



Financial Services Infrastructure



Business Continuity Plan

Document Control

Revision History

Date	Version	Description	Author
March	1.0	COVID-19 refresh	Phil Doak

Distribution

Name	Title
Crisis Management Team	Refer BCP document

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Background

Mosaic provides management consulting services to financial services clients. It has approximately ~~2019~~ employees and engages approximately ~~230~~ consultants on a contracted basis. The vast majority of Mosaic's workforce operate on-site with clients and/or remotely as required.

Mosaic does not have a significant operational infrastructure (e.g. premises or technology) nor a reliance on maintaining an "on site" office presence. The principle operational risk it faces centres on staff availability and their access to the materials they require to continue providing consulting services.

In terms of accessing materials for continuity of consulting services, Mosaic team members have their own laptops running Office 365 and utilise enterprise standard cloud-based tools such as the DropBox for Business service for accessing all documents and other materials they require. Cloud-based services also support Mosaic's payroll, recruitment, financial management, and practice management services.

Mosaic's BCP document therefore focuses on the management and coordination of its human resources under a BCP scenario.

Mosaic is closely monitoring the development of the COVID-19 virus issue and is taking action by following all advice issued by the NZ Department of Health and relevant Government authorities (refer appendices for guidelines).

Audience

Mosaic's Crisis Management Team and approved third parties as required.

Purpose and objectives

This Business Continuity Plan (BCP) outlines the actions required to enable Mosaic to perform key business processes in the event of an unanticipated, serious interruption to its operations.

It documents the actions required as a first response to a business disruption.

Crisis Management Team (“CMT”)

The Mosaic CMT comprises the following individuals. It is responsible for leading Mosaic’s response to a business crisis. It is also responsible for the maintenance and/or recovery of key business processes where required. The CMT will liaise and coordinate with the wider Mosaic team as appropriate.

Person	Role	Contact
• Myles Allan, Founding Partner	• CMT Chair and coordinator, client communications. Back up employee comms, Health & Safety, payroll, accounting.	021 411 956
• Mike Stobbs, Partner	• Back up CMT Chair, client comms Auckland.	021 428 858
• Sarah Stobbs, Practice Manager	• Practice Manager, employee comms, employee Health & Safety, payroll, accounting, HR admin, CMT secretary.	022 088 4345
• Phil Doak, Partner	• Partner, back up support all, client comms.	0275 413 830
• Tom Kirk, Partner	• Partner, client comms Auckland.	021 246 1470
• Stephen Ladanyi, Senior Consultant	• Consultant, client comms Wellington.	021 650 157

BCP Activation

In the event of an incident occurring (for example, significant and unexpected staff unavailability), the Founding Partner will convene the CMT. The CMT will be responsible for evaluating and responding to the situation.

The CMT war room will be based at Mosaic’s offices at Level 15, 51 Shortland St, Auckland or, if this is not available, the chair will convene the CMT via conference call as required.

Mosaic’s conference call dial in numbers are as follows:

- Australia: +61 2 8355 1038
- New Zealand: +64 9 282 9510

Access Code: 449-361-309

Communications

In the event of a crisis requiring activation of the CMT, the Chair will communicate appropriate details regarding the crisis and how it will affect the business to the following stakeholders.

Stakeholder	Contact details
<ul style="list-style-type: none"> Mosaic consulting clients 	<ul style="list-style-type: none"> Refer client list
<ul style="list-style-type: none"> Mosaic employees and contractors 	<ul style="list-style-type: none"> Refer employee list
<ul style="list-style-type: none"> Third party suppliers 	<ul style="list-style-type: none"> Refer key supplier list

Key Business Processes

Mosaic's key business processes are as follows:

Process	Description	Responsibility
<ul style="list-style-type: none"> Consulting 	<ul style="list-style-type: none"> Provision of consulting services to clients. 	<ul style="list-style-type: none"> CMT, Consultants.
<ul style="list-style-type: none"> Practice management 	<ul style="list-style-type: none"> Employee payroll. Invoicing & accounts payable. Employee communications. HR administration. 	<ul style="list-style-type: none"> Founding Partner and Practice Manager.

Business Process Recovery

Consulting services

1. Review client engagements and team members assigned.
2. Contact team members and confirm status.
3. Engage and consult with clients.
4. Depending on the situation (e.g. under a COVID-19 escalation scenario), all team members instructed to relocate to home working sites.
5. Assign and/or redeploy team members as required.
6. Engage recruitment sources as/if required parties of situation.

Practice Management

1. Confirm employee status per above.
2. Confirm access to required practice management services. Contact suppliers as required.
3. Engage with CMT as required.

Systems requirements	Staff Requirements	Mitigating 3 rd party risk
Consulting services		
<ul style="list-style-type: none"> • Laptops, internet access to utilise cloud-based tools. 	<ul style="list-style-type: none"> • As required per client engagements. 	<ul style="list-style-type: none"> • Tools utilised are enterprise standard cloud-based.
Practice management		
<ul style="list-style-type: none"> • Laptops, internet access to utilise cloud-based tools. 	<ul style="list-style-type: none"> • Practice manager with back up 	<ul style="list-style-type: none"> • Tools utilised are enterprise standard cloud-based.

Appendices

Employees and contractors – after hours contact details
Client contacts
Supplier contacts
COVID -19 Guidelines
Incident Management Log

Employees and Contractor Contacts

Name	Email	Phone
Employees		
Andrea Gerber	Andrea.gerber@mosaicfsi.com	0274431571
Ashwin Jaywant	Ashwin.jaywant@mosaicfsi.com	0212818171
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Contractors:		
Adrian Markotich	Adrian.markotich@mosaicfsi.com	021313052
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Tom Kirke	Tom.kirke@mosaicfsi.com	0212461470
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Kevin Mallon	kmallon@jsoft.net.nz	??
Mark Pinder	Mark.pinder@msoaicfsi.com	??
Tim Jack	Tim.jack@mosaicfsi.com	??

Client Contacts

Client Name	Name	Email	Number
ACC	Richard Kennedy Jonathan Williams	Richard.kennedy@acc.co.nz Jonathan.williams@acc.co.nz	
ACPB			
ANZ			
AON	Jonathan Cook	Jonathan.cook@aon.com	
ASB	Noel Ward Mike Andrell	Noel.ward@asb.co.nz Mike.andrell@asb.co.nz	0212213780
BNZ	Ryan Wilson Peter Forster	ryan_wilson@bnz.co.nz peter_forster@bnz.co.nz	
BT Funds Management	Quintin Perry Mathew Goldsack		
Craigs Investment Partners LTD	Andre Ballantyne	Andre.ballantyne@craigsip.com	
Fisher Funds	Bruce McLachlan	Bruce@fisherfunds.co.nz	
Heritage Trustees	n/a		
HSBC	Jarron Boulter	Jarron.boulter@hsbc.co.nz	0210394683
JB Were	Steve Jennings	Steve.jennings@jbwere.co.nz	
Kiwi Wealth Investments Ltd Partnership	Helen Ross	Helen.ross@kiwiwealth.co.nz	
Marsh Insurance	Liam Quann	Liam.quann@marsh.com	
NZ Funds	Michael Lang	Michael.lang@nzfunds.co.nz	021 087 61468
SmartShares Ltd	Stuart Millar	stuart.millar@nzx.com	
AIA - Sovereign Services Ltd	Chris Kelly		
Wealthpoint			
Westpac NZ Ltd	Miriam Christine O David Ing	Miriam.hanepen@westpac.co.nz Christine.donnelly@westpac.co.nz David.ng@westpac.co.nz	

Supplier Contacts

Supplier	Contact	Email	Cell Phone
IT Support (office 635)	Sean O'Connor	sean@seanoconnor.co.nz	021655133
Payroll / accounting	Diane Harrison	Diane.harrison@mosaicfsi.com	02102790824
Website Support	Abel Haslett	abelhaslett@gmail.com	0211786811
HubSpot			
DropBox	DropBox Support	Online	
Harvest	Harvest Support	Online	
Jobadder	Peter Hooper	peter@jobadder.com	09 8012232
Tax Accountant	Michael Elliot	??	
Vetting.co.nz	Steve Williams	admin@vetting.co.nz	0212299316
KiwiBank	??		
Lawyers?	??		
Colliers (Mosaic Office building)	Courtenay Tom	Courtenay.tom@colliers.com	0211170956
Xero	Xero Support	Online	

COVID-19 Guidelines

Mosaic has adopted the following guidelines.

Travel

In line with Government requirements, anyone who has returned to NZ from overseas (excluding the Pacific Islands) since 1am on Monday 16 March, is required to spend 14 days in self-isolation.

In addition, our policy from prior to these latest Government requirements continues to apply. This requires anyone who returned to New Zealand before 1am on 16 March to self-isolate for 14 days if they have:

- Entered mainland China, Hong Kong, Italy, Iran, South Korea or Singapore (i.e. left the airport terminal for any period of time); or
- Transited through mainland China or South Korea (i.e. stayed within the airport terminal); or
- Been on a cruise, either domestic or international, and disembarked on or after Thursday 12 March.

The 14 days begins from the date of departure from the affected country or from the time of disembarking the cruise. We have also restricted business travel by air, which will now only be approved in limited circumstances.

Complying with our standards, practices and policies

Where our employees are engaging face-to-face with client staff or are in client workplaces, their expectation is our employees follow the same standards and practices currently in place, at a minimum. These include:

- Complying with the self-isolation requirements set out on above. If Mosaic's self-isolation requirements differ from the clients, any member of our staff who does not meet the client's requirements should not be interacting face-to-face with any client employee and should not be in any client workplace, even if they meet the client's requirements.
- Maintaining good hygiene at all times by frequently cleaning hands using soap and water, or hand sanitiser. Avoiding touching eyes and mouth.

Any employee who is unwell with any symptoms of COVID-19 must immediately stop in-person interaction with anyone else at the client site or Mosaic and should seek medical advice.

