Unit4 Business Continuity Policy

“To ensure that we are well prepared to meet customer needs and resume regular business operations in a timely manner in the event of a significant business disruption under the guidelines of ISO 22301”

Unit4’s Commitment and Policy

Unit4 is a company which is committed to ensuring its ability to plan for and respond to incidents and business disruptions in order to continue business operations at an acceptable predefined level. We have identified threats to our organisation and the potential impacts those threats may cause to our operations. We have used this information to:

- Prioritise the immediate safety of our employees
- Mitigate risks to business continuity
- Preserve the firm’s property and the property of our customers and
- Enable as quick a recovery as possible in order to meet the business needs of our customers.

We have developed effective responses to potential incidents and disruptions which cannot be entirely eliminated, which safeguards the interest of our stakeholders, reputation, brand and value-creating activities. We have considered all necessary legal and regulatory requirements and have implemented processes to maintain compliance and the continuity of our operations.

We are committed to ensuring that we are well prepared to meet customer needs and resume regular business operations in a timely manner in the event of a significant business disruption to ensure business objectives are met.

To help us achieve our aim, we have created a business continuity management system which satisfies the requirements of ISO 22301.

Approved by Managing Director UK&I: Date 30/05/2017

Scope of Business Continuity Management System

The Scope of our Business Continuity Management System is defined as -

“The Design, Development, Provision and Support of Unit4 Software Products and Associated Consultancy, Technical and Managed IT Services.”

Implementing and Operating Our BCMS

Exercising is the process of validating our plans; in order to ensure strategies are capable of providing response and recovery results within the timeframes agreed to by our management. On an on-going basis we will carry out exercises to validate our plans. We will continue to implement the following exercises documented in the table below:

<table>
<thead>
<tr>
<th>Exercise Type</th>
<th>Use</th>
<th>Benefit</th>
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<tbody>
<tr>
<td>Plan Walkthrough – reviewing the layout &amp; contents of a plan.</td>
<td>To introduce staff to concept of a recovery plan &amp; recovery strategy</td>
<td>Easiest and least time consuming.</td>
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<tr>
<td>Table Top – using a scenario, discussing what actions &amp; decisions would be made through the use of a documented plan.</td>
<td>To validate the contents of a plan, ensuring accuracy and completeness.</td>
<td>Easy to prepare, provides a good initial validation of a plan.</td>
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<tr>
<td>Process or Plan Simulation – using a scenario to guide the acting or carrying out of an activity or process recovery plan (typically using recovery locations and resources.)</td>
<td>To validate the contents of a plan or the process recovery strategy, ensuring it is actionable and verifying the time allocations.</td>
<td>Provides a more “Real-Life” actionable test.</td>
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<tr>
<td>Full (end-to-end) Simulation – using a scenario to enable participants to carry out the response and recovery activities for an entire organisation.</td>
<td>To validate the interaction between groups during a recovery effort, as well as validate the overall recovery time objectives.</td>
<td>Best test of Strategies and plans.</td>
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</table>
In order to formulate a successful business continuity plan we have undertaken a complete risk assessment across the divisions of our organisation to identify critical activities and external/internal issues which affect our ability to achieve the expected outcomes of our BCMS. This has enabled us to ensure that should the worst occur we can direct and focus our efforts on maintaining and preserving those processes which have the greatest impact on our customers. These critical activities have been set recovery time objectives which then have been used to develop the restore plan within the Business Continuity Plan.

Events that can cause interruptions to business processes are identified as set out in the Business Continuity Plan, along with the probability and impact of such interruptions in the Business Impact Analysis and the risk assessment process/Risk Management Policy. All assets have been risk assessed and actions taken to mitigate the risks identified wherever possible to ensure the on-going availability of the assets which support our processes.

The Unit4 Business Continuity Plan enables us to maintain or restore operations and ensure availability of information at the required level and in the required timescales following interruption to, or failure of, critical business.

The Business Impact Analysis is reviewed annually as part of the management review or as a result of any changes (including legislative changes), breeches or incidents.

In addition any threats to the systems may be identified as a result of internal audits which could result in an update to the Business Impact Analysis.

Unit4 communicates this policy and the obligations/responsibilities required by the Business Continuity Management system to all its employees on their induction into the organisation. We have displayed our Policy on internal notice boards and have developed an area on our intranet dedicated to its Business Continuity Management System.

The responsibility of the upkeep of the Business Continuity system lies with:

**Finance Director** – Paul Cross — Ultimate responsibility for strategic direction, objectives and goals.

**Head of Compliance and Security** – Joanne Higginson — Responsibility for ensuring the requirements of the standard are implemented, maintained and has responsibility for reporting on its performance

Supported by the **Standards Compliance Team** made up of Kirsty Dalby.

To re-enforce our commitment we have nominated Recovery teams across our organisation whose skills and capabilities would be called upon in the event of a business incident.

**Emergency Management Team (EMT)** - Responsible for overall coordination of the disaster recovery effort, evaluation and determining disaster declaration, and communications with senior management.

**Location Response Coordinator (LRC)** - Responsible for overall coordination of the disaster recovery effort for their region, establishment of the command center and communications with Emergency Management Team

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**Unit4 Staff all have a part to play in our Business Continuity Plan**

Our staff are crucial to the successful implementation of our Business Continuity Plan. All staff are responsible for considering how their actions can effect our Business Continuity and they are encouraged to take an active role in the Business Continuity management system. In practice this means all staff being aware of their responsibilities within the plan as discussed with them during their induction and summarised here:

- **Know what to do** - to follow the instructions of their manager and work from home or an alternative office until informed otherwise.
- **Be aware of the evacuation routes and procedures in the office.**
- **Ensure Communication can occur** – have the phone number of their line manager and ensure their line manager has theirs so that they can be contacted outside of office hours should an incident occur.
- **Be a member of the text alert scheme so they can get text notifications and instructions for any incidents which may impact upon them.**
- **Know how to work remotely and test ability to do so when systems change.**
- **Be prepared where possible for a potential event if its anticipated i.e. snow.**
- **Participate in exercises to confirm success of the Business Continuity Plan and raise any issues which could be improved.**
- **In the event of an incident to ensure any requests for information and passed to our marketing department.**
In order for us as a company to successfully meet our Business Continuity Management Policy and Plan, we have set Business Continuity Objectives and Targets across our organisation to aid with our ability to successfully maintain business as usual through an incident. This allows our performance and progress in improving our ability to react and deal with an incident to be regularly monitored and measured for success. Our current Business Continuity objectives and Targets are shown below and are in line with Unit4 corporate and operational objectives:

**Standard Compliance**
- Ensuring all new staff receive training on how to work from home and have successfully trialled the solution in their first year
- Review third party performance quarterly for effectiveness in 2017
- Ensuring awareness of Business Continuity through online training and inductions in 2017
- Complete third party authorisation process with all new third parties
- Report on Business Continuity incidents within 1 week of occurrence
- To ensure a Business Continuity incident will not result in a loss of custom
- Ensure awareness of business continuity goals and systems for new starters

**ICT**
- Ensure 99% availability of core business systems
- Not to lose more than 2 days of backups in key business systems
- 100% of SLA targets to be achieved
- 90% of backups to be successful
- Customer satisfaction is 95%

Below identifies the high level steps taken to invoke and manage a business continuity incident.
ISO 9001 (Quality Management) and ISO 22301 (Business Continuity Management)

Our Business Continuity System has been designed to fully integrate with our Quality Management System based on the requirements of ISO 9001 as such all our procedures for Business Continuity management are held within our Quality Management System which are stored centrally under:

http://44mossagruk/quality/Business%20Procedures/Forms/AllItems.aspx

In addition we have created an area on our intranet site which is dedicated to our Business Continuity Management System (please see below) This area is available to all staff and holds all our Business Continuity records and information:

http://44mossagruk/quality/BCM/default.aspx

Our BCMS is also fully integrated with our ISO 27001 Information Security and ISO 14001 Environmental Management Systems and other Unit4 corporate polices.

ISO 22301 (Business Continuity Management)

The table below demonstrates how we meet the requirements of ISO 22301

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Business Continuity Management Requirements

4. Context of the Organisation

4.1 Understanding the organisation and its context
4.2 Understanding the needs and expectation of interested parties
4.3 Determining the scope of the business continuity management system
4.4 Business continuity management system
5. Leadership
5.1 Leadership and commitment
5.2 Management commitment
5.3 Policy
5.4 Organisational roles, responsibilities and authorities
6. Planning
6.1 Actions to address risks and opportunities
6.2 Business continuity objectives and plans to achieve them
7. Support
7.1 Resources
7.2 Competence

7.3 Awareness
7.4 Communication
7.5 Documented Information
8. Operation
8.1 Operational Planning and control
8.2 Business Impact Analysis and risk assessment
8.3 Business continuity strategy
8.4 Establish and implement business continuity procedures
8.5 Exercising and testing
9. Performance Evaluation
9.1 Monitoring, measurement, analysis and evaluation
9.2 Internal Audit
9.3 Management Review
10. Improvement
10.1 Nonconformity and corrective action
10.2 Continual Improvement