

Business Continuity Strategy



Corporate PO010

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1.0 Purpose

1.1 Objective

This document provides the strategy of the approach taken by Ultima Business Solutions Limited and Ultima Business Solutions South Africa (Pty) Ltd (together, 'Ultima'), to the development and implementation of an appropriate business continuity framework, to ensure the company's continuing ability to deliver services to its customers.

1.2 Aims

Business continuity management has two fundamental aims:

- Building resilience to disruption.
- Developing the capability for an effective response that safeguards the interests of its interested parties, reputation, brand and value-creating activities.

1.3 Assumptions

In designing this strategy, Ultima has made the assumptions that:

- 1.3.1** By adopting a cloud strategy with trusted vendors, with a robust history of up-time, the risk of Ultima's key systems being unavailable for more than a 12-hour period will be minimal.
- 1.3.2** No disruptive situation will simultaneously disable the cloud-based systems, the Ultima computer systems based at Gainsborough House, Manor Park, Reading, RG2 0NA and the nominated alternative datacentre to be used by network operations.
- 1.3.3** Sufficient staffing levels are available to be able to fulfil the needs of providing a basic level of functionality.

1.4 Principles

The following principles support the delivery of the objective and strategic aims of business continuity management for Ultima operations:

- 1.4.1** A Policy has been developed which shall be maintained to provide management direction and support business continuity, in accordance with business requirements and relevant laws and regulations;
- 1.4.2** The business continuity response shall be focused on the identified business requirements for the recovery of prioritised activities;
- 1.4.3** Strategic responses shall be designed to deal with identified disruptive situations (see 4.0);
- 1.4.4** Identified risks shall be assessed and either accepted or action taken to reduce or remove the risk. These shall be managed within the Risk Register;
- 1.4.5** Plans shall be developed and maintained for:
- The management of the response to disruption;
 - Each of the prioritised business activities deemed critical.
- 1.4.6** All Ultima staff able to work remotely (due to the nature of their work) already have laptop computers and can maintain an acceptable and uninterrupted level of service without corporate office facilities.
- 1.4.7** Ultima's CRM and Finance systems are cloud based, with a very minimal level of HR and warehousing information retained on an on-premise platform, deployed on high availability infrastructure. Key business and customer data shall be stored in an appropriate CRM and or ITSM solution which shall be cloud based.
- 1.4.8** All third parties providing systems or services that support the identified critical activities shall have service level agreements and adequate business continuity arrangements in place, to ensure continuity of operation.

2.0 Scope

Ultima has defined a Business Continuity Strategy and Business Continuity Plan relevant to the business in general and to support service delivery to Ultima's Managed Service customers. The Ultima strategy and plan may not meet the recovery time objectives or recovery point objectives of a specific customer system. Where identified by the customer, Ultima will work with customers to architect redundancy in their systems to meet their RTO/RPO specifications.

The scope of this Business Continuity Strategy shall extend to all employees and teams, unless the employee works permanently at a customer site, and they agree that their business continuity arrangements shall take precedence.

This Business Continuity Strategy shall work in conjunction with Ultima's Business Continuity plan.

3.0 Responsibilities

- The **Chief Executive Officer** has overall responsibility for ensuring that all parts of the company have appropriate business continuity arrangements in place and for approving this strategy.
- The **Board** is responsible for this document and shall provide staff with appropriate education and training thereon.
- The **Board** is responsible for ensuring that appropriate service level agreements, resilience, recovery and response mechanisms are in place in respect of the third-party services.
- **Departmental managers**, in conjunction with the **Board**, shall be responsible for implementing and communicating this document and the associated processes.
- **All staff**¹ are responsible for maintaining awareness of this document and the associated processes.

Executive Approval



Scott Dodds, Chief Executive Officer

Date: 08/07/2025

¹ Staff includes permanent, contract and associate staff.

4.0 Disruptive Situations

No.	Situation	Risk assessment (based on Ultima risk methodology, doc ref 026FR)	Potential impact	Strategic approach
1	Cyber-attack, including, but not limited to, Ransomware, phishing emails, man in the middle attacks	likelihood - remote impact – high RTO/RPO dependent on specific situation	Unable to access information, possible breach of data, inability to provide services and operations.	<ul style="list-style-type: none"> IT and Professional Services staff to resolve. Insurance company to be contacted. Contact made with relevant experts to assist, remediate and identify information breached. Report in line with the law and relevant contractual obligations. Continued education of staff following incident in relation to identification scenarios leading to an attack along with examples of best practice and risky behaviours
2	ITSM Cloud based solution fails	likelihood - remote impact – medium RTO 2hrs RPO 1 hr	<p>Unable to receive or deal with some customer service requests.</p> <p>Possible breach of contractual SLAs.</p>	<p>Short term (up to 1 day) Manual call recording and sharing of information via shared portal.</p> <p>Short term (up to 1 week) – reconstruction of KnowledgeBase records and continued manual call recording.</p> <p>Additional considerations for long term (over 1 week) – identification of alternative provider.</p>

No.	Situation	Risk assessment (based on Ultima risk methodology, doc ref 026FR)	Potential impact	Strategic approach
3	Finance and or CRM Cloud based solution fails	likelihood - remote impact – medium RTO 10 hrs RPO < 5 seconds	Unable to provide quotes to customers through formal mechanisms. Unable to transact through formal mechanisms. Unable to record activities in compliance with stakeholder requirements / expectations.	IT team to engage with support provider, if relevant, to remediate. Vendor relationship manager to engage with relevant solution provider. Short term (up to 1 day) - Manual quotes and processes Short term (up to 1 week) – reconstruction of records using on premise systems and continued manual processes. Additional considerations for long term (over 1 week) – identification of alternative provider.
4	Not all staff are available to work (e.g., pandemic)	likelihood - remote impact – low	Staff unavailability resulting in an inability to receive or deal with some client enquiries in accordance with normal expectations.	<ul style="list-style-type: none"> Redeploy staff to key areas based on Impact Analysis. Key areas to be identified by the BCM and continually reviewed during the BC Event for appropriateness.
5	Cloud based solution (excluding ITSM, CRM and Finance systems) and or datacentre / cloud storage fails	likelihood - remote impact – dependent on solution	Dependent on solution.	<ul style="list-style-type: none"> Supplier manager to liaise with provider to assess the duration of outage. Plan for alternative supplier if outage extends beyond an acceptable time frame.

No.	Situation	Risk assessment (based on Ultima risk methodology, doc ref 026FR)	Potential impact	Strategic approach
6	The Reading building and all facilities have been rendered unusable. AND not all staff are available to work	likelihood - remote impact – low	Staff unavailability resulting in an inability to receive or deal with some client enquiries in accordance with normal expectations. Unable to access inventory in warehouse. Internal IT configuration support will need to be relocated. Cloud based (key operational systems) systems unaffected.	<ul style="list-style-type: none"> • Redeploy staff to key areas based on Impact Analysis. • Key areas to be identified by the BCM and continually reviewed during the BC Event for appropriateness. • Building to be secured, depending on nature of failure, and appropriate third-party supplier to be contacted to resolve. <p>Short term (up to 1 week):</p> <ul style="list-style-type: none"> • All goods to be delivered direct to customers or via approved configuration site; • Internal IT team to relocate IT infrastructure support; • Invoke phone system problem and remote working procedure; • Consider reinstatement of on-premise systems using back up tapes. <p>Additional considerations for long term (over 1 week):</p> <ul style="list-style-type: none"> • Reinstatement on-premise systems using back up tapes (should data have been lost); • Liaise with customers in relation to specific contractual arrangements

No.	Situation	Risk assessment (based on Ultima risk methodology, doc ref 026FR)	Potential impact	Strategic approach
7	hardware, telephony or facilities failure (whilst the third-party cloud services and associated datacentres remain fully functional).	likelihood - remote impact – none	Internal IT and or warehouse are possibly unable to connect to on premise systems. Cloud based (key operational systems) systems unaffected. Majority of staff unaffected.	<ul style="list-style-type: none"> • Building to be secured, depending on nature of failure, and appropriate third-party supplier to be contacted to resolve. • Ultima IT work to recover failure. • Use of on-premise systems to be manually recorded and or limited until such time as access is resolved. • Internal IT team to relocate specific IT infrastructure support, as appropriate. • Invoke phone system problem and remote working procedure; • Reinstate on-premise systems using back up tapes (should data have been lost).
8	Access to building not permitted	likelihood - remote impact – none	<p>Unable to access inventory in warehouse.</p> <p>Internal IT configuration support will need to be relocated.</p> <p>Majority of staff unaffected.</p> <p>Cloud based (key operational systems) and on-premise systems unaffected.</p>	<ul style="list-style-type: none"> • All goods to be delivered direct to customers or via approved configuration site; • Internal IT team to relocate IT infrastructure support; • Invoke phone system problem and remote working procedure; • Liaise with landlord to get emergency access to building as and when necessary.

No.	Situation	Risk assessment (based on Ultima risk methodology, doc ref 026FR)	Potential impact	Strategic approach
9	The Reading building and all facilities have been rendered unusable	likelihood - remote impact – none	<p>Unable to access inventory in warehouse.</p> <p>No phone system.</p> <p>Internal IT configuration support will need to be relocated.</p> <p>Majority of staff unaffected.</p> <p>Cloud based systems (key operational systems) unaffected.</p> <p>On-premise systems inaccessible (minimal impact on contractual obligations).</p>	<p>Ultima IT and or TSC to recover on-premise systems using appropriate supplier.</p> <p>Short term (up to 1 week):</p> <ul style="list-style-type: none"> • All goods to be delivered direct to customers or via approved configuration site; • Internal IT team to relocate IT infrastructure support; • Invoke phone system problem and remote working procedure; • Consider reinstatement of any on-premise systems using back up tapes. <p>Additional considerations for long term (over 1 week):</p> <ul style="list-style-type: none"> • Obtain serviced office accommodation for staff who would face difficulty with remote working, if any, and if conditions permit such relocation; • Reinstatement any on-premise systems using back up tapes (should data have been lost).

5.0 **Audit**

Audit spot checks and automated monitoring may be conducted to ensure this Document is complied with. Any non-compliance shall be reported to the Board in the first instance to review the effectiveness of education provided as well as the appropriateness of the Document.

6.0 **Review and Maintenance**

This Business Continuity Strategy shall be reviewed annually, or after significant change, by the Board to ensure it remains effective and fit for purpose.

7.0 **Related Documents**

- Business Continuity Plan - BCMI
- Business Continuity Recovery Process

8.0 **Document Control**

8.1 **Authority**

Signatory	Name	Role	Organisation
Author	Chris Cotterell	Compliance Manager	Ultima
Owner	Jenny Hall	Head of Legal & Compliance	Ultima
Approver	Scott Dodds	Chief Executive Officer	Ultima

8.2 **Identity**

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8.3 Revision History

Version	Date	Status	Comment
1.0	29/11/2013	Released	New document revision
1.1	10/07/2014	Released	Minor amendments
1.2	08/07/2015	Released	Minor amendments
1.3	26/07/2016	Released	Update to new format
1.3	27/07/2016	Released	Minor amendments and re-inclusion of signature area at end
1.4	20/06/2017	Released	Address Changes and minor amendments
1.5	28/11/2017	Released	Minor amendments
1.6	26/11/2018	Released	Minor amendments
1.7	27/01/2020	Released	Minor amendments
1.8	26/03/2020	Revised	Amendments in the light of DOA during pandemic
1.9	08/10/2021	Revised	Addition of corporate cloud systems into disruptive situations and re-prioritisation of disruptive situations following the change in the systems
2.0	03/02/2023	Revised	Change of author to the Compliance Manager Annual review, no further changes.
2.1	02/07/2024	Released	Annual review. Transferred onto the new Corporate Template. Update to Section 1.1, inclusion of UBS Ltd South Africa.
2.2	08/07/2025	Released	Annual Review, no changes.



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