Quality Policy

Ultima

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1.0   Purpose

This policy outlines Ultima Business Solutions Limited and Ultima Business Solutions South Africa (Pty) Limited South Africa (together "Ultima") commitment to quality management and the maintenance of the ISO 9001:2015 certification through continual improvement of our QMS processes. Ultima is committed to ensuring that all processes align to business objectives and to ensuring that product and services continue to meet and exceed customer expectations as well as meet current contractual and legal obligations.

2.0   Scope

Ultima shall identify risk and opportunities, and monitor performance to identify areas for the continual improvement of the quality of service delivery. The scope of Ultima's QMS is system wide end-to-end service delivery.

3.0   Policy

This Policy defines the commitment of Ultima and its Board of Directors to the quality of delivery and support services to its customers. This Policy affects and applies to all Ultima staff (permanent and temporary), and other interested parties acting for or on behalf of Ultima in the delivery of services, thus enabling Ultima to become the trusted long-term IT partner to UK businesses by providing robust and flexible solutions.

The CEO, supported by their team of Operational Directors, shall be accountable for the effectiveness of the QMS by means of undertaking the following:

- Ensure the quality objectives and relevant scope are established for the QMS and are compatible with the context and strategic direction of Ultima;
- Identify and assess Risk and Opportunities for continual improvement, and promote improvements to products and services provided by Ultima;
- Set out the objectives of the QMS;
- Take accountability for the effectiveness of the quality management system and ensure that the QMS achieves its objectives;
- Ensure processes are in place to safeguard and controls are effective against poor service delivery and identify risks or opportunities to be addressed;
- Ensure that the resources needed for the QMS are available, including sufficient staff, training, support;
- Promote the use of a process approach and risk-based thinking;
- Establish partnerships with suppliers to provide an improved service to Ultima's customer base;
- Develop, implement and maintain controls to identify and measure attainment of the QMS objectives;
- Ensure that the Quality Management Review Forum (QMRF) acts as a management review where stakeholders can contribute to the development of the QMS;
- Ensure relevant communications are made to interested parties, internal and external, and encourage best practice; and;

- Ensure the integration of quality management into the organisation's business processes across all compliance streams.

Executive Approval:

Scott Dodds, CEO

Date: 20/08/2024

4.0 Responsibilities

- The **Board** is responsible for quality governance and shall provide staff with education and training to support adherence to this Policy and other management system policies.
- The **Board** shall be responsible for approving this Policy and the **QMRF** shall be responsible for maintaining this Policy.
- The **QMRF** and **all managers** shall ensure that information and data is processed and managed in accordance with all contractual, legislative and regulatory requirements.
- **Departmental managers,** in conjunction with the **Compliance Manager**, shall be responsible for implementing, maintaining and communicating this Policy and associated QMS processes and procedures to their staff and for supervising compliance.
- The **Compliance Manager** shall be responsible for ensuring that regular audits of the processes and procedures that implement this Policy are performed to maintain compliance and facilitate continual improvement.
- **All staff**[1] are responsible for maintaining awareness of Ultima's management system policies and procedures applicable to their role.
- **All staff** and third parties are required to comply with this Policy and its supporting policies and processes.
- The **Head of Consulting** shall ensure that suppliers comply with the Ultima Supplier Code of Conduct. Furthermore, the Head of Consulting shall ensure that agreements include sufficient provisions to meet the needs of security and confidentiality; quality control; service level agreement as set out in relevant agreements; frequent contract review; and a right for Ultima to audit.
- **Internal Account Managers** and **Service Delivery Managers (collectively "Customer Account Managers" (CAM))** shall ensure that quality management procedures are followed, including those related to orders and queries and meet customer deadlines. In addition, CAMs shall review customer accounts at a frequency agreed with the customer. Further, CAMs will ensure that customers know how to use feedback loops. Furthermore, CAMs will manage complaints and escalate as necessary; communicate complaint resolutions to relevant interested parties as a means of implementing continual improvement; and highlight risk and opportunity for improvement.

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[1] Staff includes permanent, contract and associate staff.

5.0   Objectives and Targets

Objectives and targets are defined goals established by Ultima, measurable in terms of the supply of goods and services to Ultima; and the quality of service delivery by Ultima to its customer base.

- Ultima shall review the performance of its suppliers on a regular basis to assess service delivery against the terms of the Service Level Agreement of goods/services, such regularity to depend on the frequency of use, level of spend and nature of supply;
- Ultima will provide feedback loops for customers and will review all feedback as a means to identify and assess Risk and Opportunities, and promote improvements to products and services provided by Ultima;
- Quality objectives will be reviewed annually and all recommendations from the Board for improvement and development of the QMS will be implemented;
- The review of suppliers shall be documented and communicated to the relevant parties within Ultima;
- Corrective and Preventative Actions, including investigations resulting from feedback loops from customers, shall be documented and resolved in a timely fashion;
- Ultima will endeavour to ensure that Internal audit non-conformances and observations are addressed and closed within six months of them being raised. Ultima will endeavour to ensure that external audit non-conformances and observations are addressed and ready to close within twelve months of them being raised; and
- KPI's and risks regarding the Quality Management System shall be communicated to the QMRF and the relevant parties within Ultima.

6.0   Feedback/Review programmes

Ultima will maintain suitable feedback loops relevant to suppliers and customers. The supplier contract feedback/review loops shall facilitate the means to meet the needs of Ultima or the customer. The customer feedback loops shall facilitate opportunities for Ultima to meet the needs of its customers and promote Quality.

6.1   Supplier contract review – Right to audit

The terms of supply of subcontractors to customers shall include, where possible, a right for Ultima to carry out audits of the supplier by means of self-assessment questionnaire, or by onsite audits by Ultima staff or another party appointed by Ultima.

6.2   Customer feedback

CAMs will review customer accounts at a frequency agreed with the customer. The relevant Internal CAMs will be responsible for: producing account support statics; answer customer queries; ensure that customers know how to use feedback loops operated by Ultima; manage complaints, and highlight risk and opportunity for improvement; ensure that quality management procedures are followed, including those related to orders and queries and meet customer deadlines; and fulfil the other requirements of this responsibilities to the customer.

7.0 Document Control

7.1 Authority

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

7.2 Identity

Issue Type	Released
Date Issued	20/08/2024
Title	Quality Policy - QMS PO001

7.3 Revision History

Version	Date	Status	Comment
1.0	01/06/2020	Released	First Draft since transition.
1.1	18/06/2021	Released	Change of owner to the new Compliance Manager.
1.2	23/08/2022	Revised	Annual review. Removal of Commercial Sales Director as QMS Exec Sponsor, replaced by the CEO.
1.3	20/08/2024	Released	Annual review, transferred to the new corporate template. Inclusion, in section 1, of UBS South Africa Ltd.