

**IPES GROUP  
BUSINESS CONTINUITY PLAN**

# IPES GROUP BUSINESS CONTINUITY PLAN

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## 1. Introduction

This document has been developed for use by the Business Continuity Team in managing the business recovery of Ipes Group entities in the event that any Group office becomes unserviceable or there is a significant disruption to the normal working of any one Group office.

The target for return to service as usual as set by the Group Executive is 48 hours from the commencement of the period of interruption. A process map follows on page 4 which outlines the key steps to be taken in the business recovery phase.

A copy of this plan is held by each jurisdiction's Operations Director. A copy of the plan is also held at each of their respective residences. The plan may also be viewed at:

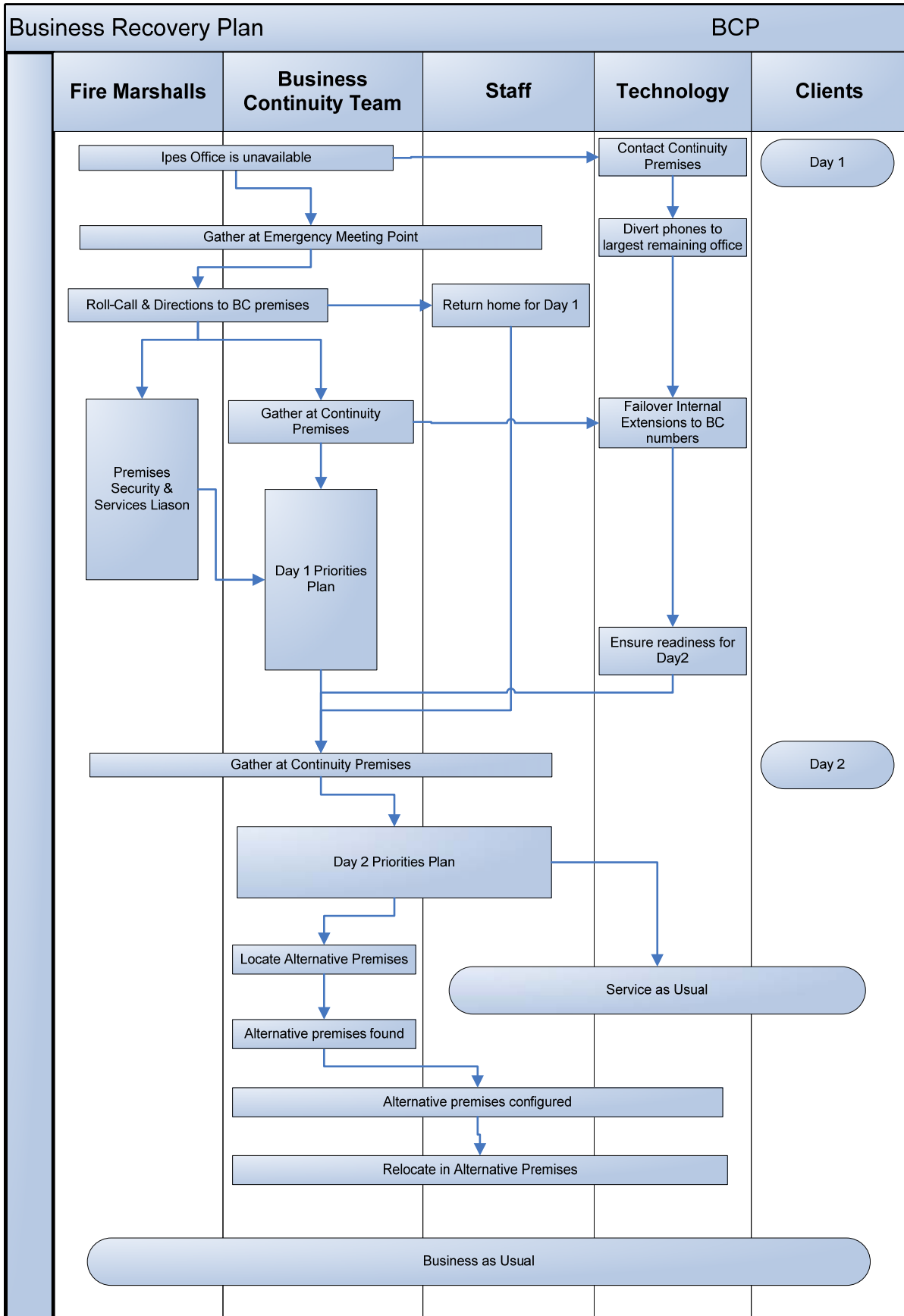
<https://collaboration.ipes.com/sites/DR/default.aspx>

To access this site, enter:

User: *ipesstaff\your network id*  
Password: *Your network password*

This address is also accessible from the Remote Access Portal at <https://remote.ipes.com>.

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### 2. Business Continuity Team ('BCT') Members by Jurisdiction

The Business Continuity Team cannot be defined as individuals in advance due to availability and staffing changes. Therefore the Business Continuity Team is defined as follows:

Level	Function	Team members
	Operations	Group Operations Director or Client Director of longest service
	IT	Head of IT or Technology Manager
	HR	Head of HR or HR Manager
<b>Jurisdiction</b>	Operations	Operational Head
		Client Directors
		Assistant Directors
		Section Heads or most senior staff member present

Senior Staff Contact List is given in [Appendix C](#)

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## 3 Incident Management

### 3.1 Evacuation Procedures

#### 3.1.1 Incident during office hours – Fire Alarm

If an incident occurs during office hours, all personnel should follow standard evacuation procedures for each office location and evacuate to the designated meeting areas (evacuation muster points).

Please refer to Appendix A for Evacuation Procedures and Muster Points by office location.

**All incidents must be reported to the Head of the respective office and to HR.**

**Each office head or in their absence the next most senior member of staff is responsible for communicating information to Group offices as appropriate.**

Any two members of the BCT (or next most senior employees available if BCT members are not) may invoke the Business Recovery Plan; however the general guide is that if normal business operations are unlikely to be available for more than 3 hours at the existing premises, the Business Recovery Plan must be invoked.

#### 3.1.2 Incident outside office hours

If an incident occurs outside of normal hours two members of the BCT or next most senior two employees available in the jurisdiction affected will discuss the details of the situation and decide whether to invoke the Business Recovery Plan.

After invoking the plan, the BCT should record a message on the Staff Business Continuity Line – 01481 755100.

This must state:

1. There has been a Business Service Interruption
2. Who invoked the Business Continuity Plan
3. When the plan was invoked
4. Reminder to staff of the web address from which they can access the plan.
5. Instruction to refer any enquiries from 3<sup>rd</sup> parties to the Business Continuity Team
6. Date and time that this message will be updated.

Instructions to update the telephone message are found on the [BCP Appendices site](#).

### 3.2 Responsibilities of BCT on Invocation of Business Recovery Plan

On invocation of the Business Recovery Plan, the BCT is collectively responsible for the following critical activities:

- Nomination of a Continuity Secretary who will ensure that a record of events and how they are handled is kept from the invocation of the plan throughout the recovery phase.
- Ensuring all Business Unit Heads are informed of the invocation of the Business Recovery Plan and that information sharing with staff commences through members of the BCT utilising the contact numbers contained in [Appendix C](#).

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- Communicating with Insurers, Emergency Services, Clients and the Press as appropriate.
- Invoking the contingency site if required.
- Allocating staff between available Continuity Sites.
- Providing IT with a list of staff nominated to use displacement locations (if applicable).
- Directing the allocation of desks at the contingency site.
- Liaising with IT and other support staff to ensure the required technology / facilities are in place.
- Ensuring that every effort is made to meet the business priorities as highlighted in section 4.

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## 4 Business Recovery Strategy

### 4.1 Business priorities at the time of an incident

In the event of any of the Ipes office facilities and services being disrupted it is required that that office should be able to:

#### • Priority 1 – Activities to Continue – within first 24 hours

- Completion of banking instructions.
- Provision of the client's facility to contact a Client Director, for existing clients.
- Execution of client services identified as critical to client entities/investor protection.
- Essential accounting/HR activities – e.g. emergency funding, payroll, staff welfare.
- AML procedures/ Sanctions controls.

A sample priorities checklist and log is attached as Appendix B to this document. It is expected that BCT members will monitor the performance of these tasks but allocate their execution to the staff members responsible for each function.

#### • Priority 2 – Business resumption (in addition to activities in the Priority 1) – commencing from 24 hours from incident

- Provision of support for Client Contact and Operations Staff.
- Carrying out of full client service offering.
- New Client Acceptance.
- Online research.
- Operational risk management.

#### • Priority 3 – Best Efforts

- IT development
- Product development
- Marketing
- Strategy and Planning
- Audit activity
- Routine control activities
- Corporate Communications (other than Crisis incident communications)
- Non-essential accounting activity
- HR activities (other than payroll and staff welfare activities)
- Routine Management Reporting



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### 5 Group Contingency Sites

Ipes supports full remote access to all staff desktops through <https://remote.ipes.com>

Therefore in the event of a Service Interruption, the BCT are required to arrange a number of alternative locations from which internet access is available.

These should have the characteristics of:

- Internet Access – normally via WiFi
- Seating for groups of 6 to 8 staff
- Quiet places from which professional service is possible.

Broadband speeds in Guernsey will support between 6 and 8 staff per location. Other Jurisdictions may support more.

Here follows some suggested sites per Jurisdiction:

#### Guernsey

##### Hotels

St Pierre Park – 01481 728282  
 Les Rocquettes – 01481 722146  
 OGH – 01481 724921  
 Fermain Valley – 01481 235666  
 Best Western Hotel de Havelet – 01481 722199

Beau Sejour – 01481 747200

##### Property Agents

Jo Watts (Jones Watts) – [jo@joneswatts.com](mailto:jo@joneswatts.com) 01481 740071  
 Jonathan Harris (Swoffers) - [jharris@swofferscommercial.co.uk](mailto:jharris@swofferscommercial.co.uk)  
 01481 722151

**Jersey** <http://www.regus.co.uk/locations/GB/StHelier/> - 01534 719100

**London** [www.regus.co.uk](http://www.regus.co.uk)

**Luxembourg** [www.en.regus.lu](http://www.en.regus.lu)

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### 6 Recovery Services at Contingency Site

All staff with laptops are requested to bring them to the contingency sites.

Staff who do not have laptops will be allocated them by the BCT. These require a wifi card but may otherwise be of minimal spec and may be purchased as required from local sources under the terms of Ipes' insurance.

The [Ipes Remote Access Site](#) requires that each connected machine has a Citrix Client installed. This is available for download from the site and has no requirements except administrator privileges on the client machine.

Telephone extensions may be routed to any handheld phone, supplied by the company or otherwise. Instructions to do so will be made available from this site shortly.

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### **7.0 Displacement arrangements**

Staff may recover to alternative Group offices, as part of a displacement strategy during a major incident requiring invocation. As it is important that central management and control of our client entities be maintained in the jurisdiction of choice and that all regulatory and legal (eg banking secrecy) requirements continue to be met, care will be exercised by the BCT in selecting staff and alternative work sites for those staff to ensure that our client's interests are in no way prejudiced by this choice.

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## 8.0 Key Contacts

Guernsey:

A list of employee contact details kept updated by the HR department in Guernsey and is circulated to all members of the BCT on a bi-annual basis. This list is attached as Appendix C to this document.

Jersey

All Ipes Staff in Jersey may access the office at any time

Luxembourg

All Ipes Staff in Luxembourg may access the office at any time

London

All Ipes Staff in London may access the office at any time

## General Information

### 9.1 Insurance

Ipes Group maintains Business Interruption Insurance. This covers additional cost of working in the event of a major business interruption.

To ensure that all additional significant expenditure at the time of disruption can be readily reclaimed from the insurer it should be authorised by the Ipes Group CMT and then an ad-hoc cost centre would be established by Finance or that specific incident/disruption.

Contact details for our insurance brokers are as follows:

Neal Hughes,  
Divisional Director, FINEX Financial Institutions  
Willis Limited, 51 Lime Street, London, EC3M 7DQ.  
Direct: +44 (0)20 7558 9317,  
Mobile: +44 7912 194 918,  
[nhughes@willis.com](mailto:nhughes@willis.com),  
[www.willis.com](http://www.willis.com)

### 9.2 Public Relations

There will be a requirement to notify various authorities of the situation that has occurred. Representatives of the press, radio, and television will be anxious to report any details they can acquire about the situation. It is most important to avoid bad publicity and it is therefore essential that any message to the media be made only by consent of the Business Continuity Team including any one member of the Executive Team. A pro-forma message is included in Appendix D.

If staff are contacted by the media they must refer their queries to a communications officer appointed by the BCT.

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### **9.3 Recovery Plan Maintenance**

For this plan to be effective at the time of disruption it must be kept up to date. To ensure this, the plan will be reviewed at least once a year and whenever there is a material change to Business Recovery arrangements.

Any new version of the plan will be issued to the distribution list on the front of this document. They must retain the latest version of the plan and dispose of all previous versions of the plan in a way appropriate to the disposal of confidential information.

### **9.4 Recovery Plan Testing**

Testing of all the recovery arrangements incorporated in this plan will take place on a quarterly basis.

All tests must be conducted without using the facilities, resources or connectivity to the primary work site. All tests must have specified objectives and any issues identified by the test must be documented, resolved in a timely manner and reported to Group Executives.

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### **APPENDIX A – Business Continuity Plan - Staff Evacuation Procedures:**

In the event of the alarm being sounded, do not stop to collect your belongings. Vacate the premises as quickly and as orderly as possible through the nearest safe exit. **Do not use the lifts.**

All daily visitors must report to Reception on arrival for the day's meetings. In the event of a building evacuation this will ensure that they are included in the roll call at the meeting point. Staff meeting with visitors must show them the way to the designated meeting point.

If you have any queries regarding any of these procedures, please contact your Fire Officer.

A list of the fire officers for each office can be found here <\\ipesstaff\DFS\IpesData\IPES General\RECEPTION\Ipes Health and Safety\Fire Wardens\Fire Wardens May 2015.xlsx>

In the event of a fire, the muster points are as detailed below:

#### **GUERNSEY:**

##### **Royal Plaza, Royal Avenue, St Peter Port, Guernsey**

In the event of a fire, the muster point is in the car park off Bosq Lane.

All Fire Officers to report Teresa Jackson-Guillou who in turn will report to the Landlord.

Nobody will be able to re-enter the building until the Security Guard advises the Ipes Chief Fire Officer that it is safe to do so. The Ipes Chief Fire Officer will advise the staff.

#### **JERSEY**

##### **29/31 Esplanade, Jersey**

The Muster Point is opposite the office entrance on the grass verge in front of the Esplanade car park.

#### **LONDON**

##### **9th Floor, 1 Minster Court, Mincing Lane, London, EC3R 7AA**

The Muster Point is Dunster Court (The square in front of Clothworkers Hall). As a reminder, the fire escapes are by the kitchen and by the female lavatories.

#### **LUXEMBOURG**

##### **Entry C, 2-8 Avenue Charles de Gaulle, L-1653 Luxembourg**

The Muster Point is located in the car park in front of the building.

Upon assembly at the meeting point, Fire Officers will take a roll call for staff and visitors from the lists provided to them by Reception/HR.

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Unless a police officer directs otherwise, BCT members will nominate members of staff to keep under observation the front and back doors of the premises and any other means of access.

No staff must re-enter the premises until advised by the fire officer. If the police or fire service attends, their advice as to when to return to the premises must be followed.

On re-entry to the building being permitted by police or fire services, a member of the BCT must enter the building, conduct a routine examination of the building's condition and secure any exit doors that have been opened. The fire officer must then be advised that they may permit staff to return to their workstations.

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### APPENDIX B – Business Recovery Plan – Priorities Checklist and Log

Category	Action	Assigned To	Comments	Completed
<b>Secretarial</b>	Continuity Secretary appointed to record all actions during Service Interruption.	Senior Mgr		
<b>Premises</b>	FireMarshalls adequate to liase with Services regarding security of premises	HR		
	Continuity premises sufficiently accessible & heated	HR		
	Car parking at Continuity Premises adequate and organised	HR		
	Toilets organised & operational	HR		
<b>Staff</b>	Roll-Call records Complete & logged	HR		
	Casualties?	HR		
	All members of each team contacted if not present	Ast Directors		
	Continuity Plan recorded phone message updated with instructions. (01481 755100)	Senior Mgr		
<b>Clients</b>	Priority Work identified	Client directors		
	Priority Work actioned or allocated to other offices	Client directors		
	Client Message Drafted	Marketing		
	Client Message Approved	Executive		
	Clients contacted for each team	Ast Directors		
	Work Plan agreed for the next few days	CD & AD		
<b>PR</b>	Press Release drafted	Marketing		
	Press Release approved	Executive		
<b>Technology</b>	Telephones failed over to BC site.	IT		
	Connection from all BC PCs to <a href="https://remote.ipes.com">https://remote.ipes.com</a> established	IT		
	Access arrangements agreed for all non-SWIFT banks.	IT		
	Printers at BC site recognised by Citrix.	IT		
	Notice given to telco of extra capacity on internet connection to DC.	IT		



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### **APPENDIX C – Business Recovery Plan – Staff Contact List**

A full staff contact List is available from:

The Business Continuity Site, [here](#).

The Contact Lookup function on any company mobile phone

[Cascade list for Group/GSY](#)

[Cascade list for JSY](#)

[Cascade list for LDN](#)

[Cascade list for LUX](#)

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## **Appendix D**

### Standard Message

There has been a service interruption in the <Jurisdiction> offices of International Private Equity Services. This occurred on <date> at approximately <time>. The Business Continuity Plan has therefore been invoked by <staff members> and the Business Continuity Team mobilized at <invocation time>.

Ipes' priority remains the welfare of its staff and clients. Therefore the following arrangements have been made:

#### Staff:

All staff should access the Business Continuity Plan using the link on the [www.ipes.com](http://www.ipes.com) website. This message has been recorded on the Business Continuity line and will be updated hourly from <next time>.

The Business Continuity telephone number is detailed in the Business Continuity Plan.

#### Clients:

Each of our Clients will be contacted within 24 hours at the latest by their Relationship Contact. Urgent work is being reassigned and prioritized and all systems continue to function. Any enquiries will be handled by the Relationship Contact as nominated by the Business Continuity Team.

#### Third Parties:

All other enquiries should be directed to the Business Continuity Team. Please contact <Press Officer> on <telephone number>.

A further update will be issued at <time>.