

Quality Management System Manual

MN-QMSMAN

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Document History

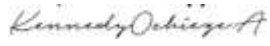
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Details

This document describes Management directives for various security controls exercised to achieve a wholesome Information Security Management System (ISMS) at SHL. Its content is available to the concerned employees of SHL and relevant interested parties, including suppliers; with Management approval.

Mode of distribution will be through the common folder structure owned by the PISC. This document is controlled through its version number.

Approval

Name	Position	Signature	Date
Ochieze Kennedy	Head Infrastructure and Technology Support		28-Nov-2023

Udo Ngele	Chief Information Security Officer		28-Nov-2023
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Contents

Note of Confidentiality	4
1.0 QUALITY POLICY STATEMENT.....	7
2.0 QUALITY OBJECTIVES.....	7
3.0 SCOPE.....	7
3.1 About SHL.....	7
3.2 SHL Products.....	7
3.3 Company Location	7
3.4 Scope of Quality Management System	7
4.0 SECTION 2: NORMATIVE REFERENCES.....	8
5.0 SECTION 3: TERMS AND DEFINITIONS.....	8
6.0 SECTION 4: GENERAL REQUIREMENT.....	10
7.0 SECTION 5: MANAGEMENT RESPONSIBILITY	17
7.1 Management Commitment	17
7.2 Quality Policy	17
7.3 Organizational Roles, Responsibility and Authorities.....	18
8.0 SECTION 6: MANAGEMENT OF RISKS AND QUALITY OBJECTIVES.....	18
8.1 Risk Management	18
8.2 Quality Objective	19
8.3 Planning Of Changes.....	20
9.0 SECTION 7: SUPPORT	20
9.1 Resource	20
9.2 Competence	22
9.3 Awareness	23
9.4 Communication	23
9.5 Documented Information	24
10.0 SECTION 8: OPERATION	25
10.1 Operational Planning	25
10.2 Requirement for products and services	26
10.4 Control of externally provided processes, products and services	29
10.5 Production and Service Provision	30
10.6 Release of Products and Services	31
10.7 Control of Nonconforming Output	32
11.0 SECTION 9: PERFORMANCE EVALUATION	33
11.1 Monitoring, Measurement, Analysis And Evaluation.....	33
11.2 Internal Audit	34
11.3 Management Review	35
12.0 SECTION 10: IMPROVEMENT.....	35
12.1 General	35

12.2 Nonconformity and Corrective Action 36
12.3 Continual Improvement 36

1.0 QUALITY POLICY STATEMENT

In providing simple, yet exceptional financial service solutions, we strive to delight our customers by continually improving our processes of delivering Qualitative e-Payment, Financial and Human Capital Management Software solutions.

2.0 QUALITY OBJECTIVES

- To provide simple yet exceptional financial service solutions.
- To delight our customers
- To deliver Qualitative e-Payment, Financial & Human Capital Management Software solutions.

3.0 SCOPE

3.1 About SHL

Founded in 1991, SHL is a software house with a focus on providing the most qualitative Human Capital Management and Financial software solutions for the Nigerian and African market. SHL offers applications that focus on the core aspects of your business.

Vision: To be the software institution of reference in Africa

Mission: “To be the leading provider of qualitative e-payment, Financial and Human Resource Management Software Solution to descending clients in the Nigerian and larger African market.”

Our Values

- Dependence on God for success o Ethics and integrity in business.
- True friendship with our customers
- Open family based relationship at work
- Respect for our neighborhood and our people
- Diligence in our work that we may stand before kings

3.2 SHL Products

- SunSystems

3.3 Company Location

SHL is located at Plot B22 Chief Yesufu Road Oniru Lagos

3.4 Scope of Quality Management System

The quality management system covers design, development, maintenance and support of financial services and human capital software solutions

No Section of ISO 9001:2015 requirements have been excluded.

4.0 SECTION 2: NORMATIVE REFERENCES

- ISO 9000:2015 - Quality Management System– Fundamentals and vocabulary
- ISO 9001:2015 - Quality Management System– Requirements

5.0 SECTION 3: TERMS AND DEFINITIONS

Terms used in this manual are in conformity with terms and definitions in ISO 9000:2015 Quality Management System – Fundamentals and vocabulary. In addition the following definitions are specific to our organizational use:

Word	Definition
Calibration	A special approval that is granted to release a non-conforming product to be used.
Concession	A way of providing confidence in the decisions that is based on measurement using equipment.
Customer Focus	Attracting new customers, pleasing and keeping them
Document	An official paper or book that gives information of something or evidence of activities
Documented Procedure	A procedure that is established, documented, implemented and maintained
Input	Any material/idea/information used in a given process.
Non-conformance	Deviations from the standard
Out-put	Results of a specified and planned action to be achieved within a given period.
Out-sourced process	Process needed for the QMS and which performed by an external party
Process	A process uses resources to transform inputs into outputs. Inputs are turned into out puts when an operation or function is performed or work is carried out.

Product	Electronic Payment solutions, and e-payment schemes
Product characteristics	A product characteristic is a property or quality that a product must have
Policy	Procedure on how tasks are done or issues are governed (interuseable with standard operating procedures)
Quality Assurance	Part of quality management focused on providing confidence that quality requirement will be fulfilled
QMS	Quality Management System
Quality Manual	This document
Shall	A requirement that must be fulfilled
Standard	Benchmark for a given process/step/item
Supplier	Provider of goods or services
The Organization	SHL, Lagos

6.0 SECTION 4: GENERAL REQUIREMENT

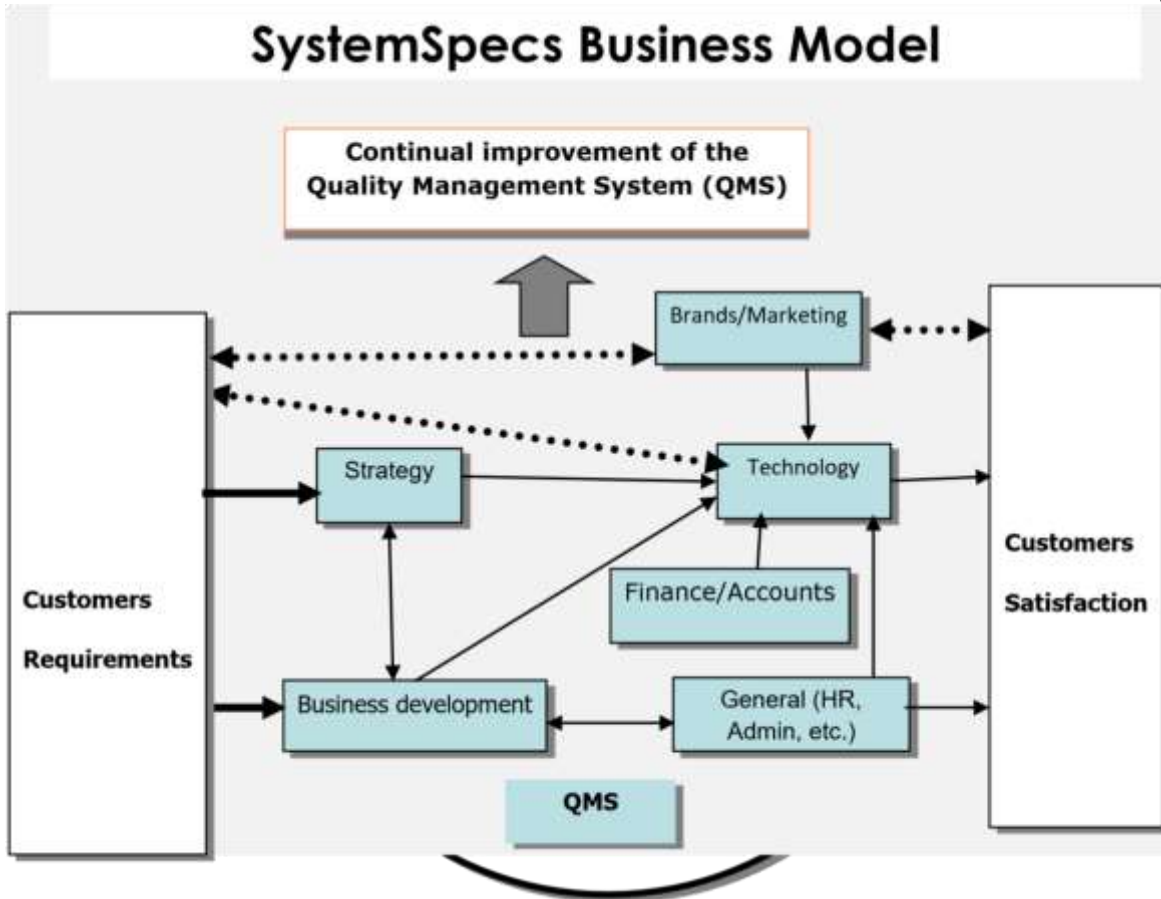
6.1 General Requirement

SHL has established a documented quality management system (QMS) in accordance with ISO 9001:2015 requirements. The organization is committed to the QMS implementation, maintenance and continual improvement of its effectiveness. Accordingly the organization:

a) Determines the processes needed for the quality management system and their application throughout the organization as shown below in:

- Corporate Governance
- Complaint Management
- Customer Satisfaction
- Technical Support
- Infrastructure Management
- Settlement and Reconciliation
- Internal audit
- Development of software
- Deployment of software
- Training on software usage
- Implementation of software
- Software Quality Assurance
- Management of IT infrastructure
- Market/Product development
- Market analysis
- Competitor analysis
- Pricing
- Market Monitoring
- Sales & Marketing of products
- Relationship Management
- Management reporting
- Budget and budget control
- First level support
- Customer needs analysis
- Strategy Development
- Research & development
- Bank Relationship Management
- Product design & Review
- Financial management
- Generation of management report
- Proper recording of financial report
- Cost management
- Financial transaction processing
- Variance reporting
- Budget and budget control
- Implementation of financial control policies and procedures
- Operation of payroll
- Staff Recruitment
- Staff Induction
- Staff Appraisal
- Staff Confirmation
- Payroll Management
- Staff Training

- Staff Redeployment
- Staff Loan Management
- Staff Disengagement
- Internal communication
- Management review
- Purchasing
- Documentation
- Records management
- Resource management



- b) Determines the sequence of interaction of these processes as shown in the Model above. Each department maintains an adequate communication linkage with departments that they make direct contacts with.

These operational interface is listed in the individual departmental process manual.

In addition;

The office of the Managing Director/Group Chief Executive Officer is responsible for:

- General coordination of the Group operations

- Reporting to the Organization's board on the activities.
- Business Development

The Accounts Department is responsible for:

- Financial management
- Variance reporting
- Generation of management report
- Budget and budget control
- Proper recording of financial Transaction
- Implementation of financial control policies
- Cost management and procedures
- Financial transaction processing
- Operation of payroll

The Human Resources Department is responsible for:

- Staff Recruitment
- Staff Appraisal
- Staff Induction
- Staff Confirmation
- Payroll Management
- Staff Training
- Staff Redeployment
- Staff Loan Management
- Staff Disengagement
- Manage Staff Related Correspondence

The Operations Department is responsible for:

- Customer Needs Assessment
- Customer Complaint Management
- Customer Satisfaction Survey
- Technical Support
- Settlement and Reconciliation
- Card Printing – In-house
- Card Printing – Third Party
- Merchant Setup

The Technology Department is responsible for:

- Requirement definition
- Requirement analysis

- Design
- Development
- System Testing
- System documentation
- User acceptance testing
- User manual development
- Deployment
- Training
- Software Quality Assurance
- Sales & Marketing of products

The Strategy and New Business Department is responsible for:

- Strategy Development
- Research & development
- Bank Relationship Management
- Product design & Review

The Risk and Compliance Unit is responsible for:

- Policy formulation
 - Policy enforcement
 - Policy review
 - Internal Audit and Management
 - Project Management
- c) Determines criteria and methods needed to ensure that both operation and control of processes are effective.
- d) Ensures availability of both human and material resources based on the operations model and provides relevant information through various means to support operations and monitoring of our processes. Each department's Process Manual identifies processes they have ownership of and also indicates the department organizational structure or lists the key jobs.
- e) Monitors, measures (where applicable) and analyses processes using appropriate techniques. The performance measures of key processes are captured in process manuals
- f) Implements actions necessary to achieve planned results and continual improvement of our processes.

SHL manages its processes to achieve conformance with the requirements of ISO 9001:2015 Quality Management System.

Any outsourced process is controlled to ensure that customer requirements are met and our system integrity maintained.

SHL employs a wide range of professionals who are competent to perform work associated with the technology driven system we operate.

6.2 Documentation Requirements

6.2.1 General

SHL has developed and maintains a Quality Management System according to ISO 9001:2015 standard requirements. The structure of documentation is as defined below:

- a)** Documented statements of a quality policy and quality objectives - The quality policy is stated in the Quality manual and is further communicated using other media.
- b)** A Quality Manual - The quality manual contains the SHL' Quality Policy, Quality Objectives and also identifies the processes needed for the quality management system and their application. In addition

to the Quality manual, each department maintains a process manual that further details how the department runs and its various interfaces.

c) Documented procedures and records required by ISO 9001:2015 standard: The following documented procedures have been established and maintained:

- Control of Documents • Internal Quality Audits
- Control of Records • Corrective Actions
- Control of Non-Conforming Products/Service • Preventive Actions

Various records required by ISO 9001:2015 as evidence of conformity are being maintained.

d) Process Documents including records: These include our Standard Operating Procedures, forms, records and other work instructions that enable SHL to ensure the effective planning, operations and control of our processes. A list of these Process Documents is maintained and reviewed as changes occur. Records are kept both as hard and soft copies- computer based records.

6.2.2 Quality Manual

SHL has established and maintains a Quality Manual – QMM-003-01.

- a) The Quality Manual describes the scope of the organization's Quality Management System (QMS) and gives direction to our QMS and guidance on its effective implementation. No part of the ISO 9001:2015 requirements has been excluded.
- b) The Quality Manual provides an overview of the QMS and the interaction of the processes that constitutes the QMS. References are made to the procedures used in implementing our QMS. The outputs of processes of the QMS are identified to aid performance monitoring and measurement.
- c) The Quality Manual also gives a description of the interaction between the processes of the QMS (business model diagram).
- d) As need arises the Quality Manual is updated, reviewed and re-approved for use.

6.2.3 Control Of Documents

Our quality management system documents are controlled using a documented procedure: The controls include those:

- a) To approve documents for adequacy prior to use.
- b) To review and update as necessary and re-approve documents.
- c) To ensure that changes and the current revision status of documents are identified.
- d) To ensure that the relevant versions of applicable documents are available at the point of use.
- e) To ensure that documents remain legible and readily identifiable.
- f) To ensure that documents of external origin that are necessary for planning and operation (affect our QMS) are identified and their distribution controlled.

- g) To prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

6.2.4 Control of Records

SHL has established a documented procedure - Control of Records, which defines the controls for identification, storage, protection, retrieval, retention and disposition of records. The organization records have been established to provide evidence of conformity to requirements and of the effective operation of the quality management system. Records are controlled to ensure they remain legible, readily identifiable and retrievable.

Process Out-Put

- Quality Objectives
- Quality Manual
- Standard Operating Procedures
- Organizational Chart
- Work Instructions, Monographs, Reference Books, etc
- Quality Policy
- Records

7.0 SECTION 5: MANAGEMENT RESPONSIBILITY

7.1 Management Commitment

Top management of SHL shall demonstrate leadership and commitment with respect to the quality management system through;

General responsibilities:

1. Taking accountability for the effectiveness of the quality management system;
2. Ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the context and strategic direction of the organization;
3. Ensuring the integration of the quality management system requirements into the organization's business processes
4. Promoting the use of the process approach and risk-based thinking;
5. Ensuring that the resources needed for the quality management system are available;
6. Communicating the importance of effective quality management and of conforming to the quality management system requirements;
7. Ensuring that the quality management system achieves its intended results;
8. Engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;
9. Promoting improvement;
10. Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

Top management of SHL shall demonstrate leadership and commitment with respect to customer focus by:

1. Customer requirements are determined, understood and consistently met;
2. Applicable statutory and regulatory requirements are determined, understood and consistently met;
3. The risks and opportunities that can affect conformity of products and services;
4. Ability to enhance customer satisfaction are determined and addressed and maintaining to focus for enhancing customer satisfaction.

7.2 Quality Policy

Top management of SHL shall established, implemented and maintained a quality policy that:

1. Is appropriate to the purpose and context of the organization and supports its strategic direction;
2. Provides a framework for setting quality objectives
3. Includes a commitment to satisfy applicable requirements
4. Includes a commitment to continual improvement of the quality management system.

The Quality Policy statement of SHL is: **“In providing simple, yet exceptional financial service solutions, we strive to delight our customers by continually improving our processes of delivering Qualitative e-Payment, Financial and Human Capital Management Software solutions.”**

This quality policy shall be:

1. Maintained as documented information; and controlled through clause 7.5 Documented Information of this Quality Manual
2. Communicated, understood and applied within the organization; through clause 7.3 Awareness of this Quality Manual
3. Available to relevant interested parties, as appropriate.

7.3 Organizational Roles, Responsibility and Authorities

Top management of SHL shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization. Top management of SHL shall assign the responsibility and authority for executing the below tasks:

1. Responsibility: ensuring that the quality management system conforms to the requirements of ISO 9001 Standard.
2. Responsibility: ensuring that the processes are delivering their intended outputs.
3. Responsibility: Reporting on the performance of the quality management system.
4. Responsibility: Reporting on opportunities for improvement (see 10.1), in particular to top management of SHL.
5. Responsibility: ensuring the promotion of customer focus throughout SHL.
6. Responsibility: ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.

8.0 SECTION 6: MANAGEMENT OF RISKS AND QUALITY OBJECTIVES

8.1 Risk Management

When planning for the QMS, SHL had considered the issues addressed in clause 4.1 of the standard and the requirements addressed in clause 4.2 of the standard.

This also in line with the aspect described in clause 4.1 Understanding the context of the organization of this Quality Manual for SHL where the internal and external issues shall be addressed.

Therefore, determination to the risks and opportunities is needed to:

1. Give assurance that the quality management system can achieve its intended result(s);
2. Enhance desirable effects;
3. Prevent, or reduce, undesired effects;
4. Achieve improvement.

The planning of risk management has concerned on the following aspects; a)
Actions to address these risks and opportunities;

b) How to:

1. integrate and implement the actions into its QMS (according to 4.4 of the standard), and
2. evaluate the effectiveness of the actions taken. (clause 9.2.1 and 9.3.1 of the standard).

Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.

In the context of SHL, risk management shall taking into account on the following aspects:

1. Applicable legal compliance
2. Working environment (7.1.4 Environment for the operation of processes of this manual).

In conformance with clause 4.4, Quality Management System and determined processes of this Quality Manual, documented information of risk management shall be established, implemented and maintained. The requirement of Documented Information Control Procedure is followed.

The effectiveness of actions taken to address risks and opportunities shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual

8.2 Quality Objective

SHL shall established quality objectives at relevant functions, levels and processes needed for the QMS.

The quality objectives shall:

- a) Be consistent with the quality policy;
- b) Be measurable;
- c) Take into account applicable requirements;
- d) Be relevant to conformity of products and services and to enhancement of customer satisfaction; e)
Be monitored;
- f) Be communicated;
- g) Be updated as appropriate.

The planning how to achieve quality objectives, SHL shall determine:

- a) What will be done;
- b) What resources will be required;
- c) Who will be responsible;

- d) When it will be completed;
- e) How the results will be evaluated.

In conformance with clause 4.4, Quality Management System and determined processes of this Quality Manual, documented information of Quality Objectives shall be established, implemented and maintained.

The requirement of Documented Information Control Procedure is regulated.

8.3 Planning Of Changes

When SHL determines the need for changes to the QMS, the changes shall be carried out in a planned manner (according to clause 4.4.1 and 4.4.2 of the standard).

It shall consider:

- a) The purpose of the changes and their potential consequences; see clause 6.1 (Risk Management of this Quality Manual)
- b) The integrity of the quality management system; (7.5 of this Quality Manual)
- c) The availability of resources; (clause 7.1.1 of this Quality Manual)

Where the changes is applied, it shall follow according to Documented Information Control Procedure.

9.0 SECTION 7: SUPPORT

9.1 Resource

9.1.1 General

SHL shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the QMS. Determination shall include: a) The capabilities of, and constraints on, existing internal resources;

b) What needs to be obtained from external providers.

The adequacy of resources laid down in clause 7.1.2 People, 7.1.3 Infrastructure, 7.1.4 Environment for the operation of processes, 7.1.5 Monitoring and measuring resources and 7.1.6 Organizational Knowledge shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual.

9.1.2 People

SHL shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.

Determination of qualified personnel will be addressed in clause 7.2 Competence of this Quality Manual.

9.1.3 Infrastructure

SHL shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. Determination of Infrastructure within SHL is including:

- a) Buildings and associated utilities;
- b) Equipment, including hardware and software;
- c) Support Services;
- d) Information and communication technology.

All abovementioned infrastructure shall be appropriately maintained in order to facilitate towards positive outcome and to ensure the smoothness of process control as it defined in clause 8.5.1 Production control of this Quality Manual.

9.1.4 Environment for the operation of processes

SHL shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.

A suitable environment within Company can be a combination of human and physical factors, such as:

- a) Social (e.g. non-discriminatory, calm, non-confrontational);
- b) Psychological (e.g. stress-reducing, burnout prevention, emotionally protective);
- c) Physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise).

These abovementioned factors can be associated with the elements defined in section 6.1 Risk Management. The maintenance of environment is also important to ensure the smoothness of process control as it defined in clause 8.5.1 Production control of this Quality Manual.

9.1.5 Monitoring and measuring resources

SHL shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements.

Therefore, SHL will ensure that the resources provided:

- a) Are suitable for the specific type of monitoring and measurement activities being undertaken;
- b) Are maintained to ensure their continuing fitness for their purpose.

Evidence of fitness for purpose of the monitoring and measurement resources shall retain as documented information and controlled according to Documented Information Control Procedure

When measurement traceability is a requirement, or is considered by the organization to be an essential part of providing confidence in the validity of measurement results, measuring equipment shall be:

- a) calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information;
- b) Identified in order to determine their status;
- c) Safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results.

Where the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, action shall be taken in accordance with clause 8.7 Control of Nonconforming output of this Quality Manual.

9.1.6 Organizational Knowledge

SHL shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services.

This knowledge shall be maintained and be made available to the extent necessary. When addressing changing needs and trends, the organization shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates.

Organizational knowledge is knowledge specific to demonstrate conformity to positive outcome of Company scope of certification as addressed in section 4.3 of this Quality Manual.

Organizational knowledge can be gained by experience. It is information that is used and shared to achieve the organization's objectives. Organizational knowledge also can be based on:

- a) internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and sharing undocumented knowledge and experience; the results of improvements in processes, products and services);
- b) external sources (e.g. standards; academia; conferences; gathering knowledge from customers or external providers). Management of organizational knowledge will be addressed in clause 7.2 Competence of this Quality Manual.

9.2 Competence

9.2.1 Determination of competence

- a) The personnel / function competency can be determined from respective Job Description or JD. JD elaborates qualification needed for staff doing the work under their control that affects the performance and effectiveness of the quality management system.
- b) The competency of personnel is also important to ensure the smoothness of process control as it defined in clause 8.5.1 Production control of this Quality Manual
- c) Consideration of competency may associate the subjects addressed in this Quality Manual through following clause;
 - i. Clause 5.3 Organizational Roles, Responsibility and Authorities

- ii. Clause 7.1.2 People
- iii. Clause 7.1.6 Organizational Knowledge
- iv. Clause 7.3 Awareness
- v. Competency determined when issue being raised from Control of Non-Conformity Procedure

9.2.2 Maintaining the competency

- a) Job Description of key functions will describe based from education, experience and related skill.
- b) Skill of function may defined from the training attended by the staff to demonstrate appropriate expertise to provide effectiveness of QMS.
- c) Where the training is applicable, evaluation of effectiveness to measure the positive impact after the personnel attended the training.
- d) Update JD as necessary
- e) Retain appropriate documented information and comply with Documented Information Control Procedure.

9.3 Awareness

SHL shall ensure that persons doing work under the organization's control are aware of:

- a) The quality policy;
- b) Relevant quality objectives;
- c) Their contribution to the effectiveness of the quality management system, including the benefits of improved performance;
- d) The implications of not conforming to the quality management system requirements.

Where necessary, training should be conducted and process should follow according to section 7.2 Competence of this Quality Manual.

9.4 Communication

SHL shall determine the internal and external communications relevant to the quality management system, including:

- a) On what it will communicate;
- b) When to communicate;
- c) With whom to communicate;
- d) How to communicate;
- e) Who communicates;

9.4.1 Importance of Effective Communication

It is important for SHL to take into account for internal and external communication input from interested parties to ensure that message from them will be managed in proper way.

9.4.2 Communication Approach

- Who?: Employee Communication Tools: Email, Memo, CAR, Notice Board Receiver: Employee / customer / stakeholder.
- Who?: Customer Communication Tools: Email, written official letter/notice Receiver: Employee.
- Who?: Stakeholders Communication Tools: Email, written official letter/notice Receiver: Employee.

Maintenance of communication tools shall follow according to section 7.1.3 Infrastructure of this Quality Manual

The sign of fail communication may be possible cause the following cases;

- a) Complaint from customer or stakeholder
- b) Output does not able to achieve the intended result(s) of its quality management system.
- c) The process is not delivering their intended outputs;

Where appropriate, the problem solving should follow according to Control of Non-Conformity Procedure and Corrective Action Procedure.

9.5 Documented Information

Top Management of SHL shall ensure the quality management system shall include:

- a) documented information required by ISO 9001:2015;
- b) documented information determined by SHL as being necessary for the effectiveness of the quality management system.

Therefore, SHL has determined the necessary documented information to be applied within the organization as follows;

Management Document

- Quality Policy
- Quality Objectives

Resources

- Monitoring & measurement document
- Competency document

Operation

- Planning document
- Service requirement review
- Control of external provider
- Process control document
- Identification & traceability

Customer property document
Process changed document
Release of product Nonconformity

Design and development

Design input
Design control
Design output
Design change

Monitoring and evaluation

Performance monitoring
Internal audit
Management review

Improvement

Nonconformity
Corrective action

Control of documented information shall follow according to Documented Information Control Procedure.

10.0 SECTION 8: OPERATION

10.1 Operational Planning

SHL shall plan, implement and control the processes;

- a) As defined in clause 6.4 Quality Management System and determined processes of this Quality Manual that needed to meet the requirements for the provision of scope of which SHL being certified
- b) To implement the actions determined in clause 8 of this Quality Manual (Management of Risks and Quality Objectives), by following table;

QMS PLANNING TABLE

Description:

- a) Determining the requirements for the products and services Realization: Refer to clause 10.2. Requirement for products and services of this Quality Manual.
- b) Establishing criteria for:
 - 1) the processes;
 - 2) the acceptance of products and services
- c) Implementing control of the processes in accordance with the criteria Realization:
 - 1) Business Process Mapping to overview the process criteria
 - 2) Clause 8.4 Control of externally provided processes, products and services of Quality Manual for purchasing activities or if outsourced process is applicable

- 3) Clause 8.5.1 Production control of this Quality Manual for operational control process, and
 - 4) Clause 8.6 Release of products and services of this Quality Manual for handing over process.
- d) Determining the resources needed to achieve conformity to the product and service requirements Realization: Refer to;
- 1) Clause 7.1 Resource of this Quality Manual
 - 2) If outsourced processes or external provided process are applied, clause 8.4 Control of externally provided processes, products and services of this Quality Manual shall be referred.
- e) Determining and keeping documented information to the extent necessary:
- 1) To have confidence that the processes have been carried out as planned;
 - 2) To demonstrate the conformity of products and services to their requirements. Realization: Control of documented information shall according to clause 9.5 Documented Information.

All above mentioned activity shall be maintained in order to ensure;

1. The output of this planning remain suitable for Company's operations.
2. Ability of the planning adequately controlled and consequences of unintended changed can be reviewed so that action can be taken to mitigate any adverse effects, as necessary.

10.2 Requirement for products and services

10.2.1 Customer Communication

Communication with customers shall follow according to clause 9.4 Communication of this Quality Manual in order to ensure the smoothness of the following process

- a) Providing information relating to products and services; during tendering / bidding process
- b) Handling enquiries, contracts or orders, including changes;
- c) Obtaining customer feedback relating to products and services, whenever receive complaints from customer solution process shall follow according to clause 10.2

Nonconformity and corrective action of this Quality Manual

- d) Handling or controlling customer property, if applicable.
- e) Establishing specific requirements for contingency actions, when relevant.

10.2.2 Determining the requirements related to products and services

When determining the requirements for the products and services to be offered to customers, the designated person shall ensure that:

1. The requirements for the products and services as defined in the Contract Document, including:
2. Any applicable statutory and regulatory requirements;
3. Those considered necessary by the SHL;

The organization can meet the claims for the products and services it offers as defined in the contract document.

10.2.3 Review of requirements related to products and services

SHL shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. SHL shall conduct a review before committing to supply products and services to a customer, to include:

Review Requirement Table

- Description of requirement: requirements specified by the customer, including the requirements for delivery and post-delivery activities; Source: Contract Document.
- Description of requirement: requirements not stated by the customer, but necessary for the specified or intended use, when known; Source: Legal Requirement.
- Description of requirement: requirements specified by the organization; Source: As per clause 8. Operation of this Quality Manual.
- Description of requirement: statutory and regulatory requirements applicable to the products and services; Source: As per contract document As per Risk Analysis.
- Description of requirement: contracts or order requirements differing from those previously expressed. Source: As per contract document.

Designated person shall ensure that contracts or order requirements differing from those previously defined are resolved. The customer's requirements shall be confirmed by the authorized person before acceptance, when it is the case of customer does not provide a documented statement of their requirements. Documented information, shall be control according to clause 9.5. Documented Information of this Quality Manual as applicable when:

- a) On the results of the review;
- b) On any new requirements for the products and services

Changes to requirements for products and services

Designated person shall ensure that relevant documented information shall follow clause 9.5 Documented Information for the amendment process.

Also, the team member shall be aware of the changed requirements, when the requirements for products and services are changed according to clause 9.4 Communication of this Quality Manual.

Where applicable, the process shall follow according to Documented Information Control Procedure.

10.3 Design and development of products and services

10.3.1 General

SHL shall establish, implement and maintain a design and development process that is appropriate to ensure the subsequent provision of products and services.

10.3.2 Design and development planning

In determining the stages and controls for design and development, SHL shall consider:

- a) The nature, duration and complexity of the design and development activities;
- b) The required process stages, including applicable design and development reviews;
- c) The required design and development verification and validation activities;
- d) The responsibilities and authorities involved in the design and development process;
- e) The internal and external resource needs for the design and development of products and services;
- f) The need to control interfaces between persons involved in the design and development process;
- g) The need for involvement of customers and users in the design and development process;
- h) The requirements for subsequent provision of products and services;
- i) The level of control expected for the design and development process by customers and other relevant interested parties;
- j) The documented information needed to demonstrate that design and development requirements have been met.

10.3.3 Design and development inputs

SHL shall determine the requirements essential for the specific types of products and services to be designed and developed. The organization shall consider:

- a) Functional and performance requirements;
- b) Information derived from previous similar design and development activities;
- c) Statutory and regulatory requirements;
- d) Standards or codes of practice that the organization has committed to implement;
- e) Potential consequences of failure due to the nature of the products and services.

Inputs shall be adequate for design and development purposes, complete and unambiguous. Conflicting design and development inputs shall be resolved. SHL shall retain documented information on design and development inputs.

10.3.4 Design and development controls

SHL shall apply controls to the design and development process to ensure that:

- a) The results to be achieved are defined;

- b) Reviews are conducted to evaluate the ability of the results of design and development to meet requirements;
- c) Verification activities are conducted to ensure that the design and development outputs meet the input requirements;
- d) Validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;
- e) Any necessary actions are taken on problems determined during the reviews, or verification and validation activities;
- f) Documented information of these activities is retained.

10.3.5 Design and development outputs

SHL shall ensure that design and development outputs:

- a) meet the input requirements;
- b) are adequate for the subsequent processes for the provision of products and services;
- c) include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria;
- d) specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.

SHL shall retain documented information on design and development outputs.

10.3.6 Design and development changes

SHL shall identify, review and control changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements. SHL shall retain documented information on:

- a) design and development changes;
- b) the results of reviews;
- c) the authorization of the changes;
- d) the actions taken to prevent adverse impacts.

10.4 Control of externally provided processes, products and services

SHL shall ensure that externally provided processes, products and services or commonly known as purchasing process conform to requirements.

Control of externally provided process are including

- a) Determination of purchasing control including selection, evaluation, re-evaluation and monitoring of external provider (supplier);
- b) Type and extent of control of purchasing process;

- c) Effective communication to external provider or supplier.

10.5 Production and Service Provision

10.5.1 Production control

SHL shall implement production and service provision under controlled conditions. Controlled conditions of process control is as follows:

Process Control Table

1. Description:

- a) the availability of documented information that defines:
 - 1. the characteristics of the products to be produced, the services to be provided, or the activities
 - 2. be performed;
 - 3. the results to be achieved; Reference: Process Control Procedure
- b) the availability and use of suitable monitoring and measuring resources; Reference: Process Control Procedure and clause 7.1.5 Monitoring and measuring resources
- c) the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met; Reference: Process Control Procedure
- d) the use of suitable infrastructure and environment for the operation of processes; Reference: Refer to; 7.1.3 Infrastructure 7.1.4 Environment for the operation of processes
- e) the appointment of competent persons, including any required qualification; Reference: Refer to; 7.2 Competence
- f) the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement; Reference: Process Control Procedure
- g) the implementation of actions to prevent human error; Reference: Risk Analysis Nonconformance and Corrective Action
- h) the implementation of release, delivery and post-delivery activities. Reference: Process Control Procedure

10.5.2 Identification and traceability

SHL shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services. That is including the control of;

- 1. Identification of status of outputs with respect to monitoring and measurement requirements throughout production and service provision as defined in 8.5.1 Production control

2. The unique identification of the outputs when traceability is a requirements through the process defined in clause 8.2.2 Determining the requirements related to products and services and clause 8.2.3 Review of requirements related to products and services of this Quality Manual. To maintain the identification and traceability by retaining the documented information according to Documented Information Control Procedure.

10.5.3 Property belonging to customers or external providers

SHL shall exercise care with property belonging to customers or external providers while it is under the organization's control or being used by the organization. SHL shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services. When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, the designated personnel shall report this to the customer or external provider and retain documented information on what has occurred.

10.5.4 Preservation

SHL shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.

10.5.5 Post-delivery activities

SHL shall meet requirements for post-delivery activities associated with the products and services. In determining the extent of post-delivery activities that are required, consideration has been made through below information:

Description:

- a. statutory and regulatory requirements Reference: Legal Register
- b. the potential undesired consequences associated with its products and services. Reference: Risk Analysis and Clause 8.7 Control of Nonconforming output of this Quality Manual
- c. the nature, use and intended lifetime of its products and services. Reference: Warranty claim, claimable period
- d. customer requirements. Reference: Refer to clause 8.2.2 Determining the requirements related to products and services
- e. customer feedback. Reference: Refer to Quality Manual;
 1. Clause 8.2.1 Customer communication
 2. Clause 9.1.2 Customer satisfaction
 3. Clause 10.2 Nonconformity and corrective action.

10.5.6 Control of changes

SHL shall review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements. SHL shall retain documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review. Where the changes are applied, Documented Information Control Procedure must follow to comply.

10.6 Release of Products and Services

SHL shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met. The release of products and services to the customer shall not proceed until the planned arrangements have been satisfactorily completed in accordance with clause 8.5.1 Production control of this Quality Manual. Any abnormality which does not meet with requirement from

customer, resolution should be made through clause 8.7 Control of Nonconforming output of this Quality Manual where, the product only can be released unless obtained approval by a determined authority and, as applicable, by the customer. The record of released product shall be retained as documented information in accordance with Documented Information

Control Procedure to ensure;

- a) Evidence of conformity with the acceptance criteria;
- b) Traceability to the person(s) authorizing the release.

10.7 Control of Nonconforming Output

SHL shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

SHL shall take appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This shall also apply to nonconforming products and services detected after delivery of products, during or after the provision of services. The ways of dealing with nonconforming outputs must be according to one or more of the following measures:

- a) Correction;
- b) Segregation, containment, return or suspension of provision of products and services;
- c) Informing the customer;
- d) Obtaining authorization for acceptance under concession. Conformity to the requirements shall be verified when nonconforming outputs are corrected.

SHL shall retain documented information that:

- a. Describes the nonconformity;
- b. describes the actions taken;
- c. describes any concessions obtained;

identifies the authority deciding the action in respect of the nonconformity Control of nonconforming outputs shall follow according to Control of Non-Conformity Procedure Information on nonconformities shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual.

11.0 SECTION 9: PERFORMANCE EVALUATION

11.1 Monitoring, Measurement, Analysis And Evaluation

11.1.1 General SHL shall

Determine:

- a) What needs to be monitored and measured;
- b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
- c) when the monitoring and measuring shall be performed;
- d) when the results from monitoring and measurement shall be analysed and evaluated.

Evaluate the performance and the effectiveness of the quality management system.

Retain appropriate documented information as evidence of the results according to Documented Information Control Procedure.

11.1.2 Customer satisfaction

SHL shall monitor customers' perceptions of the degree to which their needs and expectations have been fulfilled.

SHL shall determine the methods for obtaining, monitoring and reviewing this information. Method of evaluation should refer to clause 9.1.3 Analysis and evaluation of this Quality Manual result of monitoring activity shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual.

11.1.3 Analysis and evaluation

SHL shall analyse and evaluate appropriate data and information arising from monitoring and measurement. The results of analysis shall be used in accordance with below table;

EVALUATION ANALYSIS WHAT METHOD OF MONITORING & EVALUATION FREQUENCY OF MONITORING (DATA COLLECTION) FREQUENCY OF ANALYSIS ON RESULT

- a) Conformity of products and services; KPI monthly or quarterly
- b) Customer satisfaction: Customer Satisfaction evaluation annually.
- c) Performance and effectiveness of the quality management system: KPI monthly or quarterly
- d) Effectiveness of quality management system planning Internal Audit annually or bi-annual

e) The effectiveness of actions taken to address risks and opportunities;

1. Internal Audit;
2. Clause 10.2 Nonconformity and corrective action: annually, monthly or quarterly

f) The performance of external providers; Supplier evaluation: annual

g) Needs for improvements to the quality management system. Management Review annually. Result of analysis and evaluation shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual

11.2 Internal Audit

SHL shall conduct internal audits at least by annually to provide information on whether the quality management system:

a) conforms to

- 1) SHL` own requirements for its quality management system;
- 2) the requirements of ISO 9001:2015;

b) Is effectively implemented and maintained. Execution of internal audit shall include;

i) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting the organization, and the results of previous audits; ii) define the audit criteria and scope for each audit;

iii) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;

iv) ensure that the results of the audits are reported to relevant management;

v) take appropriate correction and corrective actions without undue delay

vi) retain documented information as evidence of the implementation of the audit programme and the audit results. Details of internal audit activities shall follow according to Internal Audit Procedure Result of internal audit activity shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual.

11.3 Management Review

11.3.1 General

Top management of SHL shall review the organization's quality management system, at least annually, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of Company.

11.3.2 Management Review Inputs

The management of SHL review shall be planned and carried out taking into consideration:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the quality management system;
- c) information on the performance and effectiveness of the quality management system, including trends in:
 1. customer satisfaction and feedback from relevant interested parties;
 2. the extent to which quality objectives have been met;
 3. process performance and conformity of products and services;
 4. nonconformities and corrective actions;
 5. monitoring and measurement results;
 6. audit results;
 7. the performance of external providers;
 - i. the adequacy of resources;
 - ii. the effectiveness of actions taken to address risks and opportunities (see 6.1);
 - iii. opportunities for improvement.

11.3.3 Management Review Outputs

The outputs of the management review shall include decisions and actions related to:

- a) Opportunities for improvement;
- b) Any need for changes to the quality management system;
- c) Resource needs. Documented information of Management Review outputs shall be retained as an evidence of the results of management reviews.

12.0 SECTION 10: IMPROVEMENT

12.1 General

SHL shall determine and select opportunities for improvement and implement any necessary actions to meet customer requirements and enhance customer satisfaction. These shall include:

- a) Improving products and services to meet requirements as well as to address future needs and expectations;

- b) Correcting, preventing or reducing undesired effects;
- c) Improving the performance and effectiveness of the quality management system.

The input of opportunity for improvement shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual.

12.2 Nonconformity and Corrective Action

When a nonconformity occurs, including any arising from complaints, the designated personnel shall:

- a) React to the nonconformity and, as applicable:
 - 1. Take action to control and correct it;
 - 2. deal with the consequences;
- b) Evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:
 - 1. Reviewing and analyzing the nonconformity;
 - 2. Determining the causes of the nonconformity;
 - 3. Determining if similar nonconformities exist, or could potentially occur;
- c) Implement any action needed;
- d) Review the effectiveness of any corrective action taken;
- e) Update risks and opportunities determined during planning, if necessary;
- f) Make changes to the quality management system, if necessary. Corrective actions shall be appropriate to the effects of the nonconformities encountered. Shall retain documented information as evidence of:
 - i. The nature of the nonconformities and any subsequent actions taken;
 - ii. The results of any corrective action.

Details of step measures for taking action on nonconformity shall follow according to Corrective Action Procedure Information on nonconformities and corrective action shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual.

12.3 Continual Improvement

SHL shall continually improve the suitability, adequacy and effectiveness of the quality management system. The consideration shall be taken based from following inputs

- a) Results of analysis and evaluation as defined in clause 9.1.3 Analysis and evaluation of this Quality Manual, and
- b) The outputs from management review as defined in clause 9.3.3 Management Review Outputs.

Based from inputs from the abovementioned, top management of SHL has to determine if there are needs or opportunities that shall be addressed as part of continual improvement. The input of opportunity for improvement shall be reviewed by top management of SHL as it required by clause 9.3 Management Review of this Quality Manual.