
	<b>BUSINESS CONTINUITY MANAGEMENT POLICY</b>		
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**1.0 Policy Statement:**


**Planning – Preparation – Practice**  
**creates better outcomes**

Through planning, preparation, and practice Ciena has committed to safeguarding the obligations of our interested parties by ensuring minimal disruption of the key critical processes, services and / or loss / damage to Ciena assets in the event of a business disruption. The Business Continuity Program (BCP) has been built on the structure of Ciena’s global processes with centralized oversight through the Corporate Office.


Business Continuity Management (BCM) is supported well by Ciena’s corporate values:

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**Customer First**

**Customer relationships are the foundations of our success:** Including the alignment of our business continuity objective to the fulfillment of our customer needs.
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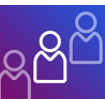
**Integrity**

**We do the right thing:** Integrity builds long-term trusting relationships with our shareholders, employees, customers, and partners; the planning, preparing, and practicing in regard to our business continuity program, are an important part of this value.
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**Velocity**

**We operate in “Ciena-Time” with the efficiency and velocity to move quickly in the market:** We hold ourselves accountable to be proactive to implement improvements in the area of business continuity, or if the need arises, react quickly to address issues that evolve.
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**Innovation**

**We take risks to maintain our competitive advantage:** Innovation is fundamental in all that we do and is applied to our business continuity program.
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**Outstanding People**

**We attract, develop and reward exceptional people:** Our people are motivated, well trained, disciplined, empowered, collaborative and accountable, including in the area of business continuity.

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- 2.0 Purpose:** The purpose of this policy is to communicate the Business Continuity Management (BCM) framework, responsibilities and guiding principles for Ciena to effectively prepare for and achieve its strategic BCM objectives through times of a business disruption.

The BCMS purpose and scope is to meet the responsibilities of our interested parties by the continuity and resilience of our core activities.

The Business Continuity Management System in relation to the following activities of design, and management of production, delivery and services of telecom products; is managed through the Corporate Headquarters in Hanover, MD and is associated with the following groups:

Corporate Communications, Corporate Real Estate and Facilities, Finance, General Counsel, Global Field Operations, Global Products Group, Human Resources, and Information

*Note: Global Products Group represents renamed groups comprised of Global Business Enablement, Global Services, and Networking Platforms Division.*

- 3.0 Scope:** This is a companywide policy that is prioritized towards key critical primary processes that support:

- 3.1** Ensuring the safety of all Ciena Personnel,
- 3.2** Providing guidance that employees shall comply with to ensure their safety in times of business disruptions,
- 3.3** Achievement of Ciena's strategic goals and objectives,
- 3.4** Provide significant underpinning of Ciena brand and reputation,
- 3.5** This policy also applies to contractors and visitors to Ciena on Ciena business.

- 4.0** The following guiding principles aid in the infrastructure of the BCP.

- 4.1 Business Recovery Plans (BRP):** Underpinning Ciena's BCP is a suite of Business Recovery Plans (BRP)s that include:

- 4.1.1 Incident Response Management (IRM):** The supporting functions that make up Ciena's IRM System responsible for response, management, escalation and recovery of business disruptions:

- **IT:** Technology and Communications focused.



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- **Ciena Real Estate & Facilities (CRE&F):** For safety of Ciena people in emergency events and management against the loss of/or serious damage to company assets and property.
- **Crisis Management Team (CMT):** Overall Crisis Management.

**4.1.2 Functional Area BRPs:** Functional area specific plans that support the timely continuation and the return to normalcy of core processes or services.

**4.1.2.1** NOTE: Ciena's BCP does not build site specific or scenario based plans, however, as required, site specific needs and/or regulations are taken into account.

**4.1.3 Criticality of Primary Processes or Services:** BCP priorities are guided by the criticality of core processes. These primary processes are potentially impacting financial, reputational, regulatory and Ciena's interested parties and have critical time sensitivity to business and are addressed through appropriate BRPs. Ciena is committed to meeting our regulatory obligations and the obligations of its interested parties. (Refer to CO2-BCM-01).

**4.1.4 Continuity:** Ciena's BCP is particularly focused on those determined likely business impacts created from a broad range of higher-consequence risks. As a result, the functional area BRPs can be used interchangeably in response to the specific scenario of the business disruption.

**4.1.5 Invocation:** When a business disruption severely affects Ciena the primary duty is life first, ensure minimal disruption to the delivery of product and services to our interested parties and emphasize key business processes and services as the focal point of recovery. Plan activation occurs when a business disruption necessitates a response beyond the scope of the standard daily operating procedures. Invocation can be declared by any IRM Team in conjunction with the BCP Program office with guidance from the BCM Steering Committee.

**5.0 BCM System:** It is the objective of Ciena to continually improve and retain certification of the BCM System with the internationally recognized ISO 22301 Societal Security Business Continuity Management System Standard.

### 5.1 Operational Planning

Ciena undertakes maintenance of its BCP by integration of annual review/updates within business-as-usual schedules and activities. This allows Ciena to mature and maintain a BCM for organizational resilience. (Refer to CO2-BCM-05).

**5.1.1** BCM Operation Planning activities include, but are not limited to:

- Periodic updating, evolving and documentation of the BIA and BRPs.
- Periodic testing exercises and reviews of plans against appropriate business valued scenarios to maintain and evolve fit-for-purpose expectations, intentions and foster continual improvement for response and recovery.



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### 5.2 Periodic Reporting and Review

BCM makes periodic reports, to the BC Steering Committee to track the maintenance and evolution of the BC Program. This contributes as a component of Executive Management Review. This policy is reviewed on an annual basis or as needed when significant business changes occur.

### 5.3 Awareness

Ongoing promotion, communication and awareness of the BCM is targeted at all levels of the organization to ensure the BCM and the associated planning is understood, implemented and achieved.

### 5.4 Budgeting

Ciena has deemed BCM a corporate objective and supports these activities through each functional area's annual budget.

### 5.5 Auditing

Internal audit program, set forth and scheduled by the BCP Program Office, ensures adherence to applicable elements of internationally recognized standards, performs fit-for-purpose verification of functional area plans and fosters continual improvement.

### 5.6 Communication

Only those authorized as Ciena Spokespersons by Corporate Communications are authorized to speak during the times of a business disruption.

## 6.0 Responsibilities

- 6.1 BCM Executive Sponsor:** The Senior Vice President and Chief Financial Officer is the sponsor of the BCM. The sponsor has the role of promoting the Business Continuity expectations and culture throughout Ciena.
- 6.2 BCM Steering Committee:** The Steering Committee is comprised of representatives from key business functions across Ciena. It has the role of ensuring the sustained advancement of the BCM and underlying plans throughout Ciena by effective and pragmatic means.
- 6.3 BCM Owner:** The Sponsor and Steering Committee provide guidance and support to the Director, Ciena Management System who is both the Lead for the BCP Program Office and the Chair of the BCM Steering Committee. The owner has the role of ensuring the relevance of the Business Continuity (BC) Planning, the competencies of key staff to implement plans as well as adequate awareness of Business Continuity throughout Ciena.
- 6.4 Business Continuity Working Groups (BCWG) Leads:** Ciena's BCWG Leads are responsible for developing and maintaining their BC plans and associated arrangements in line with Ciena's overall BCM System for their respective areas of the business.



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**6.5 Functional Area Recovery Teams:** Functional Area Recovery Teams are responsible for contributing to the BCM program with appropriate guidance from the BCWG, as well as assisting with the response and recovery actions following a disruptive event. (Refer to Functional Area's BRPs – SP Tool).

**6.6 Employees:** During times of business disruptions all employees are responsible to know that the first priority of the BCM is Life and to that objective they will:

- Know the evacuation routes from their work sites,
- Follow directions of emergency responders.

Once the Life priority has been fulfilled employees will:

- Know their functional area chain of communication to receive directions as appropriate,
- Follow their functional areas Business Continuity Plan,
- Not speak to outside parties during times of business disruptions unless they are authorized by Ciena Corporate Communications Office.

**6.7 Incident Response Management Teams:**

**6.7.1 IT:** (Technology focused planning) - responsible for managing initial IT related incidents, supporting the escalation process through Crisis Management Team (CMT), Facilities Emergency Response Team (ERT), and/or the BCP Program Office as appropriate and providing ongoing maintenance and testing for IT related functions. (Refer to CO2-INF-22).

**6.7.2 Ciena Real Estate & Facilities (CRE&F):** (For safety of Ciena people in emergency events and management against the loss of or serious damage to company assets and property) - responsible for managing initial Facilities related incidents and escalation within the Facilities ERT, supporting the escalation process through CMT and/or the BCP Program Office, as appropriate and providing ongoing maintenance and testing for Facility related functions. (Refer to CO2-CRE-02 and CO2-CRE-05).

**6.7.3 CMT:** (Overall Crisis Management) - responsible for managing initial non IT and non-Facility related incidents, supporting the escalation process through the BCP Program Office.. The CMT conducts an annual review and actual event post review of their plan to foster continual improvement. (Refer to CO2-SEC-01).

### A. Applicable and Reference Documents

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Document Name	Document Number
Business Continuity Management System Manual	<a href="#">CO2-BCM-01</a>
Business Continuity Communication Procedure	<a href="#">CO2-BCM-03</a>
Business Continuity Risk Assessment	<a href="#">CO2-BCM-04</a>
Business Continuity Operational Planning Procedure	<a href="#">CO2-BCM-05</a>
Supplier BCP Evaluation Procedure	<a href="#">CO2-BCM-06</a>
Functional Area BRPs house in the Sustainable Planner Tool Database, called SP TOOL	SP TOOL
IT Service Desk Procedure	<a href="#">CO2-INF-22</a>
Crisis Management Procedure	<a href="#">CO2-SEC-01</a>
Global Evacuation Procedure	<a href="#">CO2-CRE-02</a>
CRE&F Disaster Recovery Procedure	<a href="#">CO2-CRE-05</a>
Business Continuity Management System Requirements	ISO 22301

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### B. Standard and Reference Elements

Std / Req	Ref No./ Cycle	Description / Title	Relevant Paragraph Within This Document
ISO 22301	5.3	Policy	ALL
ISO 22301	5.2	Management Commitment	ALL

### C. Definitions

Process Term / Acronym	Definition / Explanation
Business Disruption	An event, that could cause or threaten to cause, injury to Ciena Personnel, a negative deviation from the expected delivery of products or services, or the serious loss of company property or assets. These can also be referred to as a crisis or disaster.
Event	Occurrence or change of a particular set of circumstances.

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