急预案管理活动，依据业务连续性管理的分类，明确了 4 类应急预案手册。依照年度业务连续性管理工作计划，在应急预案手册内，进行不同流程的新增或修订。

Security Policy Dept. is responsible for the organization of CPs mgt. Four types of CPs have been defined according to the classification of the BCM activities. The processes could be added

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or revised in these CPs on basis of annual BCM plan.

下表为各类事件应急预案的管理归属划分。非安全策略部的其他管理归属部门，须配合安全策略部，对责任范围内管理的事件，进行应急预案管理。


The details of mgt. ownership division of CPs can be found in below form. CP owner dept. except Security Policy Dept. should coordinate with Security Policy Dept. to fulfill CP mgt. for incidents within the scope of responsibilities.

管理类型 名称 type	简写 Short ened	应急预案手册 名称 Name of CP	适用事件说明 Applicable incidents	管理归属 部门 Owner
关键信息保 密性缺失类 Key Info Lacking of Confidentiality	A 类 type A	应急预案手册 ——关键信息 保密性缺失类 BC Manual- Key Info Lacking of Confidentiality	数据泄露、密钥泄露、产品遗失、敏感材料遗失等 可能对公司业务运行产生重大负面影响的信息保 密性缺失类事件 Incident which may cause significant negative impact to KD's normal operation, such as divulgence of sensitive data and key and loss of product and sensitive material.	安全策略部 Security Policy Dept.
关键 IT 系 统/设备可 用性/完整 性缺失类 Key IT System/Equipm ent Lacking of Accessibility/Av ailability	B 类 type B	应急预案手册 ——关键 IT 系 统/设备可用性/ 完整性缺失类 BC Manual- Key IT System/ Equipment Lacking of Accessibility/ Availability	IT 系统故障、网络故障、数据传输故障导致 IT 系 统、网络、数据传输等可能类事件 Incident which may cause business interruption, such as failure of IT system, network and data transmissions.	安全策略部 Security Policy Dept.
			个人化系统故障 Personalization system failure	生产中心 开发部 R&D dept. of Pro Center
生产业务类 Pro Operation Business	C 类 type C	产品生产类应 急预案 BC for Product Pro. Incidents	采购供应导致生产业务中断 Pro interruption for supply issue	生产中心 采购部
			自然灾害导致生产业务中断 Pro interruption for natural disaster	安全策略部
			设备故障（电源、管线、重大空调故障、生产设备） 导致生产业务中断 Pro interruption for equipment failure (power, cable, air-conditioner, pro equipment)	生产中心 设备部 Equipment dept. of Pro. Center 综合管理部 Admin dept.
			员工集体性罢工等可能导致生产业务中断的事件	人力资源部

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管理类型 名称 type	简写 Short ened	应急预案手册 名称 Name of CP	适用事件说明 Applicable incidents	管理归属 部门 Owner	
			Others such as collective strike may cause pro interruption.	HR dept.	
EHS 类 EHS	D 类 type D	EHS 安全事故 类应急预案 BC for EHS Incidents	化学品泄漏、环境污染、因电源或其他人为原因引发火灾、自然灾害、电梯事故、施工事故、工伤事故、触电事故等可能危害环境或人员健康的事件 Incident which may cause harm impact on environment or personnel health, such as leak of chemical, significant environmental population, fire, natural disaster, elevator or construction related etc.	安全策略部	
			重大交通事故、多人食物中毒事故 Significant traffic accident and food poisoning accident	综合管理部 Admin dept. 人力资源部 HR dept.	

6. 对本程序的评审 Review of this Standard

- 在没有发生紧急事故的情况下，每年对本程序进行一次评审；一旦发生紧急事故并经处置后，应结合响应和处置效果，及时对程序进行评审。If there is not any emergency happened, annual review of this standard should be conduct. Timely review should be conducted for that if any emergency incident happened.
- 评审目的是为评价程序的适宜性和有效性，发现存在不足之处应按《文件控制标准》进行更新。The purpose of review is to verify the appropriateness and effectiveness of the standard. Any inadequacy should be updated according to KD’s doc control Standard.

7. 引用文件、记录 Standards and Records Referred

- 安全风险评估管理标准 Security Risk Evaluation Standard
- 安全风险评估管理报告 Security Risk Assessment Report

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8. 记录

- 安全事故类应急预案 EHS Safety Accident Emergency Plan
- 关键信息保密性缺失应急预案 Key Information Confidentiality Loss Events
Emergency Plan
- 产品生产类应急预案 Product Production Emergency Plan