Quality Assurance Procedure

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Version: 1.3

neurealm

Document History

Date	Version	Summary of Changes	Author	Approved By
30-May-2023	1.0	Initial Version	Chandra	Sekar T
22-Apr-2024	1.1	Revisit of Document	Chandra	Sekar T
28-Apr-2024	1.2	Revisit of Document	Yogesh Garudi	Sekar T
05-May-2025	1.3	Organization name change	Bhavana K	Ambrish. S
09-April-2026	1.4	Revisit of Document	Shalot Leely M	Anaz

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Contents

1. Executive Summary

The Enterprise Quality Assurance Procedure outlines the data required to efficiently manage the project's quality from planning to delivery and throughout the project's life cycle.

The purpose is:

1.1. To define checkpoints, reviews, tests, and audits as controls to ensure quality in processes and deliverables.

1.2. To ensure compliance with various standards; ISO 9001:2015, ISO 20000-1:2018 and ISO 27001:2022, HIPPA, PCI-DSS, SOC2T2

1.3. To meet the statutory, regulatory, or customer requirements of managed services & development projects.

1.4. To reduce the risks and provide mitigations.

1.5. To improve delivery performance.

2. Scope of work

The Enterprise Quality Assurance Procedure is applicable to the below mentioned scope for managed services & development projects. The locations covered are Chennai, Pune & Vadodara.

- Desktop End-User Support and computer maintenance services
- Specialized Support and Maintenance Service Desks
- Telecommunications Support Services
- Application development, support, and maintenance services
- Miscellaneous Operations Services
- Telecommunications Support
- Consultancy and Specialist Services
- Business Continuity Management
- Compliance & Risk Management

The change in the scope will trigger a change in the Quality plan using the Change management process.

Refer service catalogue for complete details.

3. Quality Objective

- To provide defect-free product and services to the customer, ensuring the quality
- Enhancing control, effectiveness, proficiency, and quality of the services and streamlining the workflows/processes. Reducing the overall total cost of service provision. In addition, reducing endemic risk and threats being caused by staff attrition by enabling staff development through the provision of additional opportunities via integrated services.

- Achieving customer satisfaction, consistently by comprehensively understanding the needs of the customer and delivering on them efficiently
- Ensure a safe, occupational hazard-free, and healthy work environment.

4. Neurealm Quality System

Neurealm developed and implemented a Business Management System (BMS). The BMS manual lays down the Business Management System (BMS) aligned to the requirements of PAS 99:2012 and it addresses all the requirements of ISO 9001:2015, ISO 20000-1:2018, ISO 27001:2022, and best practices SEI-CMMi DEV standard has been taken as the basis for the nomenclature of the common requirements.

This business management system forms the basis and the means to ensure the operative implementation of our strategic objectives. It comprises all those main activities that guarantee customer benefit, sustainability, and stability. It is focused on our business processes, our work methods, and our corporate culture.

The business management system provides our customers, partners, employees, suppliers, and shareholders with an insight into what we do and how we do it. While it is basically designed for the benefit of our customers, it also acts as a guideline for our employees to ensure successful action and interaction within our business processes.

Refer: Neurealm BMS Manual

Activities to be controlled.

Application Development and Maintenance Services, Optional - Ad-hoc / Call-off Services					
Activity	Controlling Document	Reviewer / Tester	Verification Personals	Frequency /Review Criteria	Review / Test Acceptance Criteria
Knowledge Transition	Reverse Knowledge Transition using presentation	Client	Senior Application Engineer Business Analyst	Once Knowledge transition phase is completed	Successful completion of KT phase and Client Sign off
Requirements Control	● Requirement development and management guideline ● Requirement Clarification Tracker ● Requirements Review Checklist	Reviewed by Senior Application Engineer	Business Analyst	Once requirements are documented and updated in CM tool	All the review comments are closed.
Impact analysis	Review against the defects/enhancement	Reviewed by Senior Application Engineer	Application Engineer	Once requirements are documented and updated in CM tool	All the review comments are closed.
Design Control	Design Review Checklist	Reviewed by Senior Application Engineer	Application Engineer	Once Design is documented and updated in CM tool	All the review comments are closed.
Code Control	● Secure Coding Guideline ● Based on coding standards as per (ASP Coding Standard, ASP.NET Coding Standard, Csharp Coding Standard)	Reviewed by Senior Application Engineer	Application Engineer	Once Code updated in CM tool	All the review comments are closed.

Test Cases Control	Review coverage of requirements is 100%	Reviewed by Senior Application Engineer	Testing team	Once Test Cases are documented and updated in CM tool	All the review comments are closed.
Test	Results are captured in Test Case Document and Defect Log	Test results reviewed by Senior Application Engineer	Testing team	Once Test Results are documented and updated in CM tool	All the Test results are passed.
Integration Testing	Results are captured in Test Case Document and Defect Log	Test results reviewed by Senior Application Engineer	Testing team	Once Test Results are documented and updated in CM tool	All the Test results are passed.
System Testing	Results are captured in Test Case Document and Defect Log	Test results reviewed by Senior Application Engineer	Testing team	Once Test Results are documented and updated in CM tool	All the Test results are passed.
User Acceptance Testing	Results are captured in Test Case Document and Defect Log	Test results reviewed by Client	Testing team and Client	Once Test Results are documented and updated in CM tool	All the Test results are passed.

Desktop End-User Support, computer maintenance services , Specialized Support and Maintenance Service Desks,					
Activity	Controlling Document	Reviewer / Tester	Verification Personals	Frequency /Review Criteria	Review / Test Acceptance Criteria
Knowledge Transition Planning	New Services or Change services -Design and Transition Process will be used for performing Design of services and transitioning for support Requirement development and management guideline *ISO 20000-1:2018 Clause* 5 Design and transition of new or changed services	Business Analyst	IT Support - Head	KT phase	Review and approval by IT Support - Head
Security requirements Planning	Applicable security controls as per Annexure– A of ISO 27001:2013 and Client Security requirements *ISO 20000-1:2018 Clause* 6.6 Information security management	Reviewer	Information Security Auditor	KT phase	All required controls documented and agreed upon by client and Neurealm
Knowledge acquisition	Reverse KT to the client and users using Neurealm KT Presentation format	Business Analyst	Client /Users	KT phase	All queries addressed and client sign off
SLA Planning	Review Service Level agreements for services (SLA) *ISO 20000-1:2018 Clause* 6.1 Service level management	Reviewer	Delivery Manager	KT Phase	Client Sign off on SLAs for services
KT Process Compliance	QA Audit checklist – KT Phase	Auditor	Quality Manager	KT Phase	All agreed Non-compliance closed within 7 working days
Knowledge Transition Phase Control	Monitoring and controlling Process	Reviewer	Delivery Manager	Daily, Weekly	All action items along with CAPA tracked to

	(Project Management) of KT Phase Causal analysis and resolution process				closure as per target dates
KT Completion	Client Sign off on Services Designs, SLAs, Operational Models, Governance, Tools, Work instructions	Client Sign off	Client	End of Phase	Client Sign off
Incidents, Problems Tracking	Ticket status tracking Knowledge base – Review *ISO 20000-1:2018 Clause* 8.1 Incident and service request management	Reviewer	Project Manager	Daily	Review and approval by Project Manager
Call handling	Review of call quality, communication, call closure time	Reviewer	Project Manager	Daily	Review and approve by Project Manager
Process Error/Mistake Control Incidents and Problems handling	Escalation process adherence – Review *ISO 20000-1:2018 Clause* 8.1 Incident and service request management	Reviewer	Project Manager	Daily	No wrong assignments and process errors. Review and approval by Project Manager
Incidents / problem Monitoring	Alerts configured – to monitor system performances. Verification of all alerts, issues being actioned	Reviewer	Project Manager	Daily	All alerts – actioned as per plan
Incidents Process Control	Ticket Audit - to identify mistakes, process errors	Auditor	Auditor	Daily	All NC s closed as per agreed plan
Incident Management Process compliance	QA Audit checklist – incident management	Auditor	Quality Manager	monthly	All NC s closed as per agreed plan
SLA Adherence on services	SLA adherence verification	Reviewer	Project Manager	Daily	All tickets analyzed against SLA CAPA Planned and actioned

	ISO 20000-1:2018 Clause 6.1 Service level management				
Ticket Escalation – L1 to L2, L3	Ticket escalation process Review of escalated tickets	Reviewer	Project Manager	Daily	Review and approved by PM
Proactive Problem identification	● Review repeat incidents ● Review issues in System performance ● Review of KEDB ● Review Performance of Problem management *ISO 20000-1:2018 Clause* 8.2 Problem management	Reviewer	Project Manager	Daily	Review and approved by PM
Problem Process Control	Ticket Audit - to identify mistakes, process errors *ISO 20000-1:2018 Clause 8.2* Problem management	Reviewer	Project Manager	Daily	All NC s closed as per agreed plan
Service Management Planning, approved Service Catalogue Incident, Problem Management, Configuration, Change, Release, Security controls	Monitoring and controlling Process (Project Management) *ISO 20000-1:2018 Clause no.* 4.5 Establish and improve the SMS	Reviewer	Project Manager	Weekly	Review and approved by PM, Delivery Manager, IMS - Head
Performance control	Performance Statistics Reports (SLAs, OLAs, UC client/User satisfaction, results)- Verifying compliance	Reviewer	Project Manager	Weekly	CAPA planned and implemented. Review and Approval by Delivery
Performance improvements	Improvement Plans (actions proposed for improvements)	Reviewer	Delivery Manager	Monthly	Review and Approval by Delivery
Budget planning and Control	Status Review- Spend vs allocated	Reviewer	Project Manager/	Weekly, Monthly Quarterly	Review and Approval by IMS - Head

	ISO 20000-1:2018 Clause 6.4 Budgeting and accounting for services		Delivery Manager		
Configuration planning Configuration integrity Control	Configuration Audit Status Accounting audit CMDB review *ISO 20000-1:2018 Clause* 9.1 Configuration management	Auditor	QA Manager IT Support Engineer	Weekly, Monthly Quarterly	Review and Approval by Delivery Manager
Capacity utilization Control	Capacity Management Process Review of: ● Correct forecasting of capacity needs ● Higher levels of security and availability. ● Greater user and customer satisfaction. ● Compliance with the SLAs. *ISO 20000-1:2018 Clause* 6.5 Capacity management	Reviewer	Project Manager, Quality Manager	Weekly, Monthly Quarterly	Review and actions tracked to closure
Capacity Management Process Compliance	Audit checklist – Capacity Management Process	Auditor	Quality Manager	Monthly, Quarterly	All NC s closed as per agreed plan
Availability Management	Review on Performance: ● Times taken to detect and respond to faults. ● Times taken to repair faults and recover the service. ● Average time of service between faults. ● Real availability of each of the services.	Reviewer	Project Manager/ Delivery Manager	Weekly, Monthly, Quarterly	Review and actions tracked to closure

	● Fulfillment of the SLAs as regards the availability and reliability of the service. ● Fulfillment of OLAs and UCs based on the service capacity given by internal and external service providers. *ISO 20000-1:2018 Clause 6.3* Service continuity and availability management				
Contract with vendors Service Level agreement with interested parties Communication Plan	● Vendor management process ● Communication Process ● Business Relationship Process ● Contract agreement with vendors ● Review SLA of services of vendor *ISO 20000-1:2018 Clause 4.2* Governance of processes operated by other parties *ISO 20000-1:2018 Clause 7.1* Business relationship management *ISO 20000-1:2018 Clause 7.2* Supplier management	Reviewer	Delivery Manager	Weekly, Monthly	Review and actions tracked to closure
Change Control	Change Management Process Performance Reports reviewed on ● RFCs raised.	Reviewer	Project Manager/ Delivery Manager	Weekly, Monthly	Review and actions tracked to closure

	• Percentage of RFCs accepted and approved. • Number of changes made, classified by impact and priority, and filtered by period. • Number of back-outs, with detailed explanations. • Incidents associated with changes made. *ISO 20000-1:2018 Clause 9.2* Change management				
Release Planning	Release and deployment Process Review on: • Incidents associated with new releases • Correctness and scope of the CMDB • Existence of illegal software versions • Proper recording of new releases in the CMDB • Incidents caused by incorrect use of the new release by users (due to inadequate training) • Availability of service during and after the release process. *ISO 20000-1:2018 Clause* 9.3 Release and deployment management	Reviewer	Project Manager	Weekly, Monthly	Review and actions tracked to closure
IT Continuity	IT Service Continuity process	Reviewer	Delivery Manager, IT Support Manager	Weekly	Review and approval from Delivery Manager

	Recovery Points, Recovery Time – monitoring *ISO 20000-1:2018 Clause 6.3* Service continuity and availability management				
IT Continuity Test Plan	Test plan and Execution	Tester	IT Support Team, Support Engineer	Quarterly	Able to restore the operations for services as per the plan Approved by IMS - Head
Service reporting Compliance	Review of Service performance reports *ISO 20000-1:2018 Clause* 6.2 Service reporting	Reviewer	Delivery Manager	Weekly, Monthly	Review and Approval by Delivery Manager

5. Organizational Structure

Refer to the Organizational chart in the Neurealm BMS Manual

6. Responsibilities

The Project Manager has overall responsibility for the successful execution of the project, including conformity with the QMS, ISMS, HIPPA etc. if applicable and relevant and meeting the quality objectives.

The Quality Manager is responsible for project audits and for following through any corrective actions from them. Any required deviation from the QMS is to be approved by the Quality Manager before the deviation takes place.

Roles	Responsibilities
Management Representative	● Ensure that the Quality System is established, implemented, and maintained, ● Chair regular reviews of the suitability and effectiveness of the Quality Management System
Quality Head	● Responsible for ensuring the Quality management system is established, implemented, and improved. ● Also ensures that the QMS is aligned to Business and ISO Standard requirements.

	● Maintain BMS (QMS, ISMS and ITSMS), incorporating suitable changes to standard practice, templates and forms and check-in into version control system and make it available in Intranet site ● Conduct Induction program and Training to employees on BMS. ● Work with client and Neurealm project team where necessary in defining or redefining the process based on the scope of project. ● Manage Internal Audits covering Planning, Scheduling and execution; consolidating Internal Audit Metrics and Presentation in the MRM; Approval of audit plan, process tailoring, and deviation if any. ● Manage External audits including co-coordination on the following activities a) Scheduling surveillance / re-certification audit b) Co-ordinate with auditors c) Prepare Corrective and Preventive action report (CAPA) in case of NC if any raised d) Review CAPA ● Manage presentation & co-ordinate with prospects / customers on Process and Information Security practices ● Coordinate improvements to the Business Management System.
Quality Manager	● Implement Quality Assurance program is implemented in projects and ensure adherence to the QA System ● Promoting quality achievement and performance improvement throughout the project. ● Develop, implement, communicate and maintain a quality plan for the project as per Customer's specifications. ● Effectively interact with all teams to maintain product/service supply. ● Working with purchase staff to establish quality requirements from external suppliers. ● Ensuring compliance with national and international standards and legislation. ● Writing technical and management systems reports. ● Bringing together staff of different disciplines and driving the group to plan, formulate and agree comprehensive quality procedures. ● Persuading reluctant staff to change their way of working to incorporate quality methods. ● Manage and maintain the project's quality inspection and product release programs for incoming and in-process materials and components, processes and finished goods. ● Formulate and manage the development and implementation of goals, objectives, policies, procedures and systems pertaining to the QA/QC. ● Monitoring performance by gathering relevant data and producing statistical reports. ● Organize and manage quality assurance function in close co-operation with Neurealm Management team (Member of Management Team). ● Ability to assist in the preparation and execution of compliance programs to implement and review application, infrastructure and data security controls ● Development of metrics and reporting to demonstrate Company's' security posture ● Setting QA compliance objectives and ensuring that targets are achieved.

	● Assessing the product specifications of the company and its suppliers and comparing with customer requirements. ● Agreeing standards and establishing clearly defined quality methods for staff to apply. ● Defining quality procedures in conjunction with operating staff. ● Setting up and maintaining controls and documentation procedures. ● Liaising with auditors and ensuring the execution of corrective action and compliance with customers' specifications. ● Identifying relevant quality-related training needs and delivering training. ● Collating and analysing performance data and charts against defined parameters.
Information Security Manager	● Investigate security breaches in accordance with security incident management procedures ● Reviews BMS policies and procedures on regular basis
Account Manager	● Coordinate with the Delivery team to execute the tasks to deliver the code, documents and solutions as applicable to the clients. ● Handle on-going issues and change management. ● Monitor transaction compliance (milestones, deliverables, invoicing etc.). ● Ensure that the terms are communicated to all relevant parties to provide contract visibility and awareness, interpretation to support implementation. ● Serve as the point of contact for Client on contractual matters. Ensuring timely review and approval / reconciliation of variations. ● Review the agreed SALs at regular intervals with the internal teams, and the clients. ● Initiation of CSAT ● Take clients' satisfaction scores, review and work for the improvements to enhance the client satisfaction score ● Organize Steering committee review meetings at regular intervals as agreed with the clients or as entailed in the SOW. ● Work with the delivery team to propose and implement the value adds.
Delivery Manager	● Obtain SOW, Proposal, and Estimates from Account Manager/Sales ● Understands the requirement of SoW, Proposal and Estimates ● Identify Client security policy, Client specific training, Client specific penalty clause and address the same in PMP/SMP and arrange a meeting with client to introduce the project team ● Allocate and manage resources ● Review the Plans and estimates; project Schedule on a weekly, monthly basis ● Reviews the performance of various activities or services provided to client and provides directions. ● Perform Causal analysis on client feedback and share the CAPA
Project Manager	● Managing and leading the project team. ● Recruiting project staff and consultants. ● Managing coordination of the partners engaged in project work.

	● Developing and maintaining a detailed project plan. ● Managing project deliverables and quality in line with the project plan. ● Recording and managing project issues and escalating wherever necessary. ● Resolving cross-functional issues at project level. ● Managing project scope and change control and escalating issues wherever necessary. ● Monitoring project progress and performance ● Providing status reports to Client. ● Liaison with, and updates on progress to, Senior Management. ● Managing project evaluation and dissemination activities. ● Final approval of the design specification. ● Definition and management of the User Acceptance Testing programme.
Business Analyst	● Work with business disciplines in determining objectives, processes, interfaces, etc. ● Gather information and translate it into requirements and proper format. Write specifications and ensure the successful implementation of approved solutions. ● Advise on application development strategies, roadmaps including technologies.
Application Engineer	● Provide customized hosting solutions suitable for Client needs. Design, implement and validate/evaluate the integrity of the solutions ● Define roadmap associated to the selected technologies and products. ● Provide customized network solutions for Company ● Design suitable architecture and solution. ● Implement and validate/evaluate the integrity of the solutions for performance, resilience and security ● Provide technical direction and identify associated products ● Technologies roadmaps for continuous improvements ● Complies with BMS policy, standards and procedures ● Report breaches of information security, actual or suspected, to information security group at incidents@Neurealmin.com ● Operate in conformance with the requirements of the BMS ● Report security incidents immediately as per reporting mechanism.
Senior Application Engineer	● Identification of problems and remedial actions. ● Provision of support services. ● Review, code development, fixing. ● Review Documentation of all work according to agreed standards. ● Review Detailed Analysis of application enhancements. ● Create and amend programmes in accordance with requirements. ● Plan, design and conduct tests; achieve error free results. ● Work without supervision. ● Supervise application engineers. ● Participate in Application activity planning (e.g., upgrades). ● Participate in project initiatives

	● Identify opportunities for service improvement based on trend analysis.

6.1 Inputs for Quality Assurance

The primary input of statement of work for accounts/projects & standards/processes applicable for the accounts/projects includes.

1. Requirements from the customer's statement of work document, MSA, SOP, stand up calls for Agile Dev project, Client Status call for Manager services projects etc.
2. Applicable standards like ISO 27001:2022, ISO 9001:2015 etc.
3. Applicable regulations like HIPPA etc.

6.2 Internal & External Communication

All communications and escalation methods are planned using a communication plan. Below is an indicative communication plan. Communication plans help in governing the accounts & projects at various levels. The communication types are as follows:

- Status Reporting to leadership team
- Communication with client for survey/feedbacks (CSAT)
- Communication with internal stakeholder for Audit, Risk & Compliance Management
- External communication with various stakeholder

The communication plan will be updated based on the requirements for assuring quality. Communication with customers with respect to projects will be taken care of by the project team.

6.3 Configuration Management

Neurealm uses SharePoint as the versioning tool for the software product. The folder structures are updated based on the standard folder format and folder rights are provided based on CIA (Confidentiality, Integrity and Availability) mapped to the roles. Customers can securely access the code base over the web through Virtual Private Network (VPN) connectivity.

Configuration Management will be practiced throughout the life cycle of the software product. All the software work products prior to approval are tagged and maintained. Once the software product or document is approved then it is tagged appropriately and maintained under baseline branch in version control.

Version control will be used

- To ensure that relevant versions of applicable documents are available at points of use,
- To approve documents to adequacy prior to issue,
- To ensure that changes and the current revision status of documents are identified,
- To ensure that documents remain legible and readily identifiable,

- To ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the BMS are identified and their distribution controlled and
- To prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.
- To ensure that documents that not required are archived in a suitable manner

Quality team used PIP (Process Improvement Plan) tracker, same is maintained in SharePoint along with the other documents required for quality governance & assurance across Neurealm.

6.4 Control of documents and Records

Control of documents records is being done as per the process defined in the BMS Manual.

The control of documents and records will be in accordance with data and document control process defined in Neurealm BMS. The Data and document control plan will be prepared for the project. Documents such as procedures, work instructions, and policy statement will be managed. Documents are maintained in SharePoint & MyGavs Portal. Once the document gets reviewed and approved, same will be uploaded on MyGavs Portal for easy accessibility.

Key activities listed below will be ensured:

- All documents and records classified as Confidential, Neurealm restricted, Neurealm Internal
- Review and approve of documents by the approving authority prior to release.
- Changes and revisions to documents are clearly identified and documented in the change history provided in the document having version number, document name, reviewer, approver, date of release.
- Make available relevant versions of applicable documents at their “points of use”.
- Ensure documents remain legible and identifiable.
- Ensure external documents like customer supplied documents or supplier manuals, identified, and controlled.
- Prevent “unintended” use of obsolete documents.

6.5 Customer property

Any equipment under scope belonging to the client will be identified and documented in the infrastructure plan as customer supplier items.

Neurealm will ensure that customer properties are identified, tracked, tagged to user(s), location, and project while it is under Neurealm's control or being used by Neurealm. A System is established to identify, verify, protect and safeguard customer property provided for use or incorporation into the product. If any customer's property is lost, damaged or otherwise found to be unsuitable for use, this shall be reported to the customer and records maintained.

7. Non-Conformities

Neurealm ensure that products & Services which do not conform to requirements are identified and controlled to prevent its unintended use or delivery. Neurealm takes action to eliminate the causes of nonconformities in order to prevent recurrence.

Where applicable, Neurealm deals with nonconforming process and product by one or more that arise due to:

- Internal Audits
- Reviews
- SLA /Goal Nonadherence
- Testing
- Certification/Surveillance Audits
- Third party Audits
- Customer complaints, issues, escalations

The ways to control are:

- By taking action to control and correct it; and deal with consequences;
- Take corrective actions to eliminate the detected nonconformity by determining the causes of the nonconformity and if similar nonconformities exist, or could potentially occur; Implement any action needed
- Review Corrective actions taken is appropriate to the effects of the nonconformities encountered;
- Make changes to BMS, if necessary, when nonconforming product is corrected it is subject to re-verification to demonstrate conformity to the requirements.
- Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained, are maintained.

Continual Improvement

Neurealm continually improves the effectiveness of BMS through the use of BMS Policy, objectives, and audit results, analysis of data, corrective actions and management review using PDCA principles. The process owners are responsible for the continual improvement of their respective process, product, and service. Standard Practice for Process Management supports a structured approach to identify improvement potential and take appropriate measures. All agreed actions become part of Process Improvement Proposal (PIP) tracker, which is introduced in order to continually improve the processes, as well as to document, monitor and check the effectiveness of the improvement measures.

8. Quality Assurance Governance

Following details will be reported to Management on following:

- Management reviews on the engagement will be reported in minutes of meeting with actions tracked to closure
- Summary of Internal and External Audits carried out and reported as against the Audit Schedule.
- Audit Tracker along with corrective actions, status and the planned dates for follow up and Close out.

- Details of any investigations into non-conformance and action to prevent recurrence of any
- Quality System failures.
- Summary of Tests and Inspections carried out 'on site' and 'off offshore'
- Statistics that indicate quality trend from the following as a minimum:
    - Number of Customer Complaints
    - Status of deployment of QA and QC resources against the resource plan
    - Rework Status

9. Internal audit

Neurealm shall carry out internal audits and external audits on sub-contractors/ vendors, where applicable on
projects (as per criteria mentioned below) at the following project phase stages covering all activities at all work locations:

Project Criteria for internal audits:

1. Managed Services Projects will be considered for Internal Audits.
2. Staff Augmentation will NOT be considered for Internal Audits
3. Time & Material: Based on the request from Project teams/ client

An Audit Schedule is provided as part of enterprise level audit management, which shall be approved by the relevant stakeholder.

PROCESS CONTROLS THROUGH AUDITS					
Activity	When Audited by Quality Assurance	Controlling Document	Audit acceptance Criteria	Person who will be audited	Auditor
Project Kickoff	Readiness review	Project Initiation-Checklist	All comments closed before starting up audit	Project Manager	QA Team
Project Start up audit	7 days from project kickoff	Project Initiation-Checklist	All NC's closed within 7 working days from the day of audit	Project Manager	QA Team
Development Process including project monitoring and tracking	Once in Two Months	PCI Audit check list	All NC's closed within 7 working days from CAPA proposed	Project Manager and Application Engineer	QA Team
Testing Process	Once in Two Months	PCI Audit check list	All NC's closed within 7 working days from CAPA proposed	Senior Application Engineer	QA Team
Configuration Management Audit	Along with Development Process	PCI Audit check list and Delivery audit checklist	All NC's closed within 7 working days from CAPA proposed	Configuration Controller	QA Team

Delivery audit	1 week prior to Major work product release	Delivery Checklist	All NC's closed within 5 working days from CAPA proposed	Senior Application Engineer	QA Team
Closure audit	7 days from Client signoff	Closure Checklist	All NC's closed within 5 working days from CAPA proposed	Project Manager	QA Team
Knowledge Transition audit	2 days from Knowledge Transition signoff		All NC's closed within 5 working days from CAPA proposed	Senior Application Engineer	QA Team
Monthly Audit on services/Process	Once in Month	PCI Audit check list for ITSMS	All NC's closed within 5 working days from CAPA proposed	Project Manager and Application Engineer	QA Team
Ticket audit	Daily	Audit Form & Parameters	All NC's closed within 5 working days from CAPA proposed	Application Engineer	QA Team
Sharing Audit Reports	NA	Audit process	Within one week from the date audit completed	Auditor	QA Team

Audits shall be carried out in accordance with ISO 19011. Neurealm will ensure that the Auditors are qualified. and have sufficient experience in the areas audited.
Project teams & their auditees will be notified to participate in internal Audits, external audits on subcontractors/vendors and third-party certification audits.
The audit notification will be delivered to the Company Quality Management Services section at least five Working days in advance of the audit date. The audit reports will be issued to auditees after the submission from the auditor.

Audit SLAs details & Findings descriptions are available in CSMplatform

Findings are being reported using SWOT method:

Components of SWOT Analysis
Every SWOT analysis will include the following four categories. Though the elements and discoveries within these categories will vary from company to company, a SWOT analysis is not complete without each of these elements:

Strengths
Strengths describe what an organization excels at and what separates it from the competition

Weaknesses
Weaknesses stop an organization from performing at its optimum level. They are areas where the business needs to improve to remain competitive.

Opportunities
Opportunities refer to favorable external factors that could give an organization a competitive advantage.

Threats
Threats refer to factors that have the potential to harm an organization.

Release or acceptance of non-conforming product under concession:
A copy of non-conformances shall be submitted to the Company within 24 hours of noticing it and shall be classified as High /medium/low risk. Upon closeout of nonconformity, closed out non-conformance report shall be submitted to the Company. Classification criteria and response times shall be as follows:
High risk
If significant effect on enterprise level (immediate action is required)
Medium risk
If significant effect on integrity of production & services and negligible effect on enterprise level (action required within 14 days)
Low risk
Conditions other than high risk and medium risk (action required within 30 days)

10. Causal Analysis and Resolution

Neurealm project team carry out a root cause analysis for defects, NC's or planned objectives which were not met or met below the expected level. This exercise helps the team in identifying the root cause of a problem or defect using statistical tools and analysis to improve the project performance. The effectiveness of the action taken is evaluated to assess the improvements.
The methods used for Causal analysis and resolutions are

- Line chart / Trend Chart / Control Chart – used to detect the trends and unusual activities within the data set.
- Pareto Chart Analysis – used to analyze the different components that make up the data value in a descending order, complete with the cumulative percentage line superimposed on it.
- SWOT Analysis – used to analyze process strengths, weaknesses, opportunities and threats based on the characteristics of the data set – whether internal or external,
- Arithmetic average or mean – used to identify the average performance value of the process,
- Median – used to identify the actual middle value of the data set,
- Mode – used to identify the most frequent value occurring within the data set,
- Range – used to determine the difference between the lowest and highest values of the data set,
- Cause and Effect Analysis – used to Analyse the causes and effects of a given data set

Corrective action

- The response time with actions taken shall be as given in the internal audit section. The effectiveness of corrective actions taken will be demonstrated through quality performance trends.

11. Monitoring and measurement

Key Performance Indicators (KPI) Matrix:

All KPIs is captured using CSM Portal for respective projects,

Metrics	Critical Range	Target Range	Stretch Best Range
Incident Resolution%	90% ~ 94.9%	95% ~ 97%	> 97%
Incident Response%	90% ~ 94.9%	95% ~ 97%	> 97%
Adherence to Sprint Commitment	80% ~ 84.9%	85% ~ 90%	> 90%
Estimation Quality	80% ~ 84.9%	85% ~ 90%	> 90%
User Story Quality Delivery		90% ~ 93%	> 93%
CSAT		80%~85%	> 85%

Sr. No	Metric Name	FY 24 - Achieve revenue target of $250 M	FY 24 - 32% Gross Margin	Achieve CSAT Score of 4 and above consistently in every quarter from every customer	Achieve NPS 60 and Above	Comply to 100% contractual obligations including the compliance requirements (HIPAA, PCI-DSS etc.,)
1	Adherence to Sprint Commitment	x		x	x	x
2	Estimation Quality		x	x	x	x
3	User Story Quality Delivery		x	x	x	x
4	Incident Resolution%	x		x	x	x
5	Incident Response%	x		x	x	x
6	Customer Success Survey (CSAT)	x		x	x	

12. Risk Management:

Risk Management is handled in CSM. Anyone can report the risk via Email/In-Person. The risk will be rated based on risk appetite defined by the organization. The risks are mitigated through action plans, and some are being monitored for their effectiveness.

Refer Standard Practice document for Risk Management in My GAVS.

https://mygavs.gavstech.com/wp-content/uploads/2023/07/Standard-Practices-Risk-Management_V-3.0.pdf

Risk Appetite	
No	N/A - risk removed
Low	Acceptable risk and no further action required as the risk has been minimized and monitored as far as possible. Risks needs to be reviewed at least annually.
Moderate	Tolerable with further action required to mitigate risk or remove. Risk needs to be reviewed at least every 6 months.
High	Tolerable with further action required to mitigate risk or remove. Risk needs to be reviewed at least every 3 months.
Catastrophic	Unacceptable risk and urgent action required to mitigate or remove the risk. Risk needs to be reviewed monthly.

Consequences of the event on CIA (Confidentiality, Integrity, Availability) Guideline in qualitative words		
None	0	No consequences - for example the control has eliminated them
Insignificant	1	No visible impact to company reputation/customer satisfaction. No potential impact on market share/brand values
Minor	2	Potential impact on market share/brand values. Internal control significant deficiency
Significant	3	Visible reputation/satisfaction impact. Reputation and brand value will be affected in the short term. Internal control material weakness
Major	4	Visible adverse brand value/market share publicity. Key alliances are threatened. Loss of key customers. SEC investigation or matter. Financial restatement.
Critical	5	Major company reputation impact. Revocation of licenses or regulatory registrations. Major customer satisfaction impact. Inability to service customers. Loss of major

Likelihood Value				
		Guideline in qualitative words	Probability	Frequency
Impossible	0	The event is impossible - for example the risk source has been removed or activity has been stopped	0%	will not happen
Rare	1	The possibility of occurrence is so low. These are exceptional circumstances or it may never happen	<1%	it may never happen
Remote	2	Unlikely to happen	2-10%	doubt that it occurs
Moderate	3	Believe it could occur	11-50%	is at least 1 per year
Likely	4	May occur sometimes	51-90%	occasionally during a year
Frequent	5	Known to occur. Almost certain.	>90%	several times in a year

Risk Matrix

Risk Rating Matrix		Consequences					
		Critical	Major	Significant	Minor	Insignificant	None
Likelihood		5	4	3	2	1	0
Frequent	5	Catastrophic	Catastrophic	High	High	Moderate	No
Likely	4	Catastrophic	High	High	Moderate	Low	No
Moderate	3	High	High	Moderate	Moderate	Low	No
Remote	2	High	Moderate	Moderate	Low	Low	No
Rare	1	Moderate	Low	Low	Low	Low	No
Impossible	0	No	No	No	No	No	No

13. Definition and Acronyms

S.No.	Definition /Acronyms	Description
1.	BMS	Business Management System
2.	CAPA	Corrective action and preventive action
3.	CM	Configuration management
4.	CMMi	Capability Maturity Model Integration
5.	CSAT	Customer Satisfaction
6.	DAR	Decision Analysis and Resolution
7.	IM&T	Information Management and Technology
8.	ISO	International Organization for Standardization
9.	ITSMS	Information Technology Service Management Systems
10.	KEDB	Known error database
11.	MoM	Minutes of Meeting
12.	NC	Non-Conformance
13.	OLA	Operational Level Agreement
14.	QA	Quality Assurance
15.	QC	Quality Control
16.	SDLC	Software Development Lifecycle
17.	SLA	Service Level Agreement
18.	SOP	Standard Operating Procedures
19.	SOW	Statement of Work
20.	SWOT	Strengths Weaknesses Opportunities analysis
21.	TAT	Turn Around Time
22.	UAT	User Acceptance testing
23.	VPN	Virtual Private Network
24.	WBS	Work Breakdown Structure
25.	WIP	Work In Progress

About Neurealm

Neurealm is the right-sized partner for Engineering, Modernization, and RunOps, blending human intelligence with the latest technologies to help businesses across industries such as Healthcare, Technology, and others, make smart progress.

With offerings in Digital Platform Engineering, Data, AI, Cybersecurity, and Technology Operations, and delivery centers in India and the US, we empower 250+ global enterprises. Driven by an engineering mindset and powered by Neurealm Labs—our innovation engine—we transform ideas into real-world impact through new-age offerings, cutting-edge solutions, frameworks, and accelerators. Our strong technology alliances and academic partnerships further power the future-ready ecosystems we build for our clients.