



*“Integrating Risk, Technology,
People and Process for a
sustainable Future”*

SERVICES OVERVIEW

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About Us

Vestinex Pty Ltd is a boutique professional business services provider based in Sydney, Australia. We offer a range of services across two broad categories of Ethics and Investigations and Information Technology and business services. Our staff are primarily former senior government and professional services firm (“Big Four”) audit, investigation and business professionals who have the skills, experience and knowledge built over many years of providing advice to our clients across a range of industry areas.

We recognise that professional services firms often provide advice at prices which are not within the budgetary constraints of small to medium enterprises and Vestinex undertakes to provide valuable business advice and services to small, medium and large enterprises at truly competitive market rates considering the level and appropriateness of skills we provide. We will not present our best team in our proposal to you and then supply you alternative junior resources to undertake those tasks. The people we put forward as our professionals will be the people arriving at your business to assist you with your requirements. This is our promise to our clients.

Our Business Philosophy

Vestinex was established out of the recognition that our valued clients do not need another “auditor” or “consultant” but rather a “valued business partner” who can provide the advice and support they require and which is not readily available in house. We recognise the benefits to business of building long term and trusting relationships with your professional advisers and we aim to fill this role. Vestinex staff will work with you to achieve your goals as an integrated team member as opposed to an outsider with limited knowledge of your business, its industry or environment.

We pride ourselves on being a boutique provider and it places us in a strong position of being able to provide a range of value added business services to our clients as part of an integrated team. This in our view assists our client to create success in their business operations and the achievement of their strategic goals.

We measure our success by the role we play in the achievement of our clients goals and objectives.

Our Services

Vestinex provides a range of professional services to our valued clients covering the primary categories of:

- Investigation Services;
- Fraud Prevention & Ethics
- Information Technology Process and Services; and
- Risk Management and Business Services.

Further details of the variety of Vestinex services within these categories are within this Service Statement.

Investigation Services

Service Categories

- Investigation Services
- Audio Transcription Services
- Investigation Process QA Reviews
- Forensic Computing Support / Advice

INVESTIGATION MANAGEMENT & DELIVERY FRAMEWORK



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Services Statement

Vestinetex brings to our valued clients extensive experience, knowledge, skill and expertise in the provision of Corporate and Government Investigation Services. Our staff are from law enforcement and professional services backgrounds and have provided these services for in excess of 15 years. We assist and guide our clients throughout the entire investigation process from initial complaint evaluation or disclosure through to finality of the matter at court, tribunal or administrative review. We can assist our clients to undertake investigative analysis, prepare briefs of evidence and provide recommendations to our clients on control weaknesses. We utilise and promote a defensible and rigorous investigation methodology, which is also flexible to meet the requirements of each individual investigation. Our standard methodology includes:

- Evaluation / Identification of allegations
- Identification and interview of witnesses
- Analysis of Records & Information
- Interview of alleged involved persons;
- Transcription of Audio Recorded Interviews; and
- Preparation of formal report / briefs of evidence.

Many investigative responses also require the consideration of digital and other forensically based evidence such as the consideration of forensic computing support (for review of email, file metadata etc.), hand writing analysis, surveillance of persons and property and the transcription of audio tape interviews. Vestinetex is able to provide or source these support services on an as required basis to support our investigations.

In house investigations capability to conduct non complex investigations, primarily in relation to Human Resources complaint matters are becoming more prevalent as organisations attempt to implement comprehensive governance systems and to rectify matters prior to requiring external support. For those clients considering an in house response Vestinetex strongly recommends that you engage us early in the process to provide advice on investigation methodologies, the investigation process and the management of evidence to ensure that any action taken is acceptable and in accordance with law and the principles of natural justice.

Fraud Prevention & Ethics

Service Categories

- Fraud Risk Assessment
- Ethical Policy Reviews
- Fraud Policy & Process
- Fraud Awareness Training

FRAUD PREVENTION & MANAGEMENT FRAMEWORK



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Services Statement

A key preventative control in any modern business is the ability to identify areas of risk for fraud across business operations. Organisations cannot expect to, or be prepared to deal with issues that arise without first understanding the risk profile of the organisation and the propensity for the commission of fraud related offences. Vestinetex can assist your organisation to understand and critically define your business processes and the propensity or risk for that process to be subject to fraud. We assist our clients to identify potential risk areas due to lack of or ineffective controls. Our methodology for the completion of our assessments is based upon the Commonwealth Fraud Control Guidelines and the AS8001 series of standards.

Our staff will work with you and your team to document your business processes, identify areas of risk, evaluate the level of those risks and to define controls and operational policies to reduce the risk and potential incidence of fraud across the organisation. Vestinetex believes that the true benefit of the development of Fraud Control Frameworks is that they are created to suit the specific business environment and your organisations risk profile. Vestinetex do not provide stock standard documentation which does not fit the nature and purpose of your business. We will work with you to develop or review sound policy and procedural documentation which integrates into your existing Enterprise Risk Management framework.

In our experience policies and procedures are ineffective unless they are regularly communicated and understood by those to whom they apply. Again we believe that stock standard approaches which are not modelled specifically for your organisation are ineffective. Vestinetex staff will work with you and your organisation to develop an organisational specific Fraud Risk Awareness Training package, containing generic fraud risk, methodologies and indicators but target those to your organisation profile. Our training will include scenarios based on actual cases which we have investigated to provide real world focus on the problem of fraud within organisations. Our training will also contain information on your own policies and procedures alleviating you and your staff having to conduct further organisational training on your Ethical and Fraud Prevention policies and providing specific advice and information to staff on your own policies not some generic and non specific policy to which staff cannot ultimately be held accountable by the organisation.

Information Technology Process & Services

Service Categories

- IT General Control Assessments
- IT Policy & Procedure
- IT Strategy Reviews
- IT Threat & Risk Assessment
- Incident Response Planning
- IT Disaster Recovery Services

INFORMATION TECHNOLOGY PROCESS & SERVICES FRAMEWORK



Services Statement

Information Technology processes are essential elements of corporate governance and compliance requirements to meet industry and legal/regulatory obligations and the expectations of shareholders and stakeholders. Current IT systems support critical financial data which is reported to the Board, shareholders and regulators and therefore it is paramount that IT staff and Executives understand the risks and controls across their systems and processes. Vestinetx assists our clients to evaluate their IT General controls, assess their current IT Strategic direction and develop sound and defensible IT Policy and Procedures.

Vestinetx is adept at providing sound advice and review services in relation to all elements of IT policy and does not employ a “one size fits all” approach. It is critical in our view to understand the business environment and designed IT controls to support business objectives whilst maintaining security. Vestinetx can conduct IT security reviews in accordance with the provision of ISO 27001 and other standards as well as provide IT Disaster Recovery Requirement Assessments, ITDR Site Suitability Assessments and the development of ITDR Documentation to support these essential IT business processes.

Underpinning any effective IT operation is the alignment of IT Strategic direction to the overarching organisational strategy. Misalignment between IT and Organisational strategy will not only fail to assist in the achievement of business goals but also will not provide a defensible basis for continuing IT investment. In our view IT units do not only have the objective of providing IT services but rather the purpose of the IT function is to enhance the ability of other operations business units to achieve the goals of the business and thereby add to the achievement of financial and business goals. Vestinetx has the experience to support IT management to review the IT goals of the organisation and assist in the proper alignment of IT and business strategies. We can conduct a comprehensive gap analysis and highlight potential areas of weakness which may impact the achievement of the strategy.

IT business units as part of their operational strategies also need to have focus on recoverability and continued operations of critical business systems in the event of a significant event. As such organisations often require assistance to review and design IT Disaster Recovery programs to ensure that all critical business systems will be able to be recovered to the requisite level in the event of an outage. Vestinetx has experience in the preparation and design of these systems and plans.

Risk Management & Business Process

Service Categories

- Business Continuity Management
- Internal Audit Performance Reviews
- Business Risk Management
- Business Process Reviews

BUSINESS PROCESS SERVICES FRAMEWORK



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Services Statement

Key to all services provided by Vestinex is the underlying requirement to firstly assess and rate business risk prior to the development of strategies, policies and frameworks or the completion of reviews over established processes. Vestinex utilises a business risk assessment process across all our operations based on current best practice standards. Vestinex can assist you to undertake comprehensive business risk assessment, to identify process interdependencies and to risk rate your organisation or individual processes. Our methodologies are based upon defined risk management standards such as ISO31000.

Vestinex also has the capability to assist organisations in the assessment and development of comprehensive Business Continuity Management Frameworks comprising the assessment of business process as part of a Business Impact Assessment, development of Continuity Strategies and ultimately the development of tested and validated Business Continuity Plans for use by the organisation in the event of a disaster event. These are crucial for the resumption of business process and underpin the creation of ITDR Strategies as critical business IT systems will be restored on the basis of priority as assessed within the Business Continuity Planning strategies.

We can also provide Internal Audit services through our partnering arrangements with trusted Internal Audit providers. We use these partnering arrangements as we are firm believers in providing our valued clients with the right resources with the specific skill sets required for completion of the work. We are also conscious that our client want to deal with a single entity for these business services and as such we can take the engagement of additional resources as our responsibility under a united Vestinex banner. Therefore you get one point of contact, one invoice and a direct line of communication to Vestinex management. We can assist your organisation to not only develop your internal audit plans but also to focus your limited resources on those areas of the business where the most value will be gained to enhance your control environment and corporate governance. Our internal audit partners are from experienced internal audit backgrounds from government and corporate professional services backgrounds comprising risk professionals and certified practicing accountants. We pride ourselves on being able to work collaboratively with our clients to enhance their business but also as your trusted business advisers. Vestinex seeks to integrate our services and advice into your organisations rather than simply “selling you a service”



“Vestinx is focused on providing the keys through the transfer of knowledge and value added solutions to our clients to mitigate risk and unlock business success”



**OUR COMMITMENT
TO OUR CLIENTS**

Vestinx Pty Ltd is committed to providing outstanding quality of service to our clients now and into the future. Our reputation is key to our business success.



Jason Plumridge - Managing Director

Jason is the Managing Director and Principal Consultant for Vestinx Pty Ltd and has over 16 years Fraud Investigation and Prevention, Information Technology Audit and Business Continuity Management experience.

Jason has formerly held investigation and advisory roles within Government (NSW Police) and professional service firms (Ernst & Young, Certitude Technology Risk Services) conducting complex investigations and reviews.

Jason holds a Diploma of Policing, Certificate IV in Government Fraud Control and Investigation and a Bachelor of Science in Computing Science (1st Class Hons). Jason is also a licenced private investigator in NSW and holds a Federal Government Security clearance to the level of “Protected”.

As a multi-faceted risk technology professional Jason has conducted and led numerous large and complex business and technology risk assessments across small, medium and large clients ensuring that value is added to his client’s businesses through the reduction of risk, the achievement of business efficiency and the reduction of costs. Jason has prepared on behalf of clients IT Security Policies based upon the results of comprehensive threat and risk assessments including Codes of Conduct and IT and Internet Usage policies.

Industry Expertise

Vestinx and their staff have assisted many organisations across a wide variety of industry sectors to manage their technology and business risks and to respond appropriately to problems experienced. Detailed below is a representative list of those Industries where Vestinx consultants have built up expertise.

- Commonwealth Government
- State & Local Government
- Law Enforcement
- Banking & Finance
- Insurance & Superannuation
- Mining & Resources
- Energy Generation & Transmission
- Utilities
- Professional & Business Services
- Manufacturing & Retail
- Telecommunications & Networks
- Hospitals & Health Providers
- Building & Construction
- Information Technology
- Publishing & Media