



# Atchison

## BUSINESS CONTINUITY AND DISASTER RECOVERY PLAN

January 2023

# Table of Contents

Introduction..... 3

1. Utility failure ..... 4

2. Financial resources and capacity ..... 4

3. IT systems failure..... 4

4. Compromised physical or IT security ..... 5

5. Fire threat, bomb threat or damage ..... 6

6. Loss of key staff ..... 8

## Introduction

TAG Asset Consulting Group Pty Ltd trading as Atchison Consultants has a Business Continuity and Disaster Recovery Plan (BCDRP).

The BCDRP represents the approach which minimises and manages operational risk created by interrupted access to critical data or services and the opportunity costs should such an event arise.

Risk management is an integral part of business activities. Effective risk management is essential at all levels. A formalised structure assists in ensuring that all issues are acknowledged, assessed and addressed.

The Responsible Manager is responsible for the BCDRP function and is accountable for:

- Monitoring all risk management issues;
- Making decisions regarding risk management issues;
- Reviewing all activities on a regular basis and specifically annually.

The BCDRP is an integral component of the business of the firm and involves several elements;

- Identify the major risks;
- Assess the importance of the risks;
- Provide the ongoing process of identifying the major risks;
- Prioritise actions for risks;
- Provide the reporting format for the operation of the risk management function;
- Ensure BCDRP remains current.

The priority risks are as follows:

- Technological risk;
- Operational / administrative risk;
- Financial risk;
- Compliance risk.

Plans are tested on an annual basis, as a minimum.

## 1. Utility failure

In event of a utility failure the following procedures will take place:

- Staff will be temporarily relocated to home offices.
- External, in the cloud and accessible everywhere
- Fixed voice communications system – personal mobile telephones

## 2. Financial resources and capacity

An annual audit for the Australian Financial Services Licence is conducted by the auditor Jamison Alliot. This audit includes an assessment of continuity of business including financial resources.

Monthly reporting of financial results against budget are prepared and reviewed.

## 3. IT systems failure

System/asset	Redundancy
Server- total system	External, in the cloud, accessible everywhere
Server – email server only	External, in the cloud, accessible everywhere
Server – various hard drives	Desktop hard drives

## 4. Compromised physical or IT security

Protection of network resources is provided through the following policy:

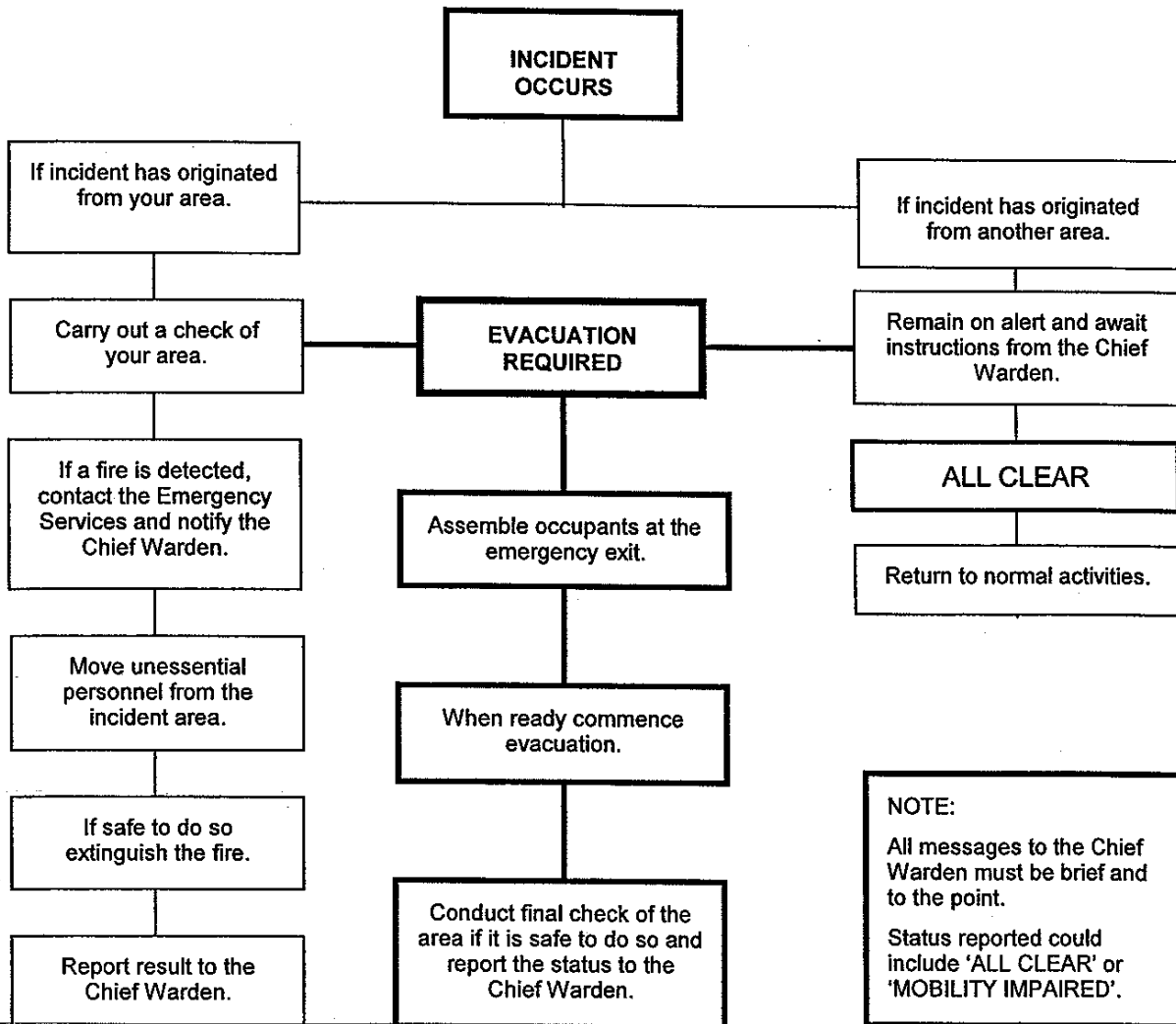
- IT maintenance and 24 hour support is provided by IT for Business;
- Confidentiality of data guarantees that only authorised users can log-in to the network and alter or view information;
- All employees have individual passwords;
- Ex-employees accounts are suspended and remote access removed;
- Integrity of data guarantees that only authorised users can change information and provides a way to detect changes made;
- An IT analysis is conducted on an annual basis by Computer Tamers.

## 5. Fire threat, bomb threat or damage

There is a clear policy provided by the landlord for the building.

Risk	Building Loss – Level 4, 125 Flinders Lane
Probability	Low
Impact	High
Likely Scenario	Fire; Bomb threat
Functions Affected	All
Action	<p>See Evacuation Procedures.</p> <p>Contact all staff and suppliers to arrange alternative locations and contact details.</p> <p>If documents have been destroyed or damaged, see Documents Los and Fire and Water Damage.</p> <p>Employees will work remotely and have full access via the Cloud.</p> <p>Communication lines remain open as all staff are contactable via mobile.</p>
Warden	A Fire Warden is appointed for each floor.

# WARDEN EMERGENCY PROCEDURES



## 6. Loss of key staff

A succession plan is in place. The key objectives of the succession plan follows.

The policy focuses on processes for replacing key persons in the organisation, as well as identifying and training staff with the potential to be effective in the core business. The policy also outlines the training and development opportunities it will provide for staff in the area of analysis and research skills.

The objectives of the succession policy are to ensure:

- The Company has staff with skills, attributes and experience;
- Recognition of the difference between succession planning (grooming an individual or a pool of individuals for promotion to a specified or unspecified key role in the future) and workforce development (the training and development of a group of individuals to improve their overall skills).
- Individuals take a strong and active role in their career and skill development.
- Damage or loss of critical paper and electronic records