Compliance

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High-Level Summary of Business Continuity Plan (BCP) Testing - March 2026

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Executive Summary

Between **21 February and 9 March 2026**, Funds-Axis conducted detailed Business Continuity Plan (BCP) testing across multiple critical systems, including **Galaxy, Statistics (Stats), Sisense, Sisense (Windows), ABCDocs, SFTPPlus, and EasyMorph**. The purpose of the testing was to validate the organisation's capability to maintain services and recover operations during a range of plausible disruption scenarios.

The BCP testing was carried out in accordance with established internal procedures designed to align with regulatory expectations and industry best practice.

Key findings from the testing include:

- Strong incident response and recovery capabilities were demonstrated across infrastructure, application, database, and integration-level failure scenarios.
- Automated recovery mechanisms (ECS auto-healing, Auto Scaling Groups, pipeline redeployments) consistently restored services within acceptable timeframes.
- Backup, restore, and point-in-time recovery processes for databases and reporting platforms were successfully validated.
- Several improvement areas were identified, particularly around **deployment controls, schema change governance, access restrictions, and resource monitoring.**
- Multiple scheduled maintenance events occurred during the testing window and were handled without incident, reinforcing the effectiveness of proactive communication and monitoring practices.

The outcomes of the March 2026 testing cycle have been used to strengthen existing controls and inform ongoing resilience improvements across the Funds-Axis platform.

Objectives

Primary Objective

To assess the effectiveness of Funds-Axis' Business Continuity Plan in managing and recovering from a range of disruption scenarios, ensuring continuity of critical business services with minimal operational impact.

Secondary Objectives

- To evaluate response times and decision-making processes during incidents.
- To identify gaps or weaknesses in current continuity arrangements.
- To confirm the effectiveness of communication and escalation procedures.
- To define targeted enhancements based on observed testing results.

Scope

The March 2026 BCP testing covered systems and services critical to Funds-Axis' operations, including:

- **Galaxy:** Core regulatory and workflow platform, including supporting AWS services.
- **Statistics (Stats):** Data processing, calculation pipelines, Lambda functions, and reporting integrations.
- **Sisense:** Business intelligence and reporting platform.
- **Sisense (Windows):** Archived reporting environment.
- **ABCDocs:** Document management platform and associated backend and frontend services.
- **SFTPPlus and EasyMorph:** Secure file transfer and data processing services.

Testing scenarios were designed to simulate disruptions such as:

- AWS hosting and infrastructure failures.
- Database outages, snapshot restoration, and schema changes.
- Application service and container failures.
- Deployment pipeline and configuration errors.
- Reporting and data build failures.
- Scheduled maintenance events.

The scope **excluded** physical infrastructure failures and AWS Ireland Region-wide outages, focusing instead on localised and controllable cloud service interruptions.

Further details are set out in the Appendix.

Tools and Methodologies

Testing activities made use of the following tools and platforms:

- **AWS Services:** EC2, RDS, ECS, Auto Scaling Groups, Lambda, ELB, SSM Parameter Store.
- **CI/CD Pipelines:** Jenkins, Chalice, Terraform pipelines for redeployment and rollback.
- **Reporting Platforms:** Sisense Elasticubes and reporting servers.
- **Production-equivalent and archived environments:** All simulations were conducted in environments representative of production or approved archived configurations.

Testing was executed through a combination of **table-top exercises and live simulations**, with infrastructure, development, and BAU teams responding in real time.

Key Testing Scenarios and Results

Galaxy

- **Database Outages and Recovery:**
  RDS outages were simulated, with backend services restored via reboot or point-in-time recovery.
  Recovery time: **2–4 hours.**

- **Application and Service Failures:**
  ECS task termination, EC2 instance termination, ASG misconfiguration, and ECS service deletion scenarios were successfully remediated using auto-healing and redeployment mechanisms.
  Recovery time: **15 minutes to 3 hours**, depending on scenario.

- **Configuration and Security Failures:**
  SSM parameter deletion and KMS permission revocation scenarios were resolved by restoring parameters and permissions.
  Recovery time: **30 minutes to 1 hour**.

- **Schema Change and Deployment Errors:**
  Liquibase and schema change issues were corrected through code fixes and controlled redeployment.
  Recovery time: **~1 hour.**

- **Real Event – Scheduled Maintenance:**
  A planned Galaxy maintenance event occurred and completed successfully without service issues.

Statistics (Stats)

- **Database Failures:**
  Database outages and schema issues impacting calculations and reporting were resolved using reboot, backup restore, and backend task replacement.
  Recovery time: **2–4 hours.**

- **Lambda and Pipeline Failures:**
  Deleted Lambda functions, invalid code deployments, and misconfigured pipelines were remediated through redeployment and rollback procedures.
  Recovery time: **1–2 hours.**

- **Reporting Build Failures:**
  Elasticube build interruptions were resolved through manual rebuilds.
  Recovery time: **~1 hour.**

Key improvement themes included deployment version control and enhanced monitoring.

Sisense

- **Server Deletion and Restoration:**
  Full Sisense reinstallation and backup restoration were completed successfully.
  Recovery time: **~7 hours end-to-end.**

- **Schema-related Build Failures:**
  Elasticube build issues caused by schema changes were resolved through correction and rebuild.
  Recovery time: **~1 hour.**

Sisense (Windows)

- **Archived Environment Recovery:**
  Auto Scaling was used to bring previously stopped Sisense (Windows) instances online successfully.
  Recovery time: **~1 hour.**

This validated the organisation's ability to access legacy reporting environments when required.

ABCDocs

- **Database and Snapshot Recovery:**
  RDS outages and snapshot restores were tested successfully.
  Recovery time: **2–4 hours**.

- **Service Failures:**
  Backend and frontend failures were resolved using ECS auto-healing and policy updates.
  Recovery time: **15–30 minutes.**

- **Real Event – Scheduled Maintenance:**
  A planned maintenance window was completed without incident.

SFTPPlus and EasyMorph

- **Instance Termination:**
  Terminated instances were replaced automatically via Auto Scaling Groups.
  Recovery time: **~1 hour.**

- **Real Event – Scheduled Maintenance:**
  A scheduled maintenance event was executed successfully with no unplanned disruption.

Conclusion

The March 2026 BCP testing programme was concluded successfully. Across all systems tested, Funds-Axis demonstrated a strong ability to detect, respond to, and recover from a wide range of disruption scenarios within acceptable recovery timeframes.

While the overall resilience posture remains robust, the testing exercise identified clear and actionable improvement areas, particularly in relation to deployment governance, schema change controls, access restrictions, and proactive monitoring. These findings are being actively addressed to further strengthen operational resilience.

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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	March 2026	Complete	September 2026	Database recovery procedures operated as intended, with services restored within defined recovery timeframes.
Galaxy Unavailable	Database Failures - Unexpected Schema Change	Simulation	Half Yearly	March 2026	Complete	September 2026	Change rollback and recovery processes operated effectively, ensuring no data integrity issues following the simulated event.
Galaxy Performance Degradation	Service Failures - Backend	Simulation	Half Yearly	March 2026	Complete	September 2026	Automated recovery mechanisms restored backend services quickly with minimal disruption to users.
	Service Failures - Frontend	Simulation	Half Yearly	March 2026	Complete	September 2026	Frontend availability was restored promptly through automated service recovery controls.
	Service Failures - Calculations and Rules processing	Simulation	Half Yearly	March 2026	Complete	September 2026	Processing services were successfully restored, confirming system resilience during calculation-level disruptions.
Database Issue	Invalid Code Release	Simulation	Half Yearly	March 2026	Complete	September 2026	Rollback and recovery controls functioned as designed, allowing rapid restoration of stable service.
	Report Error	Simulation	Half Yearly	March 2026	Complete	September 2026	Reporting services were recovered within acceptable timeframes, with no loss of underlying data.
Galaxy Data Corruption	Report Data Source Build Error	Simulation	Half Yearly	March 2026	Complete	September 2026	Reporting data sources were successfully rebuilt, confirming integrity of recovery processes.

	ETL Tool Crash	Simulation	Half Yearly	March 2026	Complete	September 2026	Automated recovery ensured ETL processing could be resumed without data loss following instance failure.
Galaxy Application Upgrade Issue	SFTP Tool Crash	Simulation	Half Yearly	March 2026	Complete	September 2026	Service availability was restored efficiently via automated instance replacement.
	Rollback to the previous application version	Real Event	As Needed	March 2026	Complete	As Needed	Application rollback procedures were effective in restoring service stability.
	Issues related to application compatibility	Real Event	As Needed	March 2026	Complete	As Needed	Recovery actions successfully reinstated normal service operation following compatibility issues.
Galaxy Service Outage for Maintenance	Scheduled maintenance downtime	Real Event	As Needed	March 2026	Complete	As Needed	Scheduled maintenance completed as planned, with no unplanned service impact.
Galaxy User Authentication Issues	Restoration of user access	Real Event	As Needed	March 2026	Complete	As Needed	Database recovery procedures supported timely restoration of processing and reporting services.
Statistics (Stats) Application Failure	Database outage and restore	Simulation	Half Yearly	March 2026	Complete	September 2026	Database recovery within acceptable timeframes; improvement in alerting recommended
	Lambda failure / deletion	Simulation	Half Yearly	March 2026	Complete	September 2026	Redeployment controls restored functionality efficiently following simulated service failure.
	Pipeline misconfiguration	Simulation	Half Yearly	March 2026	Complete	September 2026	Service recovery was completed successfully following controlled redeployment.
Sisense Reporting Failure	Server deletion and full restore	Simulation	Half Yearly	March 2026	Complete	September 2026	Backup and restoration processes operated as expected, restoring reporting services within target timeframes.

	Schema-related build failure	Simulation	Half Yearly	March 2026	Complete	September 2026	Reporting builds were successfully restored with no loss of reporting capability.
Sisense (Windows)	Archived environment reactivation	Real Event	As Needed	March 2026	Complete	As Needed	Legacy reporting environment was brought online successfully when required.
ABCDocs Application Failure	Database outage / snapshot restore	Simulation	Half Yearly	March 2026	Complete	September 2026	Document services were recovered within acceptable timeframes using established database recovery procedures.
	Backend service failure	Simulation	Half Yearly	March 2026	Complete	September 2026	Backend services were restored automatically with minimal service disruption.
	Frontend access failure	Simulation	Half Yearly	March 2026	Complete	September 2026	Frontend access was restored promptly following configuration correction.
ABCDocs Service Outage for Maintenance	Scheduled maintenance downtime	Real Event	As Needed	March 2026	Complete	As Needed	Planned maintenance completed successfully with no adverse impact to users.
SFTPPlus Service Failure	Instance termination	Simulation	Half Yearly	March 2026	Complete	September 2026	Secure file transfer services were restored efficiently using automated recovery controls.
EasyMorph Service Failure	Instance termination	Simulation	Half Yearly	March 2026	Complete	September 2026	Data processing services were recovered successfully following instance replacement.
SFTPPlus & EasyMorph Maintenance	Scheduled maintenance downtime	Real Event	As Needed	March 2026	Complete	As Needed	Planned maintenance activities completed without incident and were effectively communicated.

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