

# ClearPoint Disaster Recovery & Business Continuity Plan

| <b>Document Version History</b> |                 |               |                         |              |              |
|---------------------------------|-----------------|---------------|-------------------------|--------------|--------------|
| <b>v1.0 Prepared by:</b>        | Fletcher Thomas | <b>Title:</b> | Senior Business Analyst | <b>Date:</b> | August 2016  |
| <b>v1.1 Prepared by:</b>        | Fletcher Thomas | <b>Title:</b> | Senior Business Analyst | <b>Date:</b> | March 2017   |
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## Goal

1. Keep staff and ClearPoint visitors safe
2. Maintain income generating operations
3. Maintain all operations
4. Meet ClearPoint's requirement under the law, e.g. Health and Safety in Employment Act

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## First Aid

### Certified Staff at ClearPoint House

| Name (location)  | Email                           | Phone        |
|--|---------------------------------|--------------|
| Phil Pietersen<br>(Level 3, ClearPoint House, Auckland)                          | phil.pietersen@clearpoint.co.nz | 021 308 655  |
| Cheryl Dwyer<br>(Level 3, ClearPoint House, Auckland)                            | cheryl.dwyer@clearpoint.co.nz   | 021 237 9074 |
| Connie Pallant<br>(Level 3, ClearPoint House, Auckland)                          | connie.pallant@clearpoint.co.nz | 021 142 9300 |
| Bryce Scanlen -<br>certification lapsed<br>(Level 3, ClearPoint House, Auckland) | bryce.scanlen@clearpoint.co.nz  | 021 994 496  |

## Incident Management

### First aid kits

- **Level 3:** In the kitchen above the microwave along with the St John First Aid Handbook.
- **Level 1:** In the kitchen above the microwave.
- **Innovation Garage:** In the cupboard underneath the sink at the rear of the space.

### Defibrillators

The defibrillators are located **above the microwaves in the kitchens on Level 3 and Level 1**, ClearPoint House, Auckland. The instructions are found within the defibrillator kit.

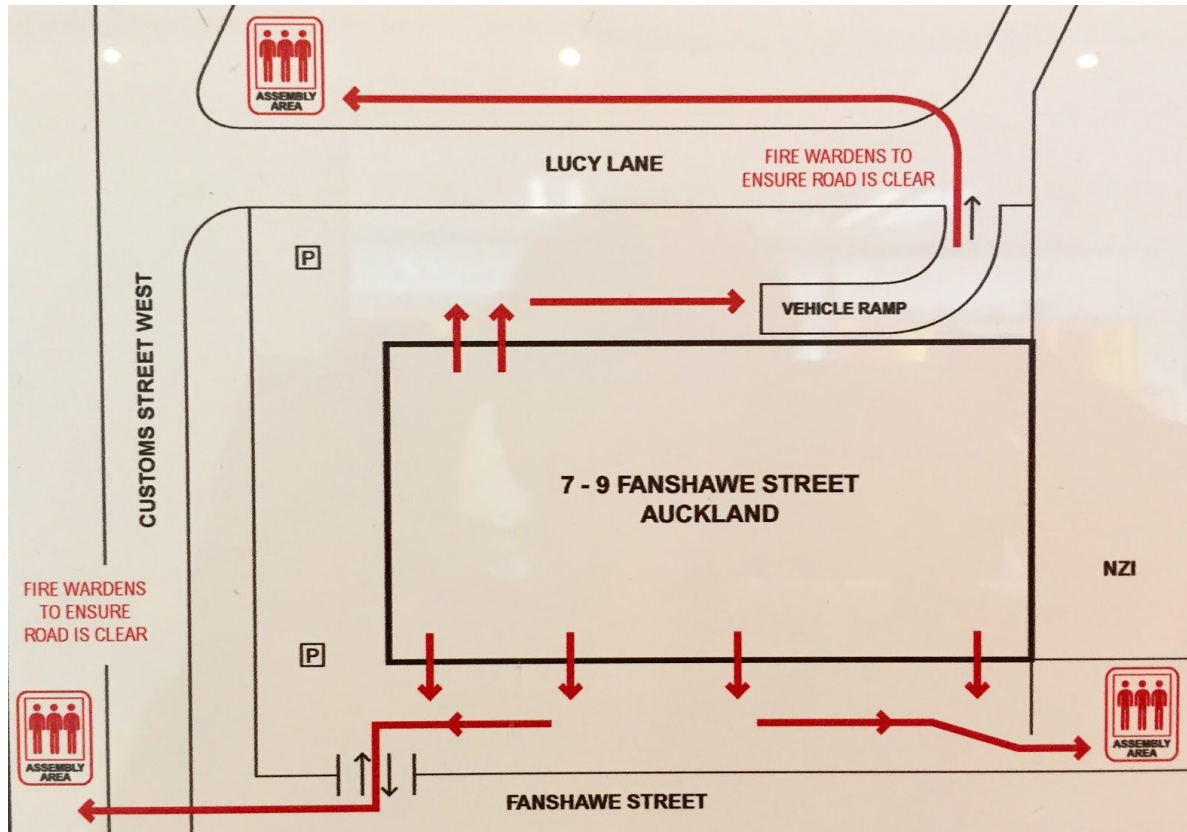
### In the event of a medical incident

- Assign somebody to care for victim and locate first aider
- Secure scene to prevent further injury and ensure the safety of others
- Contact emergency services

## Medical incident prevention

- Register of staff with health or special needs that may require assistance from other staff e.g. epilepsy.

## ClearPoint House Assembly Point



## Assumptions & Presumptions

- Email is deemed the best method of communication
- Staff on client sites will be covered under the client's business continuity plans
- Insurances will be reviewed annually to cover
  - Public liability (PL) \$10m
  - Professional indemnity (PI) \$10m
  - Contents
  - Contractors and Risk (when applicable for office renovations)

# Workplace Emergency Plan

| Steps                                    | Tasks   |                                 |                            |                                 |             |   |                |                                 |             |   |              |                               |              |   |                |                                 |                            |   |               |                                |                            |
|--|---|---------------------------------|----------------------------|---------------------------------|-------------|---|----------------|---------------------------------|-------------|---|--------------|-------------------------------|--------------|---|----------------|---------------------------------|----------------------------|---|---------------|--------------------------------|----------------------------|
| <b>1. Immediate Action Plan (IAP)</b>    | <ul style="list-style-type: none"> <li>● Establish leader based on the most senior person on site</li> <li>● Order of precedence for Auckland: <table border="1" data-bbox="448 539 1350 1048"> <tr> <td data-bbox="448 539 496 640">1</td> <td data-bbox="496 539 663 640">Phil Pietersen</td> <td data-bbox="663 539 1123 640">phil.pietersen@clearpoint.co.nz</td> <td data-bbox="1123 539 1350 640">021 308 655</td> </tr> <tr> <td data-bbox="448 640 496 741">2</td> <td data-bbox="496 640 663 741">Bain Hollister</td> <td data-bbox="663 640 1123 741">bain.hollister@clearpoint.co.nz</td> <td data-bbox="1123 640 1350 741">021 470 311</td> </tr> <tr> <td data-bbox="448 741 496 842">3</td> <td data-bbox="496 741 663 842">Cheryl Dwyer</td> <td data-bbox="663 741 1123 842">cheryl.dwyer@clearpoint.co.nz</td> <td data-bbox="1123 741 1350 842">021 237 9074</td> </tr> <tr> <td data-bbox="448 842 496 943">4</td> <td data-bbox="496 842 663 943">Alister Wright</td> <td data-bbox="663 842 1123 943">alister.wright@clearpoint.co.nz</td> <td data-bbox="1123 842 1350 943">021 991 262<br/>09 528 2440</td> </tr> <tr> <td data-bbox="448 943 496 1048">5</td> <td data-bbox="496 943 663 1048">Alan McMurtry</td> <td data-bbox="663 943 1123 1048">alan.mcmurtry@clearpoint.co.nz</td> <td data-bbox="1123 943 1350 1048">021 910 505<br/>09 638 7773</td> </tr> </table> </li> </ul> <p><b>Leader to:</b></p> <ul style="list-style-type: none"> <li>● Delegate immediately identifiable and urgent tasks</li> <li>● Source and assess information</li> <li>● Create an Immediate Action Plan for ClearPoint staff, (collaborate if needed), including: <ul style="list-style-type: none"> <li>○ One of: Go to assembly point / Stay in office / Stay home / Go home / Go to a specified location</li> <li>○ Key risks and mitigation techniques</li> <li>○ The future communication method (default is email)</li> <li>○ Leaders' name, email address and phone numbers</li> <li>○ Where to source information and updates</li> <li>○ Any other information or actions</li> </ul> </li> <li>● Email IAP to associates@clearpoint.co.nz</li> <li>● Delegate to ensure that the IAP is being followed</li> <li>● Delegate the securing of ClearPoint assets</li> </ul> | 1                               | Phil Pietersen             | phil.pietersen@clearpoint.co.nz | 021 308 655 | 2 | Bain Hollister | bain.hollister@clearpoint.co.nz | 021 470 311 | 3 | Cheryl Dwyer | cheryl.dwyer@clearpoint.co.nz | 021 237 9074 | 4 | Alister Wright | alister.wright@clearpoint.co.nz | 021 991 262<br>09 528 2440 | 5 | Alan McMurtry | alan.mcmurtry@clearpoint.co.nz | 021 910 505<br>09 638 7773 |
| 1  | Phil Pietersen  | phil.pietersen@clearpoint.co.nz | 021 308 655                |                                 |             |   |                |                                 |             |   |              |                               |              |   |                |                                 |                            |   |               |                                |                            |
| 2  | Bain Hollister  | bain.hollister@clearpoint.co.nz | 021 470 311                |                                 |             |   |                |                                 |             |   |              |                               |              |   |                |                                 |                            |   |               |                                |                            |
| 3  | Cheryl Dwyer  | cheryl.dwyer@clearpoint.co.nz   | 021 237 9074               |                                 |             |   |                |                                 |             |   |              |                               |              |   |                |                                 |                            |   |               |                                |                            |
| 4  | Alister Wright  | alister.wright@clearpoint.co.nz | 021 991 262<br>09 528 2440 |                                 |             |   |                |                                 |             |   |              |                               |              |   |                |                                 |                            |   |               |                                |                            |
| 5  | Alan McMurtry   | alan.mcmurtry@clearpoint.co.nz  | 021 910 505<br>09 638 7773 |                                 |             |   |                |                                 |             |   |              |                               |              |   |                |                                 |                            |   |               |                                |                            |
| <b>2. Follow the IAP</b>                 |   |                                 |                            |                                 |             |   |                |                                 |             |   |              |                               |              |   |                |                                 |                            |   |               |                                |                            |
| <b>3. Business Continuity Plan (BCP)</b> | <ul style="list-style-type: none"> <li>● Establish a leader (see leader lists in step 1)</li> <li>● Leader to form a business continuity leadership team</li> <li>● Leadership team to meet in person. If not possible, meet online (Google Hangout, WhatsApp chat, Email)</li> <li>● Leadership team to create a recovery plan to meet the BCP goals (as above)</li> </ul>   |                                 |                            |                                 |             |   |                |                                 |             |   |              |                               |              |   |                |                                 |                            |   |               |                                |                            |

|   |  |
|---|--|
|   | <ul style="list-style-type: none"><li>● Leader to communicate the recovery plan to ClearPoint staff<ul style="list-style-type: none"><li>○ Where individual contact is required, this will be delegated to line managers as per the Reports view of the Organisation Chart on <a href="http://clearpoint.club">clearpoint.club</a>)</li><li>○ Mobile phone numbers and next of kin contact details are accessible by Directors and operations as appropriate</li></ul></li><li>● Leader to communicate the recovery plan to ClearPoint clients</li></ul> |
| <b>4. Follow the BCP</b>  |  |
| <b>5. Revise BCP, adjust as required and communicate. Repeat until normality is restored.</b> |  |

# Business Continuity Planning

## Overview

ClearPoint's technology and implementation philosophy lends to a natural separation of client information and the leveraging of cloud services who specialise in information security.

Where practical, ClearPoint sets up separate accounts per client to assist with information security. Quarterly information security reviews occur and are chaired by a company director.

Business Continuity Planning (BCP) focuses on the recovery and prevention of disruption to ClearPoint's operations. It is distributed across three areas as depicted below. A major disaster creates one or many impacts that are typically felt immediately. These impacts then result in one or many repercussions which can take much longer to recover from. An example of a cyber attack *disaster*, might have an *impact* of losing client information which results in negative *repercussions* on ClearPoint's reputation.



## Disaster Scenarios

### Key Common Tasks

1. Dial 111
2. Protect the safety and health of staff and ClearPoint visitors
3. Protect building and ClearPoint assets (technology, documents, valuable assets, etc.)
4. Monitor information sources and attempt to confirm available facts
5. Notify insurance company

| Disaster    | Specific Key Risks  | Potential Mitigation Steps (for starting and spreading)  | Information Sources  |
|-------------|---|--|--|
| Biosecurity | <ul style="list-style-type: none"> <li>• Spreading threat</li> </ul>                          | <ul style="list-style-type: none"> <li>• Isolate threat</li> </ul>   | <a href="http://mpi.govt">mpi.govt</a><br><a href="http://biosecurity.govt">biosecurity.govt</a> |
| Bomb threat | <ul style="list-style-type: none"> <li>• Chaos and confusion</li> <li>• Casualties</li> </ul> | <ul style="list-style-type: none"> <li>• On the phone, try to attain and document:               <ul style="list-style-type: none"> <li>○ When will the bomb explode?</li> </ul> </li> </ul> |  |

|                           |  |   |   |
|---------------------------|--|---|---|
|                           |  | <ul style="list-style-type: none"> <li>○ Where is the bomb?</li> <li>○ What kind of bomb is it?</li> <li>○ What does the bomb look like?</li> <li>○ What is the explosive type and quantity?</li> <li>○ Why did you place the bomb?</li> <li>○ What is your name?</li> <li>○ Where are you?</li> <li>○ What is your address?</li> </ul>                                       |   |
| Chemical Spill / Gas Leak |  | <ul style="list-style-type: none"> <li>● If safe; attempt to stop leak</li> <li>● Evacuate people</li> </ul>  | <a href="http://spillresponse.co.nz">spillresponse.co.nz</a>  |
| Cyber Attack              | <ul style="list-style-type: none"> <li>● System(s) interrupted</li> <li>● Client system(s) interrupted</li> <li>● Company / client data lost</li> </ul>                          | <ul style="list-style-type: none"> <li>● Periodic information security review is held with a company director</li> <li>● Two-factor authentication is being phased in as mandatory for supported cloud services</li> <li>● Software licenses are maintained in Dropbox where ClearPoint pays for added security and where information is never permanently deleted</li> </ul> |   |
| Earthquake                |  | <ul style="list-style-type: none"> <li>● Consider the permanent placement of items if they were to fall</li> <li>● Do NOT run outside</li> <li>● Stop, Drop and Hold</li> </ul>   | <a href="http://getthru.govt">getthru.govt</a><br>Listen to your local radio stations<br><a href="http://civildefence.govt">civildefence.govt</a>                             |
| Epidemic / Pandemic       | <ul style="list-style-type: none"> <li>● Spreading infecting</li> <li>● Inability to bill work</li> <li>● <i>See below for plan relating to Measles Outbreak 2019</i></li> </ul> | <ul style="list-style-type: none"> <li>● Isolate those with symptoms (send home)</li> <li>● Sanitise equipment</li> <li>● Send out comms advising that a case has occurred and actions staff must take</li> <li>● <i>See below for plan relating to Measles Outbreak 2019</i></li> </ul>  | <a href="http://Ministry of Health">Ministry of Health</a><br><ul style="list-style-type: none"> <li>● <i>See below for plan relating to Measles Outbreak 2019</i></li> </ul> |
| Fire                      | <ul style="list-style-type: none"> <li>● Smoke inhalation</li> <li>● Burns</li> <li>● People trapped</li> </ul>  | <ul style="list-style-type: none"> <li>● Evacuate building</li> <li>● Brief new staff on the building's fire safety</li> </ul>  | <a href="http://fire.org.nz">fire.org.nz</a>  |
| Flood (including          | <ul style="list-style-type: none"> <li>● Flood debris</li> <li>● Permanently</li> </ul>  | <ul style="list-style-type: none"> <li>● If safe try to stop water flow</li> </ul>  | <a href="http://getthru.govt">getthru.govt</a>  |



|  |   |  |  |
|--|---|--|--|
| sprinklers going off)                  | ruining technology (including the loss of software and data stored)                               | <ul style="list-style-type: none"> <li>• Have easily removable equipment / technology</li> <li>• Store items off the floor if water would damage them (including multi-plugs)</li> <li>• Understand ClearPoint's flood zone potential</li> </ul>                                     |  |
| Suspicious mail                        | <ul style="list-style-type: none"> <li>• Suspicious mail is found</li> </ul>                      | <ul style="list-style-type: none"> <li>• Do not open</li> <li>• Leave the package where it is</li> <li>• Get everyone out of the room and close all doors and windows</li> <li>• Isolate the area where the package is</li> <li>• Call emergency services</li> </ul>                 | <a href="#">Suspicious mail and bomb threats</a>                                       |
| Storm / Hurricane                      | <ul style="list-style-type: none"> <li>• Damage from flying debris</li> <li>• Flooding</li> </ul> | <ul style="list-style-type: none"> <li>• Stay inside</li> <li>• Protect against impact of window breakage (including weather and debris coming inside)</li> <li>• Bring BBQ/furniture inside</li> </ul>  | <a href="#">getthru.govt</a>   |
| Tsunami                                | <ul style="list-style-type: none"> <li>• Flooding</li> </ul>                                      | <ul style="list-style-type: none"> <li>• Move people to higher ground</li> <li>• Move assets up building</li> </ul>  | Listen to local radio station for civil defence advice<br><a href="#">getthru.govt</a> |
| Terrorism / Siege / Piracy (non-cyber) | <ul style="list-style-type: none"> <li>• Perpetrator interrupts ClearPoint site</li> </ul>        | <ul style="list-style-type: none"> <li>• Lock doors and lifts</li> <li>• Do not place yourself or anyone else in danger</li> <li>• Regularly record facts about the situation as it develops</li> </ul>  | <a href="#">Bomb threat or suspicion</a><br><a href="#">security.govt</a>              |
| Vandalism / Theft                      | <ul style="list-style-type: none"> <li>• Equipment stolen, broken or defaced</li> </ul>           | <ul style="list-style-type: none"> <li>• Photograph damage</li> <li>• Make sure people have pin codes / passwords on technology devices that contain work content</li> <li>• Encourage the setup remote wipe</li> <li>• Encourage staff to lock computers when not in use</li> </ul> | <a href="#">police.govt</a>  |
| Volcanic Eruption                      | <ul style="list-style-type: none"> <li>• Ash inhalation</li> </ul>                                | <ul style="list-style-type: none"> <li>• Seek shelter</li> <li>• Protect yourself from falling ash</li> </ul>  | Listen to local radio station for civil defence advice<br><a href="#">getthru.govt</a> |

## Measles Outbreak Auckland 2019

In the event of someone reporting that they have measles (or symptoms)

If calling from home

Emergency Plan Leader to ensure that the team member doesn't go into work, that they have put themselves into quarantine and contacted their GP by phone (not in person!) or Healthline.

Emergency Plan Leader to send them the Measles Quarantine Calculator (<http://www.arphs.health.nz/measles-q-calculator/>)

If at work

That person must be sent home immediately and they must put themselves into quarantine, they must contact their GP or Healthline, Emergency Plan Leader to send them the above Measles Quarantine Calculator.

In either case, Emergency Plan Leader to send new comms out to the team immediately (via email, Slack and in person where possible) and also to any clients / contractors who have been in the office recently. These comms are different to the initial one (similar to chickenpox incident last year) and to include the below fact sheet:

<http://www.arphs.health.nz/assets/Uploads/Resources/Disease-and-illness/Measles-Mumps-Rubella/Information-for-close-contacts-exposed-to-measles.pdf>

Emergency Plan Leader to ensure that anyone who is not immune, or is unsure whether they are immune (as per the fact sheet) goes home and puts themselves into quarantine, contacts their GP or Healthline and follows the instructions in the Measles Quarantine Calculator.

Emergency Plan Leader to advise the Ministry of Health (in case of the unlikely event that the medical professional doesn't do so). Also Cheryl to add to the H&S Incidents Register (it looks like there's no need to report to Worksafe, just Ministry of Health).

## Generic Information Sources

### Websites

[www.GetThru.govt.nz](http://www.GetThru.govt.nz)

### Auckland radio station frequencies

|                |                    |
|----------------|--------------------|
| National Radio | FM 101.4 or AM 756 |
| Newstalk ZB    | FM 89.4            |
| Classic Hits   | FM 97.4            |
| MoreFM         | FM 91.8            |
| Radio Live     | FM 100.6 or AM 702 |

## Impacts of Disaster Scenarios

| Category                   | Impact                             | Key Tasks / Information   |
|----------------------------|------------------------------------|---|
| Casualties                 | All types                          | <ul style="list-style-type: none"> <li>Identify first aid trained staff on site</li> <li>Alternatively identify people willing and able to help</li> <li>Every five minutes keep a record of victim's developing situation</li> <li>Identify if the victim and any ClearPoint colleague may be supported through counselling services</li> <li>Notify next of kin (from the Associate Personal Details Google Doc)</li> </ul> |
| Circumstances              | Trapped inside a location / office | <ul style="list-style-type: none"> <li>Relay situation to somebody that can help</li> <li>Check and secure provisions</li> </ul>  |
|                            | Cannot access a location / office  | <ul style="list-style-type: none"> <li>Attempt to contact somebody within the location</li> <li>Contact office admin team</li> <li>Contact building management</li> </ul>   |
| Infrastructure unavailable | Cellular network lost              | <ul style="list-style-type: none"> <li>Establish wifi connectivity</li> <li>Delivery Leads / Client Development Managers to inform relevant clients of alternate methods for communication</li> </ul>   |
|                            | Power lost                         | <ul style="list-style-type: none"> <li>Contact Mercury Energy: 0800 20 18 20 / 09 526 8288</li> <li>If lengthy power cut, work from location with power (e.g. home)</li> <li>Delivery Leads / Client Development Managers to inform relevant clients of alternate methods for communication</li> </ul>  |

|                                       |   |   |
|---------------------------------------|---|---|
|                                       | Telephone cable cut   | <ul style="list-style-type: none"> <li>● Contact Chorus: 0800 600 100</li> <li>● Delivery Leads / Client Development Managers to inform relevant clients of alternate methods for communication</li> </ul>  |
|                                       | Internet or Wifi cut  | <ul style="list-style-type: none"> <li>● Inform Bain Hollister or Cheryl Dwyer</li> <li>● Wifi ThinkWireless : 09 972 0355, 021 031 8126, support@thinkwireless.freshdesk.com</li> <li>● Auckland Network: Contact Devoli (formerly Vibe Comms): 0800 842 3266 or 09 222 0000, <a href="mailto:greg@vibecomcommunications.co.nz">greg@vibecomcommunications.co.nz</a></li> <li>● Backup internet connection - ADSL Spark router - 0800 110 062 or 126</li> <li>● Tether from cell phones</li> </ul> |
|                                       | Wastewater or tap water cut   | <ul style="list-style-type: none"> <li>● Auckland, contact Watercare: (09) 442 2222</li> <li>● Wellington: (04) 499 4444</li> </ul>   |
| Key person loss                       | Phil & Bain   | <ul style="list-style-type: none"> <li>● In the demise or incapacitation of both Phil and Bain, ClearPoint's Advisory Board Chair (currently Helen Anderson) will take the role of acting MD.</li> </ul>  |
| Locations                             | Ground floor,<br>Level 1,<br>Level 3<br>ClearPoint House<br>7 Fanshawe St<br>Auckland | <ul style="list-style-type: none"> <li>● Check bathrooms, meeting rooms and storage room</li> <li>● Secure building and equipment</li> <li>● Contact building manager to lock lifts and doors</li> <li>● Auckland building manager: Stride Property - 09 912 2690</li> </ul>  |
| Media                                 | Inquiries / questioning   | <ul style="list-style-type: none"> <li>● Determine spokesperson</li> <li>● Determine which details are to be made public by considering; privacy, confidentiality, personal, cultural and religious needs of victim and the victim's family.</li> </ul>   |
| Services unavailable or unrecoverable | Dropbox   | <ul style="list-style-type: none"> <li>● Set up so that information cannot be permanently deleted</li> <li>● Restrict and periodically review user access</li> <li>● Cancel user access on their last day of employment</li> </ul>  |
|                                       | Google G Suite (including emails, Drive)  | <ul style="list-style-type: none"> <li>● Vendor provides ClearPoint with a paid backup service</li> <li>● Cancel user access on employee's last day of employment</li> <li>● Google 24 hour support number: 0800 448 099</li> </ul>   |
|                                       | iPayroll  | <ul style="list-style-type: none"> <li>● We assume that if iPayroll was down and salary payments needed to go out, that employees would be paid the same as the previous month with no additional levie, leave or bonus calculations. Any over or under payments would</li> </ul>   |

|  |   |   |
|--|---|---|
|  |   | <p>be reconciled and cleaned up the following month when iPayroll or another payroll system is functioning</p> <ul style="list-style-type: none"> <li>● Restrict and periodically review user access</li> <li>● Cancel user access for ClearPoint super users on their last day of employment or before a long period of leave (e.g. maternity leave)</li> <li>● Store permanent employee bank accounts outside of iPayroll</li> </ul>  |
|  | WorkflowMax   | <ul style="list-style-type: none"> <li>● All invoices sent to clients are saved as PDFs in Dropbox</li> <li>● Contractors will keep track of their time outside of WorkflowMax</li> <li>● Typically contractor and permanent employees work across a small handful of clients each month and asking them to recreate this outside of WorkflowMax will be possible</li> <li>● Only a small group of people (admin team, CFO, MD, CTO) can edit company wide information</li> <li>● Cancel user access on their last day of employment or extended leave</li> </ul>   |
|  | Xero  | <ul style="list-style-type: none"> <li>● All invoices received are saved as PDFs in Dropbox</li> <li>● Contractor invoices contain payment bank account and do not require levies or leave calculations</li> <li>● Only a small group of people (admin team, CFO, MD, CTO) can edit company wide information</li> <li>● Restrict and periodically review user access</li> <li>● Cancel user access on their last day of employment or extended leave</li> <li>● Retain hard copies of <ul style="list-style-type: none"> <li>○ Year end financial statements</li> <li>○ GST returns</li> <li>○ Statutory company records</li> <li>○ Month end client invoicing</li> <li>○ Invoices received</li> <li>○ Staff contracts</li> <li>○ Leases</li> <li>○ Deeds</li> </ul> </li> <li>● Accountants Retain <ul style="list-style-type: none"> <li>○ Financial statements</li> <li>○ Shareholder minutes</li> </ul> </li> <li>● Directors hold off site <ul style="list-style-type: none"> <li>○ Statutory company records</li> </ul> </li> </ul> |
|  | Source Code control (including SVN / GIT, provided by | <ul style="list-style-type: none"> <li>● A copy of the code is stored locally with each developer working on a project which acts as a backup</li> <li>● Reliant on source code providers to backup</li> </ul>  |

|  |  |   |
|--|--|---|
|  | Cloudforge, BitBucket)   | data  |
|  | Project specific locally held virtual machines, software and documentation | <p>Most projects operate from cloud services and do not run from virtual machines. A project team member can replace their virtual machine with a colleague. When this is not possible, the owner of the virtual machine is responsible for backing it up. When the backup has not been taken, then through the use of existing software licenses and cloud services, these virtual machines can be rebuilt.</p> <p>Under ClearPoint's BYOD policy staff are not permitted to store client or project information solely on their own machine - management and selective colleagues must have non-restrictive access to all client and ClearPoint information, data and code.</p> |
|  | Confluence, JIRA   | <ul style="list-style-type: none"> <li>• Rely on service provider for backup</li> </ul>   |
|  | Hubspot  | <ul style="list-style-type: none"> <li>• Rely on service provider for backup</li> </ul>   |
|  | Lever  | <ul style="list-style-type: none"> <li>• Rely on service provider for backup</li> </ul>   |

## Client Specific Risks

| Client             | Key Risk  | Potential Mitigation Steps<br>(for starting and spreading)   |
|--------------------|---|--|
| ACC Investments    | Ongoing support<br>System outages                     | Ensure capability of providing support if the office is unavailable.<br>Nothing saved on hard drives of laptops.<br>Ability to access systems from alternative equipment in case specific equipment is unavailable.  |
| Global Dairy Trade | Ongoing support<br>System outages                     | Ensure capability of providing support if the office is unavailable.<br>Nothing saved on hard drives of laptops.<br>Ability to access systems from alternative equipment in case specific equipment is unavailable.  |
| Westpac            | Loss of access to physical ClearPoint office location | The Resourcing Team may be required to provide resources to Westpac to return to service in the event of a disaster or crisis. In the event that the Resourcing Team is unable to work from the ClearPoint Fanshawe Street office, they will perform all duties from home or any remote location that has a working internet connection. As ClearPoint systems used to provide resources are cloud based, the work can be performed from anywhere. In the highly unlikely event that all cloud services required (Gmail, Dropbox, Lever, Google Drive, Xero and iPayroll) the Resourcing team could provide the required services utilising more manual mechanisms e.g. telephone. |

## Repercussions

| Repercussion     | Protection   | Recovery   |
|------------------|--|--|
| Reputation       | <ul style="list-style-type: none"> <li>● Maintain strong working relationships with clients and staff</li> <li>● Survey staff view of ClearPoint via a 3rd party process and compare this with our peers (OfficeVibe)</li> </ul>   | <ul style="list-style-type: none"> <li>● Find cause of issue and prevent it from occurring again</li> <li>● Understand the breadth of impact</li> <li>● Reassure those impacted</li> </ul> |
| Financial        | <ul style="list-style-type: none"> <li>● Insurances will be reviewed annually to cover               <ul style="list-style-type: none"> <li>○ Public Liability (PL) \$10m</li> <li>○ Professional Indemnity (PI) \$10m</li> <li>○ Contents</li> <li>○ Contractors and Risk (when applicable for office renovations)</li> </ul> </li> <li>● Extensive use of contractors enables scalability of ClearPoint's largest financial overhead</li> <li>● Subleasing office space</li> </ul> |  |
| Project Delivery | <ul style="list-style-type: none"> <li>● Utilise cloud services</li> <li>● Employ a greater proportion of highly skilled, autonomous staff</li> </ul>  | <ul style="list-style-type: none"> <li>● Resume billable services as soon as possible</li> <li>● Realign stakeholder expectations</li> <li>● Source new resources</li> </ul>               |



# Testing the Business Continuity Plan (including the Workplace Emergency Plan)

## Frequency

The BCP will be tested annually at a minimum. At the time of writing the next test will be February 2020.

## Test Scope

- Key recovery processes
- Effectiveness of business functions
- Availability of systems and other resources
- Identification of any external dependencies

## Scenarios

We've identified the below most likely scenarios, one of which will be chosen for each test:

- ClearPoint House becomes unavailable outside of business hours (e.g. serious event occurs overnight)
- ClearPoint House becomes unavailable during business hours (e.g. emergency evacuation of ClearPoint House during a workday)

## Who's Involved

Tests will focus on various project / operations teams based at ClearPoint House across different roles and levels.

Tests will be carried out and reviewed by ClearPoint's Head of Operations.

## Test Outcomes

Test outcomes and results are reviewed, written in a report and presented to the ClearPoint Executive Team. ClearPoint BCP is evaluated against the report and the BCP Plan is reviewed and updated with any significant changes or decisions made as a result of the test.

# Appendix I BCP Incident Report Template

|                |  |
|----------------|--|
| Incident:      |  |
| Incident Date: |  |
| Prepared By:   |  |

## Incident Details

|                                   |  |
|-----------------------------------|--|
| Incident Details:                 |  |
| Incident Date(s):                 |  |
| Effects / Hazards of the Incident |  |

## Actions Taken

| Action | By Whom | Time & Date | Description |
|--------|---------|-------------|-------------|
|        |         |             |             |
|        |         |             |             |
|        |         |             |             |
|        |         |             |             |
|        |         |             |             |
|        |         |             |             |
|        |         |             |             |

**Post-Incident Review**

**ClearPoint Signoff**

|        |  |          |  |
|--------|--|----------|--|
| Author |  | Reviewer |  |
|        |  |          |  |
| Name:  |  | Name:    |  |
| Title: |  | Title:   |  |
| Date:  |  | Date:    |  |