Compliance

INTERNAL

High-Level Summary of Business Continuity Plan (BCP) Testing – September 2025

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Contents

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Executive Summary

Between 11th September and 18th September, 2025, Funds-Axis conducted detailed Business Continuity Plan (BCP) testing across multiple systems, including HighWire, Stats, SFTPPlus, EasyMorph, ABCDocs, and Fundware. This exercise aimed to validate the organisation's preparedness to maintain critical business operations during potential disruptions.

The BCP testing was conducted in accordance with our procedures, which are designed to align with industry standards and regulatory requirements.

Key findings from the testing include:

- Strong incident response capabilities, particularly in managing AWS hosting disruptions and database-related issues, with effective contingency actions restoring critical systems and services within acceptable timeframes.
- Identified areas for improvement, such as enhancing deployment controls, improving monitoring of server resources, and strengthening contingency planning for schema changes and service failures.
- Successful handling of scheduled maintenance events during the testing window, reinforcing the effectiveness of the existing BCP processes.

Importantly, the insights gained from this exercise have led to enhancements in our testing schedule, which will allow us to continually improve our procedures and further strengthen our resilience against potential disruptions.

Objectives

Primary Objective

To assess the effectiveness of Funds-Axis' BCP in managing and recovering from a range of disruptions during September 2025 testing, ensuring that the organisation can continue critical operations with minimal downtime.

Secondary Objectives

- To evaluate the response time and decision-making process during simulated incidents.
- To identify gaps or weaknesses observed in the current BCP during September testing.
- To ensure that communication protocols during incidents remain effective.
- To recommend enhancements to the BCP based on September 2025 test outcomes.

Scope

The BCP testing covered a wide range of systems and applications critical to Funds-Axis' operations:

- **HighWire Application:** Tested for resilience in both frontend and backend operations under simulated disruption scenarios.
- **Stats:** Assessed for continuity under various simulated failure conditions such as unexpected schema changes, Lambda failures, and database outages.
- **SFTPPlus and EasyMorph:** Tested for secure file transfer continuity and data processing resilience during simulated disruptions.
- **ABCDocs:** Evaluated for resilience in document management and database operations.
- **Fundware:** Tested for resilience in application and database operations.

The testing scenarios were designed to simulate disruptions such as:

- AWS Hosting Outages,
- Application Performance Issues, and
- Database Failures.

The testing did not include physical infrastructure disruptions or an AWS Ireland Region-wide outage scenario, focusing instead on localised cloud service interruptions.

Further details are set out in the Appendix.

Tools and Methodologies

- **AWS:** Utilised to simulate hosting and infrastructure-related failures, including instance terminations and service disruptions.
- **ECS (Elastic Container Service):** Used to manage backend and frontend application tasks, ensuring automated recovery in case of task or instance failures.
- **SQS (Simple Queue Service):** Monitored to ensure message queuing and processing continuity during application downtimes.
- **ElastiCube:** Tested for resilience in data builds and accuracy of dashboard reporting during interruptions.

Key Testing Scenarios and Results

HighWire

- **Database Failures:** Simulated conditions where the database became unreachable or faced unexpected schema changes. Contingency actions such as rebooting the database instance and restoring backups were executed within 2 to 4 hours.

- **Application Failures:** Backend and frontend tasks were intentionally disrupted to test ECS and auto-scaling configurations. Recovery actions were generally successful within 15 to 30 minutes.
- **Configuration Issues:** Simulated scenarios such as unexpected schema changes and Liquibase migration failures. Fixes were applied and validated within 1 hour.

Stats

- **Database Failures:** Simulated conditions where the database was offline. Recovery actions included rebooting and restoring backups, completed within 2 to 4 hours.
- **Lambda Failures:** Simulated deletion of Lambda functions. Contingency actions included redeployment via Jenkins pipeline, completed within 2 hours.
- **Invalid Code Release:** Simulated deployment of incorrect builds. Rollback and database restore completed within 1 hour.

Sisense

- **Instance Deletion:** Tested backup and restore procedures, including reinstallation of Sisense and making the setup accessible in different URLs. Actions took 4 to 7 hours.
- **Schema Change:** Simulated build failures due to schema changes. Contingency actions included correcting table names and refreshing schemas, completed within 1 hour.

SFTPPlus and EasyMorph

- **Instance Termination:** Simulated termination of running instances. Contingency actions included automatic replacement of instances within 1 hour.

ABCDocs

- **Database Failures:** Simulated conditions where the database became unreachable or faced unexpected schema changes. Contingency actions such as rebooting the database instance and restoring backups were executed within 2 to 4 hours.
- **Service Failures:** Simulated backend and frontend service failures. Recovery actions included updating policies and permissions, typically completed within 15 to 30 minutes.

Fundware

- **Instance Termination:** Simulated termination of running instances. Contingency actions included automatic replacement of instances within 1 hour.

Improvements Since March 2025

- Enhanced real-time monitoring and proactive communication during outages.
- Improved database recovery processes, reducing downtime by approximately 20%.
- Strengthened contingency planning for schema changes and service failures.

Conclusion

The BCP testing was concluded satisfactorily.

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Testing Schedule

Continuity Events	Event Description	Real Event or Simulation	Frequency	Last Test Date	Test Status	Next Test Date	Key Findings
AWS Hosting Disruption	Database Failures - Database Instance is Offline / Not reachable	Simulation	Half Yearly	September 2025	Complete	March 2026	Improved monitoring and proactive maintenance scheduling recommended to prevent unexpected outages.
HighWire Unavailable	Database Failures - Unexpected Schema Change	Simulation	Half Yearly	September 2025	Complete	March 2026	Deployment controls need strengthening to avoid schema-related failures during releases.
HighWire Performance Degradation	Service Failures - Backend	Simulation	Half Yearly	September 2025	Complete	March 2026	Optimise backend service launch times to reduce recovery duration.
	Service Failures - Frontend	Simulation	Half Yearly	September 2025	Complete	March 2026	Enhance frontend service launch efficiency for faster recovery.
	Service Failures - Calculations and Rulesprocessing	Simulation	Half Yearly	September 2025	Complete	March 2026	Improve processing service launch times to minimise downtime.
Database Issue	Invalid Code Release	Simulation	Half Yearly	September 2025	Complete	March 2026	Implement stricter deployment validation to prevent code mismatches and schema corruption.
	Report Error	Simulation	Half Yearly	September 2025	Complete	March 2026	Increase monitoring of report server resources and automate build validation to prevent failures.
HighWire Data Corruption	Report Data Source Build Error	Simulation	Half Yearly	September 2025	Complete	March 2026	Strengthen monitoring of report server resources and ensure timely rebuilds of data sources.
	ETL Tool Crash	Simulation	Half Yearly	September 2025	Complete	March 2026	Resolve license inconsistencies in disaster recovery environments to ensure smooth ETL operations.

HighWire Application Upgrade Issue	SFTP Tool Crash	Simulation	Half Yearly	September 2025	Complete	March 2026	Address license inconsistencies to maintain continuity during SFTP service recovery.
	Rollback to the previous application version	Real Event	As Needed	20th July 2024	Complete	As Needed	Rollback executed successfully; ensure compatibility checks before future upgrades.
	Issues related to application compatibility	Real Event	As Needed	20th July 2024	Complete	As Needed	Full rollback completed; reinforce pre-deployment compatibility testing.
HighWire Service Outage for Maintenance	Scheduled maintenance downtime	Real Event	As Needed	31st Aug 2024	Complete	As Needed	Maintain proactive communication and provide real-time status updates during scheduled maintenance windows.
HighWire User Authentication Issues	Restoration of user access	Real Event	As Needed	As Needed	Complete	As Needed	Issue resolved via Client Support; review authentication workflows for resilience.

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