

SWG

Quality and Information Security Policy

Issue 9

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1 Introduction

The purpose of this document is to highlight SWG's commitment to quality and information security.

1.1 Issue Status

The issue status is indicated by the issue number in the footer of this document. It identifies the issue status of this document.

2 Company Profile

SWG is an international provider of Facilities, Property and Workplace Management software. With a global network of offices, we deliver technology solutions and supporting services to over 100,000 client sites across the globe to manage a broad spectrum of workplace and service environments. Our award-winning, flexible and functionally-rich applications, QFM and P3rform, ensure rapid return on investment and competitive advantage through:

- Generating long term reductions in operational costs
- Optimising asset and resource value
- Improving service quality and availability
- Delivering enterprise-wide visibility of critical performance information

We are committed to supplying quality products and services combined with a partnership approach to deliver complete and customised solutions to ensure client satisfaction.

3 Quality Policy & Objectives

At SWG, quality is central to all that we do. We are committed to meeting the expectations of our clients by implementing and maintaining quality management processes in each of the following areas:

Product Development

SIMS shall ensure that QFM meets the expectations of our clients through systems of:

- client feedback and market analysis (e.g. Verdantix benchmark research);
- collaboration between client-facing and product steering teams;
- detailed consultation, design and planning processes;
- internal reviews during release and product lifecycles in development & testing meetings;
- team meetings and actions from;
- external reviews during release and product lifecycles:
- thorough source control and documentation practices;
- division of responsibilities between product steering, development and testing teams.
- competitor analysis;
- conduct & review industry surveys;
- FM, Workplace & PPP industry events and conferences (to gather information for potential selective implementation)

To ensure that QFM and P3rform remain a market leading solution these systems shall be continually improved through obtaining and reviewing client feedback, implementing company-wide initiatives and seeking the advice of independent consultants.

Project Implementation and Training

SWG aspires to deliver its project implementation, training, installations and site visits to the highest standards of professionalism and a client's specific needs and requirements, therefore:

- Employees shall ensure that the requirements and timescales of each project shall be agreed in writing in advance and complied with as far as possible;
- A client shall be informed of any delay or proposed variation to the implementation of a project as soon as the company becomes aware;
- SWG commits to maintaining a group of staff who are able to provide training and have a comprehensive knowledge of QFM and P3rform and an understanding of facilities and workplace management best practice.

Technical Support

The company shall maintain the necessary skills, resources and know-how to meet its obligations.

The company shall review the performance of its support service through recording and monitoring the progress of support queries and through obtaining client feedback.

Client Management

SWG aims to achieve open and mutually beneficial relationships with all its clients. The company shall regularly review its policies, practices and standard contractual terms to achieve this objective. SWG wants each client to benefit from the greatest possible return from their investment in SWG products and services. It is the responsibility of the account management team to ensure that these aims are met.

Gary Watkins
CEO

4 Information Security Policy & Objectives

Objective

The objective of this Information Security Policy is to ensure business continuity and minimise the business risk by preventing and minimising the impact of security incidents.

Policy

- The purpose of this Policy is to protect the information assets from all threats, whether internal or external, deliberate or accidental.
- The Directors of SWG have approved the Information Security Policy.
- It is the Policy of SWG to ensure that:
 - Information will be protected against unauthorised access
 - Confidentiality of information will be assured; information is accessible only to those authorised to have access
 - Integrity of information will be maintained, safeguarding the accuracy & completeness of information & processing methods
 - Availability of information is ensured as required by the business processes
 - Regulatory and legislative requirements will be met
 - Business Continuity plans will be produced, maintained and tested
 - Information security training will be available to all employees
 - All breaches of information security, actual or suspected, will be reported to, and investigated by Senior Management.
- Procedures exist to support the policy.
- Business requirements for the availability of information and information systems will be met.
- All Managers are directly responsible for implementing the Policy within their business areas, and for adherence by their employees.
- It is the responsibility of each member of staff to adhere to the Policy and to report security incidents and potential security breaches promptly.

6 Authority and Responsibilities

6.1 Senior Management Team

6.1.1 Members

- CEO
- Finance Director
- COO
- Client Services Director
- IT Operations & Support Director
- CTO
- Strategy Director
- International General Manager

6.1.2 Responsibilities

- Daily responsibilities for general aspects of SWG business.
- Implementing the overall direction and strategy of the company in accordance with specified strategic goals and objectives.
- Promoting a high quality ethos within the company.
- Ensure the structures and resource needs of the company are consistent with the requirements of ISO 9001:2015 and ISO 27001:2013.

6.1 Quality Management Group

6.2.1 Members

- IT Operations & Support Director
- CTO
- Strategy Director
- Client Services Director
- Support Team Lead
- Senior Infrastructure Executive

6.2.2 Responsibilities

- Daily responsibilities for general aspects of SWG business.
- Implementing the overall direction and strategy of the company in accordance with specified strategic goals and objectives.
- Formulating the Quality Policy including defining quality objectives and communicating all quality aspects on an internal level.
- Promoting a high quality ethos within the company.
- Ensure the structures and resource needs of the company are consistent with the requirements of ISO 9001:2015.
- Ensure the successful operation of SIMS

6.3 Information Security Group

6.3.1 Members

- IT Operations & Support Director
- Support Team Lead
- Senior Infrastructure Executive
- Strategy Director
- CTO

6.3.2 Responsibilities

- Daily responsibilities for all aspects of Information Security within the SWG business.
- Implementing the overall direction and strategy of the company in accordance with specified strategic goals and objectives.
- Formulating the Information Security Policy including defining objectives and communicating all Information Security aspects on an internal level.
- Promoting an ethos of Information Security within the company.
- Ensure the structures and resource needs of the company are consistent with the requirements of ISO 27001:2013.
- Ensure the successful operation of SIMS.

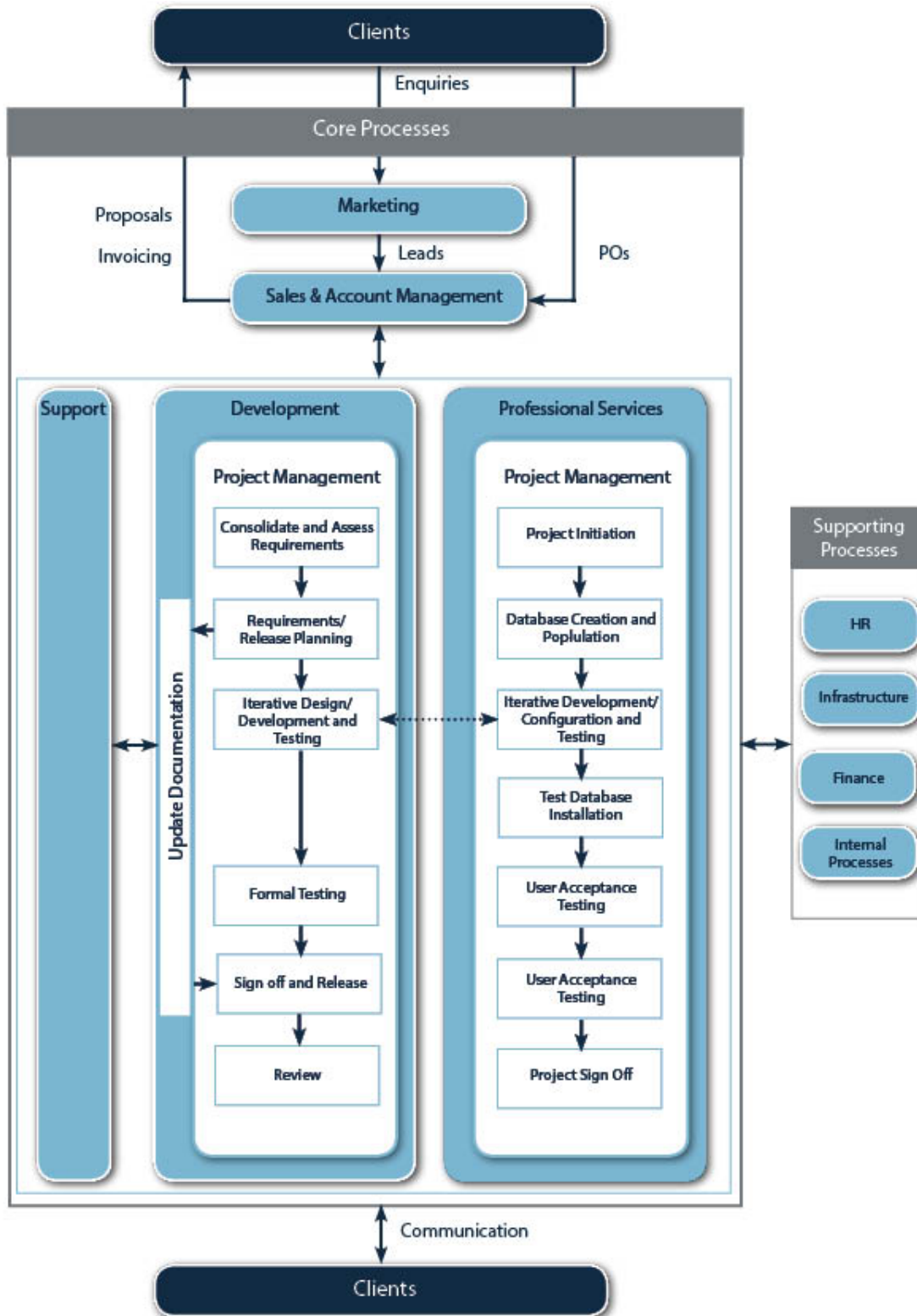
6.4 Information Security Officer

6.4.1 Responsibilities

- Lead the Information Security Group
- Overall responsibility for ISO 27001:2013 compliance
- Monitoring, logging and monitoring of security related incidents through to resolution
- Daily responsibilities for operational, infrastructure, access control, physical and environmental security
- Regulatory compliance and reporting of security incidents to ISO
- Daily responsibilities for all aspects of data security

7 Processes

SWG is responsible for the planning and delivery of its services. The company works closely with its partner suppliers and clients to satisfy mutual requirements. The flowchart shown below illustrates the interaction of the core business processes.



7.1 Core Processes

Marketing - Marketing has responsibility for contributing to company growth and profitability by growing revenue, increasing market share and aiding client retention. This is done through a variety of activities, including proactive lead generation (in a number of forms), client communication, product marketing website management, social media and online presence, competitor analysis, events (i.e. webinars, user groups, conferences), trade shows, surveys, above and below the line advertising and product literature. In addition, the marketing department has overall responsibility for the company image, branding and intellectual property.

Sales & Account Management - Sales ensure that potential new business opportunities are handled so as to maximise the potential of winning the deals which will deliver profitable sales and good ongoing client relationships. Due care should be taken that proportional effort is expended based on the quality size and potential timescale of the opportunity. Account Management ensures that accounts are managed so as to optimise the client satisfaction and long term profitability.

Development - The Development Management Process within SWG can be divided into the sections below. Dependent on the type of development (see above) some of these items are optional and may be deemed unnecessary.

Professional Services - Our team of Project Managers plan organise and manage resources to bring about the successful completion of specific project goals and objectives within time, scope and budget. Quality is closely monitored by the Project Managers throughout each stage of the project.

Support - This is available to clients as part of their owning Product Support. Their role is to ensure satisfactory performance of the installed software.

7.1.1 Development Process

Project Management

- Ensure all requirements are properly managed in Jira/VSTS.
- Ensure requirements have sufficient clarity to be able to be estimated.
- To ensure that resources are working on plan.
- To ensure there is visibility of project progress.
- To ensure timely resolution of issues.
- To manage risks of project success.

Consolidate and Assess Requirement

- Document requirements in order to give visibility
- Gain an understanding of the various outstanding requirements
- Assess the requirements for feasibility, complexity and likely effort required
- Produce high level suggested phasing

Requirements/Release Planning

- Review the backlog of proposed development in order to determine the outline shape of the development program. This takes account of business priorities, complexity, effort, available skills and dependencies.
- Define areas of responsibility/resources for development.
- Initiate any clarifications or future quantification analysis that may be required to asset certain aspects.
- Get visibility of planned activity by release versus resources available.
- Communicate to the business what is proposed for release(s).

Iterative Design/Development and Testing

- Further clarify/refine requirements and estimates to a point where they may be started.
- Define more granular Work Breakdown Structure (WBS) with reference to the relevant development and testing resources.

- Sprint Planning.
- Produce and test agreed functionality sprint by sprint.
- Get visibility of issues arising and take any remedial actions that may be required including reviewing commitments, adjustment to expectations, etc.
- Review and assess any new requirements that may have surfaced and adjust Sprints accordingly

Formal Testing

- Verify that formal release candidate meets functional objectives.
- Verify that formal release candidate has not introduced disturbance into the system.

Sign off and Release

- Review the status of Jira/VSTS issues (including stories, development tasks, etc.) marked for the release to ensure that all have been either completed or deferred.
- Review and assess all unresolved issues marked as 'Known Issues' to accept that they are acceptable and unlikely to cause material impact to clients.

Review

- Obtain structured feedback from all parties involved in the development and testing in order to quantify how well the development went, to assess if things are improving over previous release and to get constructive feedback on what might be done better in future.

A full description of the above can be found in SIMSP - Professional Services - Project Management & Control

7.1.2 Professional Services Processes

Project Management

Project Initiation

- Handover meeting with Sales to gain an understanding of system requirements
- Gain an understanding of the system requirements
- Provide an estimate for the project (if not already known)
- Obtain client approval to continue with the project

Database Creation and Population

- Build the database to requirements

Iterative Development/Configuration and Testing (If required)

Test Database Installation

- Provide a test copy of the client database for testing purposes.
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User Acceptance Testing

- To obtain project sign-off from client

Live Database Installation

- Provide a live copy of the client database.
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7.1.3 Support

Case Management

- To ensure that the CRM cases are created and updated correctly in a timely fashion
- To ensure that there are corresponding Jiras set up where help is required from third line technical support.
- To ensure that this procedure is followed once it is established that third line technical support is required and a Jira is set up

- To ensure correct communication to the client in order to keep them abreast of developments and to set the right level of expectation

Portal Access Management

- To ensure that appropriate client contacts are provided with access to SWG's online client portal for online case logging and management