Business Continuity Plan

# Business Continuity Plan

## Purpose and scope

This document details the steps and considerations to undertake when key staff members are unavailable. Whereas the [Incident Response Plan](./Incident%20Response%20Plan.md) (IRP) [Disaster Recovery Plan](./Disaster%20Recovery%20Plan.md) (DRP) deal primarily with the restoration of services and physical resources, this Business Continuity Plan (BCP) deals with personnel.

The primary purpose of the BRP is to ensure that responsibilities can be cleanly transferred, when necessary, in order to ensure continuous coverage of necessary staff functions and responsibilities. As part of this general question, the BRP also addresses issues of chain of command.

## Procedures

### Avoiding issues in travel

Travel, most often due to delays and cancellations, represents a risk to staff availability both in general, but also for specific purposes. E.g., if senior sales staff are required for an on-site meeting with a potential client a delay could jeopardize or postpone a potential sale even if the affected staff are not "unavailable" in a general sense.

1. When planning travel, utilize at least two different routes whenever feasible.
2. Where applicable, divide the staff such that the unavailability of any one group leaves the remaining staff sufficient resources in the required roles to perform the function for which they are traveling. I.e., try and make it so that the delay, etc. of any one group leaves a decision maker, sufficient technical staff, etc. in order to complete the business objective.

### Replacement and stand-in staff

1. Refer to the table below for general stand-in directives based on roles.
2. Where a multiple stand-ins are possible (for non-singular roles), the order of individual stand-ins may be designated ahead of time or, if not, determined by the immediate manager of the staff member to be replaced. Refer to the [stand-in designation guidelines](#stand-in-designation-guidelines) for further guidance.
   * Stand-ins are not necessarily one-to-one. E.g., a single account manager may have multiple accounts which are split between multiple stand-ins.
3. If senior staff is unavailable to select or confirm a stand-in, then the designated stand-in should be assumed and where there is ambiguity, then a stand-in/stand-ins shall be determined:
   1. the single available stand-in according to the default rules below, if only one stand-in is available.
   2. by consensus of the potential pool of stand-ins then available.
   3. where no consensus can be reached, the longest serving staff member in the available pool of stand-ins shall designate one or more stand-ins.
4. Where multiple staff in a chain are simultaneously unavailable, duties shall fall down the chain to the most senior available stand-in.
   * E.g., if the CEO and President are both unavailable, then the COO shall assume the duties of the CEO and either assume or designate a stand-in to take the duties of the President.
5. As regards duties and responsibilities of stand-ins:
   * Stand-ins generally retain their previous responsibilities and positions, though it is expected that particular duties and tasks may be delegated which would not otherwise have been.
   * Stand-ins effectively take the place of the unavailable staff member in all groups to which they are a member *except* that access to sensitive system and/or information must be approved by available senior management.
   * More significant decisions, and especially strategic decisions, must be deferred or approved by available senior management if possible. Such decisions should be undertaken by a stand-in only if necessary due to the timeline and no senior management is available. Even in such case, stand-ins should attempt to reach consensus among any available peers.

| Role | Default stand-in |
| --- | --- |
| Chairman of the Board | Voted upon by available Board members. |
| CEO | President |
| President & CRO | CMO |
| CTO | Head of Technical Operations |
| CFO | Corporate Controller |
| SVP Operations | SVP Implementations |
| Security Officer | SVP Administration |
| Lead Engineer | longest serving Lead Engineer or, if non, longest serving Senior Engineer |
| SVP Fintech Management | CMO |
| CMO | VP & Strategic Account Administrator |
| CSO | longest serving senior sales representative |
| SVP Administration | Security Officer |

## Stand in designation guidelines

* Where a specific individual has been designated either directly or by virtue of a singular role, such designation may be assumed.
* Senior management may always override or, where not previously established, designate a stand-in. E.g., if the Head of Technical Operations is unavailable, the CTO could designate a Lead DevOps Engineer as temporary stand-in.
* In general, business responsibilities should be left undivided. E.g., the all the responsibilities and powers (subject to possible limitations) of the CEO would be transferred to the President rather than split between different staff.
* As far as discrete relationships and projects, these may be divided. E.g., if a particular Lead Engineer is not available and they are leading multiple projects, it may make sense to assign different staff to head different subsets of projects. Similar considerations apply to account management and deal flow functions.
* A stand in is typically designated from 1) a peer, 2) one level below, or 3) on level below. E.g., A Senior Engineer may be replaced by 1) another Senior Engineer with similar qualifications, 2) a non-Senior Engineer with proven capabilities and a strong understanding of the project, or 3) by a Lead Engineer who had oversight of the project.

## Version history

| Date | Change description | Ticket | Ver. | Author | Reviewed by |
| --- | --- | --- | --- | --- | --- |
| 2022-10-13 | Initial draft. | SC-1095 | SC-1095 | Zane Rockenbaugh <[zane@mocapay.com](mailto:zane@mocapay.com)> |  |