

## WHITE PAPER

# Business Continuity Program

We do the right thing. Integrity builds long-term trusting relationships with our shareholders, employees, customers, and partners. Our commitment to this value is evident in the institution of corporate policy and standards requiring business continuity plan development, review, training, updating, and testing. To do it right, you need a plan, and we have several plans all designed to minimize the effect of disruptions to the business and meet our customer's commitments.

### Overview

Ciena has a corporate incident management structure and business continuity plans for critical functions occurring throughout the enterprise. These plans are designed to ensure Ciena is prepared to continue its core business operations—including product design, manufacture, delivery, and customer service—in the event of a significant business disruption. This document summarizes Ciena's crisis management and Business Continuity Program (BCP), plans, and related activities.

### Corporate Policy and Support Structure

Through planning, preparation, and practice, Ciena is committed to safeguarding the obligations of 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 BCP is built on Ciena's global processes, with centralized oversight through the Corporate Office.

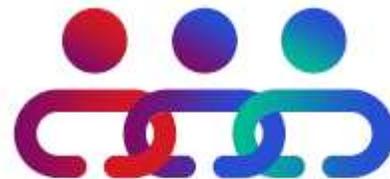
Underpinning Ciena's BCP is a suite of Business Recovery Plans (BRPs) that include:

**Incident Response Teams (IRT):** The supporting functions responsible for response, management, escalation, and recovery from business disruptions:

- **IT:** Focusing on technology and communications
- **Ciena Real Estate & Facilities (Emergency Response Team):** For the safety of Ciena personnel in emergency events and to manage the loss of or serious damage to company assets and property
- **Crisis Management Team (CMT):** Provides overall crisis management

### Business Continuity Primes and Planners:

Functional area plan owners are responsible for the development and maintenance of specific plans that support the timely continuation and the return to normalcy of their core processes or services. In addition, they are the point of contacts that lead invocation of their continuity plans and coordinate recovery activities within their respective functional areas during times of crisis. These team members participate in testing exercises and reviews, as appropriate to ensure a level of readiness and ongoing improvements.



Planning, preparation & practice  
creates **better outcomes.**

### **Business Continuity Program Office (BCPO):**

Lead by the Business Continuity Owner, who ensures the relevancy of business continuity planning; competencies of key staff to execute plans; processes, procedures and plans are established, implemented, and maintained; and performance of the BCP is reported to executive management. The BCPO staff provides support to the functional areas and is engaged at all levels during a significant business disruption. Staff members are Certified Business Resilience Managers, Lead ISO22301 Business Continuity Management System Implementers as well as Lead Auditors to relevant ISO standards. BCPO staff undergoes annual updates to their competencies.

### **Executive Involvement**

Ciena's executive leadership demonstrates their commitment to BCP in several ways, the most integral being:

- Ciena's Senior Vice President and Chief Financial Officer is the sponsor of the BCP. The sponsor has the role of promoting the business continuity expectations and culture throughout Ciena.
- The Business Continuity Steering Committee is composed of C-Level and upper management representatives from key business functions across Ciena. It has the role of ensuring the sustained advancement of the BCP and underlying plans throughout Ciena by effective and pragmatic means.

### **Recognized Business Management Standards**

Ciena received accreditation to the ISO22301 internationally recognized BCM System Standard in May 2015. In addition, Ciena is presently certified to TL9000/ISO9001-HSV and ISO 45001:2018, which contain disaster recovery and emergency preparedness elements. These standards employ best practices that include, but are certainly not limited to:

- Risk Assessment and Business Impact Analysis
- Consistent and integrated planning approach
- Annual plan reviews, updates, and testing
- Multiple recovery strategies based on the strength of Ciena's global presence

### **Business Continuity Planning**

#### **Holistic Approach**

The scope of the BCP spans the Ciena enterprise, with centralized governance through our Corporate Office, encompassing the following functional groups:

- Corporate Marketing and Communications
- Corporate Real Estate and Facilities
- Finance
- General Counsel
- Global Field Operations
- Global Products Group
- Human Resources and Corporate Learning
- Information Technology

These functional groups engage resources from their global locations for the purpose of continuing key critical business processes.

"No man is an island". These words ring especially true with respect to a global company. Ciena moved away from the scenario-based plan and developed an all-hazards focus. These plans enable Ciena to respond to myriad disaster-related impacts, including key personnel loss, site closures, technology and infrastructure failures, and vendor/supplier loss.

We employ multiple pre-approved business continuity strategies in all plans, such as shifting work to unaffected resources, remote work arrangements and third-party agreements, allowing us to provide timely and efficient restoration of critical business functions. Although continuity plans are designed for the worst-case scenario, the ability to recover from less-serious events is inherent in the structure of the plans.

### **Key Plan Elements**

The content of our business continuity plans are proprietary, however we share our standard structure that facilitates consistency in planning and optimizes cross-functional processes.

- Immediate actions in response to emergency situations
- Incident Response Management
- Internal Communications
- Invocation of plans
- External Communications
- Specialized Resource



### Validation of Plans

To receive the benefits of a meaningful BCP, it is important to regularly review and update the plan to maintain accuracy and reflect any changes made inside or outside the business. Ciena conducts an annual planning phase that reviews all plans for business, staff, supplier, and organizational changes.

While these verification activities are important the only true validation of plans is through Test Exercises or actual events. Ciena conducts annual tests of our plans using tabletop reviews and simulations.

In addition to lessons learned from tests, those garnered through debriefs from actual events are incorporated into the appropriate plans.

### Crisis Management

#### Protection, Response & Recovery

##### Incident Response Teams

The initial management of business disruptions is the responsibility of the corporate teams of IT, the Facilities Emergency Response Team (ERT), and the CMT. Each team is globally responsible for triage, management, and escalation, as appropriate, of incidents 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. Each team is comprised of key leaders, decision-makers, and subject matter experts at all levels of the company.

##### Communications

Ciena's communication plan provides a standardized strategy, coordinated with the IRT, to manage the sharing of information with the appropriate audiences during a business disruption. It applies to all general population, shareholder, and customer or employee communications as a result of an actual or potential business disruption.

Corporate Real Estate & Facilities – Designated individuals and/or the Facilities ERT will communicate and work with local emergency responders as required.

External Communications – All public information will be from a single source, approved by Corporate Communications. All individuals associated with the incident, including non-employees, are instructed to refer any inquiries to the Ciena media representative.

Program Management – Responsible for communications to customers regarding business disruptions.

HR and Site leadership – Responsible for reviewing and approving employee communications during an actual or potential business disruption.

##### Integrity of Ciena BCP

We develop plans, we test plans, and we are prepared. Rest assured that the planning, preparation, and practice are validated. To do this, we are certified to the ISO22301 BCM System Standard that maintains we have planned, established, implemented, and now operate, monitor, review, maintain, and continually improve a documented management system. This system protects against, reduces the likelihood of occurrence, prepares for, responds to, and recovers from disruptive events to our business.