



## Quod Orbis Continuous Control Monitoring Service Definitions

Service Item	Short Description	Notes
Core Service Desk Window (included in the standard service)	09:00 to 17:30, UK time, Mon-Fri excluding public holidays in England	During these windows, the Service Desk will action customer requests and investigate service incidents using suitably qualified support staff.
Logging Requests or Reporting Incidents	<ul style="list-style-type: none"> <li>• Standard Service Desk Phone (core hours only)</li> <li>• Service Desk Portal</li> <li>• Service Desk email</li> <li>• CCM Platform Support Button</li> <li>• Out of Hours Service Desk Phone (any time)</li> </ul>	<p>The Standard Service Desk Phone number may not be answered by a person outside of Core Service Desk Window, but messages can be left.</p> <p>For standard service, requests and incidents can be logged outside of a Core Service Desk Window but may not be dealt with until the next window.</p> <p>Where customers have contracted for service outside of core hours, requests and incidents will be dealt with according to the customised agreed service level.</p>
Incident Response	An incident is an event that causes a failure of the Platform to operate materially in accordance with the Service Specification	<p>Standard – target resolution by the end of the next Core Service Desk Window.</p> <p>Custom – target resolution according to customised service level objectives, typically based on severity of the incident (consideration given to business impact and availability of workarounds).</p> <p>While we do not set limits on the number of incidents reported each month, we reserve the right to charge if we receive a significant number of incident requests that are not down to problems with the platform or our action.</p>

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Service Request	<p>A service request is a standard, simple and low risk change or information request that does not require a change assessment, additional approvals (e.g., CAB) or implementation within a specific change window.</p> <p>Examples include adding/removing authorised users, or changes to email distribution lists for reports.</p>	<p>Standard – target implementation by the end of the next Core Service Desk Window. Up to 10 service requests per month included as standard, additional requests can be provided at a price to be agreed.</p>
Change Request	<p>A change requested by the customer where an impact/risk assessment, additional approvals (e.g., CAB), or implementation within a specific change window is required.</p> <p>Examples include changes to customer data provenance, data sources, platform functionality, or mappings to customer-specific controls frameworks.</p>	<p>Quod Orbis will work with the customer to define the change required, estimate the time and effort involved, and provide support through the change assessment and approvals process. Quod Orbis will provide an estimate of costs and will implement the changes when these are agreed by the customer. Any Quod Orbis work required outside of the hours covered by the agreement with the customer will be reflected in the cost estimates.</p> <p>The cost estimates will be based on the agreed daily rates for Consultants, Controls Subject Matter Experts and Developers as appropriate.</p> <p>It should be noted that CCM Platform upgrades and enhancements as part of the general product development are included as standard. If a customer change request is already included in the development roadmap, or if Quod Orbis agree that the requested change would make a valuable addition to the roadmap, then due account will be taken when providing the change cost estimate to the customer.</p>
Regulatory Framework Changes	<p>Changes to regulatory or industry standard frameworks are reflected in the CCM Platform as standard.</p>	<p>An unlimited number of changes required to reflect changes in regulatory frameworks are included as standard.</p> <p>This excludes customer-specific frameworks, where changes can be provided at an agreed cost (see Change Request above).</p>

Service Item	Short Description	Notes
CCM Platform Service Management	The CCM Platform Service Manager monitors, reports and addresses issues relating to CCM services delivered, taking into account service level objectives agreed with the customer.	<p>Standard - up to one day of CCM Platform Service Manager time per month is included.</p> <p>Custom – CCM Platform Service Manager time and/or other related services (e.g., monthly platform performance and availability reports) can be provided, at a cost to be agreed, and used on a draw-down basis.</p> <p>Any CCM Platform Service Manager time taken to investigate and address missed Service Level Objectives is also included, even if this exceeds the defined limit.</p>
Controls Subject Matter Expert	The Controls Subject Matter Expert advises on matters specifically related to the use of or output from the CCM platform.	<p>Standard - up to four hours (equivalent to 0.5 days) of Controls Subject Matter Expert time each calendar month is included.</p> <p>Custom – an agreed number of Controls Subject Matter Expert days can be provided, at a cost to be agreed, and used on a draw-down basis.</p>
AWS Region and Availability Zones		<p>Standard – a single AWS region (London by default but can be another AWS region if required) with two availability zones is included as standard.</p> <p>Custom – additional AWS regions, each with two availability zones, can be added at a cost to be agreed.</p>