

OnDemand SaaS

Hosted Services Support Description

DOCUMENT INFORMATION

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Executive Summary

The service description as stated herein applies to support for TLM OnDemand SaaS SaaS by SmartStream.

SmartStream maintains a commitment to delivery industry leading support to our clients, with this document outlining the foundation of those support services.

Definitions

Definitions of the following terms existent in customers Master Services Agreement shall prevail over the definitions below.

Customers Hours of Support

The hours and the days during which the TLM OnDemand SaaS Support Service shall be available to the customer as set out in the applicable Schedule.

Documentation

SmartStream's current user manuals generally provided to its customers.

Update

Either a software modification or addition that, when made or added to the software, corrects an Error, or a procedure or routine that, when observed in the regular operation of the software, eliminates the practical adverse effect of an Error on customer.

Upgrade

A revision of the software released by SmartStream to its end user customers, to add new and different function or to increase the capacity of the software. Upgrade does not include the release of a new product or added features for which there may be a separate charge.



Overview

Unless otherwise stated, this Service Support Description applies to support for TLM OnDemand SaaS.

To receive application support services from SmartStream Customer Care centres, all clients must have a valid subscription for TLM OnDemand SaaS.

Full operational and user support is provided to the subscribed application.

The Customer Care service is provided globally from four geographical locations affording global 'follow the sun' service coverage.

- The TLM Customer Care Centre (BRS), based in Bristol, England
- The TLM Customer Care Centre, based in Singapore, Singapore
- The TLM Customer Care Centre, based in New York, USA
- The TLM Customer Care Centre based in Vienna, Austria

The primary objective of the service is to provide high quality customer care to our end users of the TLM OnDemand SaaS product.

This Service Support Description is subject to change at SmartStream's discretion.



SmartStream TLM OnDemand SaaS Support

The Software Support Service consists of:

- SmartStream Customer Care Centre access via phone, email, and web during Customer's Hours of Support, as defined in the agreement between the parties.
- Access to the SmartStream customer portal <https://SmartStream-stp.microsoftcrmportals.com> (for online support, documentation, downloads and tracking of support queries).
- Investigation of TLM OnDemand SaaS application reported problems in production environments, priorities 1 (blocking) to 4 (cosmetic). Non-production issues will be serviced on a reasonable endeavours basis.
- Provision and test of a new software Update for confirmed software errors in business-critical situations. Clients will be advised if changes are required to the SaaS platform in writing prior to any change being implemented.
- Distribution of application documentation as defined in the agreement between the parties.
- Installation of Enhancement and Service Updates.
- Provision of critical problem alerts to SaaS clients, informing Customer of any issue that may occur and affect their service.

Handling enhancement requests through change control process. TLM change control process is defined in the appendices: -



Appendix A: Change Control Process

Appendix B: Change Request Form

Exclusions from the Hosted Support Service

SmartStream is not obligated to provide SaaS Support Service in the following situations:

- The data clients are providing to TLM OnDemand SaaS is incorrect / invalid.
- The client has made changes to their internal infrastructure including firewalls, web browsers and ETL mechanisms.

Assistance will be given to help guide clients' data issues where applicable, on a best endeavours basis.

Support Incident Tracking

- Global Customer Care desk captures incident details
- Triage process to gather adequate information and assign incident
- Direct incidents to the OnDemand SaaS Support Team, where the incident relates to the hosted environment
- First level support analysis undertaken to identify known fixes
- Second level support analysis undertaken including replication where necessary
- If unable to resolve, passes to relevant third level support team



- Routing performed using defined incident status, with system alerts triggered as incidents await acknowledgement by receiving support level

Before Contacting Customer Care

Gather as much relevant information as possible, including screen shots where applicable. Having as much data as possible will assist in the investigation process and speed the resolution for the client.

Determine the Nature of the Problem

Before calling for assistance, try to determine the cause of the problem by answering the following questions:

- What product behaviour are you experiencing, and how do you expect it to behave?
- When was the last time the software worked properly? When was the problem first observed?
- Do you have network connectivity to the TLM OnDemand SaaS Website you use daily?
- What has changed in your environment in the interim? - i.e.: - has any software been installed, or any configuration changes made, if applicable to your client workstations or networks, etc.
- When did the problem occur? When does the problem not occur? What is different between those situations?
- How extensive or localised is the problem? What is the difference between the elements that exhibit the problem and those that don't?
- How critical is the problem to your business or deployment? Can you work around the issue until a fix is found?

Isolate the Problem

- After determining the problem, take steps to isolate it as specifically as possible.
- Determine the precise steps required to consistently reproduce the problem.
- Remove all extraneous details and data that are not essential to demonstrate the existence of the problem.



Information Customers Need When Requesting Support

Before SmartStream can begin work on any service request, information about the nature and location of the problem is required.

Whenever a call is placed to a SmartStream Customer Care centre or a service request is logged through SmartStream's web-based customer support system, the following information should be provided:

- Your organisation's name or customer identification number.
- Your name and telephone number where you can be contacted.
Note that you must have already been registered at the Customer Care centre as an approved customer contact; otherwise, we will be unable to accept your call.
- This is limited to 20 named individual customer employees (Applicable schedule will prevail should there be variations to the agreed number of named customer employees).
- If you have logged your issue in an internal tracking system, please also provide us the reference number.
- The SmartStream OnDemand SaaS service name and version being used.
- A clear and full description of the problem being experienced. This should include details of any actions already undertaken and the outcome, screenshots, any program error numbers associated with the problem as appropriate. The frequency of such a problem being experienced should also be provided.
- Replication Steps.
 - A full description of all steps required to reproduce the problem from a client workstation.
 - If this is not readily available when logging a high priority or major incident details should be provided as soon as reasonably possible after.

Prioritization and Priority Definitions

Call priorities will be assigned by the SmartStream SaaS Support representative as outlined in the following guidelines. Customers may indicate the priority of a call when

placing the issue, but Customer Care analysts will validate this priority against these same guidelines.

Should the priority indicated by the customer not seem appropriate against the call description provided, the call will be referred to the OnDemand SaaS Support Manager to finalize the assigned priority with the customer. On assessing all the information provided, the OnDemand SaaS Support Manager's prioritization will prevail.

These priorities relate to Production issues only and do not relate to lower environments such as UAT and Development environments.

Infrastructure Priorities:

Priority	Description	Definition	Examples
1 - Blocking	Very High	<p>Complete loss of service.</p> <p>Work cannot reasonably continue; the operation is mission critical to the business and the situation is an emergency.</p>	<ul style="list-style-type: none"> • Service URL is offline • No users can log in. • A critical documented function is not available. • Application hangs indefinitely, causing unacceptable response or indefinite delays for resources. • Business critical module or function non-operational where no workaround is available. • Data cannot be loaded; inability to complete the loading of data • Business critical data source(s) is(are) not available



2 - Severe	High	System operational but with functionality significantly restricted.	<ul style="list-style-type: none"> • Severe system performance issues • Source data files not loaded • VPN connectivity issues • Application is ineffective for some non-critical but significant functions • Business critical functions not affected, or if they are, issue can be circumvented without undue business impact allowing operation to continue. • Application functioning but with diminished functionality and/or performance.
3 - Major	Standard	Some loss of service.	<ul style="list-style-type: none"> • User access • Static data updates • File deletion / duplicate files • Problem only affecting a single or limited number of workstations or is related to loss of a minor function • Application is usable, but not functioning as expected. • Report request • BAU Service Requests
4 - Cosmetic	Information Request	No loss of service	<ul style="list-style-type: none"> • UAT Updates • User training • General application enquiry • Documentation request



			<ul style="list-style-type: none"> • Enhancement suggestion • Cosmetic application issues
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Production SLA - Estimated Service Level for Calls

Commercially reasonable efforts will be made to respond to Customer Care calls per the following guidelines.

The priority level assigned will determine the level of service applied to an Incidents and the estimated timescales laid down for the management and resolution of the problem.

Table of service level stages.

SERVICE LEVEL STAGE	DEFINITION
Call logged	<p>The maximum time required by SmartStream On-Demand Support to answer the telephone, provide a unique reference number and to agree a preliminary severity level for the problem.</p> <p>P1 & P2 Service Requests must be registered with SmartStream Customer Care via a telephone call and followed up with an email with all required information.</p>
Response	<p>The maximum time required by SmartStream On-Demand Support to assess the information provided and confirm or otherwise the preliminary severity level for the problem.</p>
Restore	<p>The time required by STL On-Demand Support to determine the actions necessary to restore the affected service and convey those actions to the Line Of Business (LOB). Such restoration actions may include a temporary fix or a workaround.</p> <p>An example of the definition of Restore is:</p>



	Data that failed to load has been entered into TLM to facilitate the business function, but the underlying cause of the issue has yet to be identified or resolved.
Notification	The frequency with which SmartStream On-Demand Support will provide status updates on progress.
Target Resolution	<p>The time required by SmartStream On-Demand Support to provide the LOB with a permanent resolution to the problem, should restore phase, if required, not cover a permanent fix.</p> <p>It is not possible to provide definite problem resolution fix times, but for guidance we have provided target resolution times.</p>

Table of call prioritization and initial response;

PRIORITY	INITIAL RESPONSE TIME
1 - Blocking	<p>Priority 1 incident will be responded to within 30 business minutes - within the Customer's Hours of Support</p> <p>Clients are required to call Customer Care for a Priority 1 service request in addition to using the portal</p>
2 - Severe	<p>Priority 2 incident will be responded to within 1 business hour - within the Customer's Hours of Support</p> <p>Clients are required to call Customer Care for a Priority 2 service request in addition to using the portal</p>
3 - Major to Minor	<p>Priority 3 incident will be responded to within 3 business hours - within the Customer's Hours of Support</p>



4 - Cosmetic	Priority 4 incident will be responded to within 1 business day
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Table of call prioritization and frequency of call update provided to the customer;

PRIORITY	UPDATES TO SERVICE APPLICATION
1 - Blocking	Priority 1 incident will receive updates within 30 business minutes of problem being reported, and every 30 business minutes thereafter, within the Customer's Hours of Support
2 - Severe	Priority 2 incident will receive updates within 1 business hour, and every 1 business hour thereafter, within the Customer's Hours of Support
3 - Major to Minor	Priority 3 incident will receive call updates within one business week, and every week thereafter.
4 - Cosmetic	Priority 4 incident will receive call updates within two business weeks, and every two weeks thereafter.

Anticipated resolution times.

RESOLUTION ACTIVITY	TARGET RESOLUTION TIME
1 - Blocking	< 4 Hours Incident report published within 24 hours of resolution
2 - Severe	< 24 Hours
3 - Major to Minor	Will be notified by Customer Care and driven by the complexity of the task



4 - Cosmetic	Will be notified by Customer Care and driven by the complexity of the task
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Where a Service Update is required for a business-critical call, the estimated resolution time will be extended by the time required to develop and test the Service Update.

This Update will normally take the form of direct email to Customer and may be provided in the form of a temporary fix, procedure, or routine, to be used until an Enhancement or Patch release containing the permanent Update is available. In the event of system outage and service unavailability, Customer will be advised immediately by e-mail to designated Customer contacts, under terms of priority 'Blocking'.

SmartStream will make commercially reasonable efforts to provide a Customer Care response designed to solve or work around a reported Error.

For Priority 2 incidents arising from feed-related issues attributable to delays/issues on the client side, the incident shall remain open; however, the target resolution Service Level Agreement (SLA) shall be deemed inapplicable for the duration of the client-side delay, as such delays are beyond the control of the service provider. Upon resolution of the client-side issue, the service provider will resume the processing of feeds.

Service Requests

Where clients submit service requests (e.g., requests for data related to an audit, ad hoc reporting etc.) SmartStream will agree the priority with the customer

Should SmartStream be unable to agree the priority with the customer, the request will be referred to the OnDemand SaaS Support Manager to finalize the assigned priority with the customer. On assessing all the information provided, the OnDemand SaaS Support Manager's prioritization will prevail.

SERVICE REQUEST	TARGET COMPLETION TIME
High Priority	< 2 Business Days
Medium Priority	< 1 Week
Low Priority	< 2 Weeks

Service Uptime

The SLA of the service is detailed below. SmartStream will provide monthly service level reports from the data host to show that the 99.5% guarantee is met.

Evidence of Business Continuity Plans may be provided upon request.

Table of service notifications and uptime:

SUBJECT	SLA
Service Uptime	99.5% uptime/availability of service via web-portal into TLM OnDemand SaaS application during contracted hours of business.
Recovery Time Objective (RTO)	SmartStream will operate to a Recovery Time Objective of four hours
Recovery Point Objective (RPO)	SmartStream will operate to a Recovery Point Objective of 30 minutes
Cross-region (RTO)	If cross-region DR is chosen the Recovery Time Objectives will be 24 hours
Firewall / Access / Security Issues	Client notified within 30 minutes of the time that SmartStream are aware of an issue with connectivity to the service.

Lower Environment SLA – Prioritization and Definitions

These priorities apply to non-production environments such as UAT, DEV, and other test environments. These environments are intended for functional testing only, and the SLA reflects a more flexible approach suitable for non-business-critical operations.

Priority Definitions

Priority	Description	Definition	Examples
1 - Blocking	Very High	Complete loss of service in the lower environment preventing functional testing.	<ul style="list-style-type: none"> Environment unavailable. Application inaccessible. Service URL is offline. No users can log in. <p>critical test data missing due to environment issue.</p>
2 - Severe	High	Environment/application is operational but with significant limitations affecting testing.	<ul style="list-style-type: none"> Partial environment availability. Intermittent access issues.

Priority	Description	Definition	Examples
			<ul style="list-style-type: none"> Missing test data due to environmental issues.
3 - Major	Standard	Minor functionality issues or isolated user impact.	<ul style="list-style-type: none"> Test user access issues. Non-critical UI errors.
4 - Cosmetic	Low	No impact on testing; informational or enhancement requests.	<ul style="list-style-type: none"> Documentation requests. Cosmetic display issues in dashboards.

Table of call prioritization and initial response

Priority	Initial Response Time
1 - Blocking	Within 4 business hours
2 - Severe	Within 6 business hours
3 - Major	Within 2 business days
4 - Cosmetic	Within 3 business days



Table of call prioritization and frequency of call update provided to the customer;

Priority	Update Frequency
1 - Blocking	Every 6 business hours
2 - Severe	Every 1 business day
3 - Major	Priority 3 tickets will receive updates within one business week, and every week thereafter.
4 - Cosmetic	Priority 4 tickets will receive updates within two business weeks, and bi-weekly thereafter.

Anticipated resolution times.

Resolution Activity	Target Resolution Time
1 - Blocking	< 2 business days
2 - Severe	< 5 business days
3 - Major	Based on task complexity
4 - Cosmetic	Based on task complexity

Where a service update is required to resolve an environment or application-related issue in a lower environment, the estimated resolution time may be extended to accommodate the time needed for development and testing of the update.



Updates may be communicated via email and can include temporary workarounds, procedures, or routines until a permanent fix is available. In the event of a complete environment outage, designated customer contacts will be notified promptly via email under the terms of a Priority 'Blocking' incident.

SmartStream will make commercially reasonable efforts to provide support aimed at resolving or working around reported issues in lower environments.

Technical Application Services

File Management

Monitor files/message/source data details are being received by allotted times

This process will be tailored to the clients expected delivery times, is dependent upon the client providing a schedule. Automated emails will be sent to the client, in case the file is not received within the expected delivery time.

Review logs of data mapping validity and success

Automated notifications will be sent out to the client on feed failures resulting due to data mapping issues. Depending on the impact of the feed failure, a respective priority ticket will be raised. Issue resolution may require the client sending corrected feed files and On Demand will assist with the necessary steps in loading the corrected feed.

Raise feed issue upstream

Feed issues will be communicated to the client according to the priority levels outlined in Section 8, with the corresponding SLA applied.

Feed delays

The feed delay notification is sent automatically to the client based on the SLA provided by the client during the SaaS onboarding stage.

Data back-out

Data backout is directly dependent on the file size. While the application has front end functionality for the clients to execute backout, for large files backout requests can be raised to On Demand team and the time taken will be agreed and communicated to the client when the request is raised with On Demand.

System Management

Batch activities

Any issues with the execution of automated batches will be notified to the client within 1 hour of detection.

Maintenance Windows

For Enterprise Support clients, maintenance will be conducted within agreed maintenance windows on the weekend.

For Premium Support clients, the maintenance activities will be conducted over the weekend without any pre-defined slot.

User maintenance

Where a client is not utilizing single sign-on functionality, requests for new passwords, password resets will be processed within 4 hours of receipt of request.

User deactivation requests will be handled upon approval, following the Service Request SLA.

Manual Input

Users can perform manual data input directly through the front-end GUI.

Governance Reporting

SmartStream will prepare and issue a monthly report that will contain information highlighted in the table below:

	TLM Recs Premium	TLM Aurora	TLM Corp Actions	TLM CMS	Collateral
Executive Summary					
Environment Status	✓	✓	✓	✓	✓
Exec Summary Commentary	✓	✓	✓	✓	✓
Ticket Summary					
Total Tickets for the year	✓	✓	✓	✓	✓
12 Month Ticket Breakdown	✓	✓	✓	✓	✓
Month on Month Tickets Status	✓	✓	✓	✓	✓
Tickets Type Summary	✓	✓	✓	✓	✓
Ticket Summary Priority Split	✓	✓	✓	✓	✓
Summary of Monthly Stats					
Month on Month Files Uploaded	✓		✓		
Month on Month Transaction Volumes	✓	✓	✓	✓	
Month on Month Items Uploaded	✓				
Daily Volumes	✓			✓	
Volumes by Agent Account	✓				
Match Rates (AutoMatch vs Volumes)	✓	✓			
Match Rates (Manual Match)	✓	✓			
Match Rates (Auto Match)	✓	✓			
Records OK			✓		
Records NOK			✓		
No of Master Records			✓		
Securities of Interest			✓		
No of Notifications Per Data Provider			✓		
No of Active Accounts			✓		
Task Status By Request Date					✓
Volume - Number of Active Agreements					✓
System Login Stats					
No of Successful Logins for the Month	✓		✓	✓	
Total Number of Users	✓		✓	✓	
Highest Concurrent User Count	✓		✓	✓	
New Users	✓		✓	✓	
Deactivated Users	✓		✓	✓	



Service Credits

System Uptime

The Services will be operational 99.5% during any calendar month within the contracted hours of support. This represents an outage of maximum of 3.6 hours, excluding any scheduled downtime, for which the Company shall provide at least 8 hours of notice to Customer and shall be scheduled to the extent practicable outside of customer hours of support.

In case of any failure to meet this Service level in a calendar month, the Customer will be entitled to a service credit equal to the amount of one day's yearly service fee multiplied by each whole hour in excess of the 3.6 hours outage time.

The total amount of service credits available to the Customer in any calendar month shall not exceed in the aggregate 50% of the monthly service fee paid by the Customer in any such calendar month.

Service credits will be offset against the next fees due by the Customer to the Company.

Source Feeds

SmartStream to ensure that source feeds are loaded ~~by fixed time~~ within SLA (excluding any unfulfilled dependencies) by region on condition that source feeds are provided the below conditions are met by the Customer :

- That the integrity of the source feeds is good i.e., formatted correctly, content is accurate, no duplicated feeds etc.
- For any source feeds relating to reconciliations, that none of the reconciliations have proofing activated.
- Exceptions are made during periods of high volatility.
- Exceptions are made for days with a significant increase of exceptions e.g., 40% greater than the previous month's average.

In case of any failure to meet this Service level in a calendar month, the Customer will be entitled to a service credit equal to 1% of the monthly service fee for the first one (1) hour and 2% for delays greater than one (1) hour.

The total amount of service credits available to the Customer in any calendar month shall not exceed in the aggregate 50% of the monthly service fee paid by the Customer in any such calendar month.

Service credits will be offset against the next fees due by the Customer to the Company.

Customer Care Response Times

SmartStream will ensure Customer Care response times are met 99.5% of the time within a given month.

In case of any failure to meet this Service level in a calendar month, the Customer will be entitled to a service credit equal to the amount of one day's yearly service fee multiplied by each whole hour in excess of the agreed response times.

In the event that Customer Care does not respond within the agreed time frames, the service credits shall be uncapped for that calendar month.

Otherwise, the total amount of service credits available to the Customer in any calendar month shall not exceed in the aggregate 50% of the monthly service fee paid by the Customer in any such calendar month.

Service credits will be offset against the next fees due by the Customer to the Company.

Customer Care Centre Contact Information

EMEA Customer Care Centre (UK)

07.00 - 18.00 Monday to Friday (excluding UK Public Holidays)

SmartStream Technologies Ltd.



1690 Park Avenue, Aztec West

Almondsbury

Bristol BS32 4RA

UK

Tel: +44 (0) 1454 888485

stl-support@smartstream-stp.com

European Customer Care Centre (VIE) - Austria

09:00 - 17.00 CET Monday to Friday (excluding Austrian Public Holidays)

SmartStream Technologies

Vienna Twin Towers

Wienerbergstr. 11Wien 1100

Austria

Tel: +43 1 31354 111

Aurora.support@smartstream-stp.com

Air.support@smartstream-stp.com

North and South America Customer Care Centre

09:00 - 19.00 EST Monday to Friday (excluding USA Public Holidays)

SmartStream Technologies Inc.

90 Broad Street

New York



NY 10004

USA

For all SmartStream products apart from Aurora and TLM AIR

Tel: +1 212 763 6505

Tel: 877 215 8227 (TollFree US Internal)

Fax: +1 212 763 6501

stl-support@smartstream-stp.com

For TLM Aurora and TLM AIR products only

Tel: +1 305 954 7769

Aurora.support@smartstream-stp.com

Air.support@smartstream-stp.com

Asia Pacific Customer Care Centre

09.00 - 18.00 Monday to Friday (excluding Singapore Public Holidays)

SmartStream Technologies (Asiapac) Pty.

80 Robinson Road, #11-01A

Singapore

068898

Tel: +65 6220 2584

Tel: 1800 880 800 (for Australian customers)

stl-support@smartstream-stp.com



Aurora.support@smartstream-stp.com

Air.support@smartstream-stp.com

Additional SmartStream Technologies company information can be found at:

www.smartStream-stp.com.

Customers requiring a userid/password for the customer portal, should contact the European Customer Care Centre (BRS) at stl-support@smartstream-stp.com.

OnDemand SaaS Contact Information

The OnDemand SaaS Production Support team has access to customer data strictly for the purpose of providing the contractual production support services.

Only the OnDemand SaaS team is authorized to access customer environments. No other team or individuals have access permissions. SmartStream operates access permissions using the principle of least privilege.

All access to customer environments is performed exclusively from secure physical locations.

SmartStream Technologies

No. 9, Block 2, Prestige Blue Chip Software Park

Dairy Colony





Hosur Main Road

Bangalore

560029

India

SmartStream Technologies

4190 Belfort Road

Jacksonville

Florida 32216

USA

SmartStream Web-Based Customer Care System

Online access is available to customer's Customer Care calls, by visiting the customer portal at <https://SmartStream-stp.microsoftcrmportals.com>.

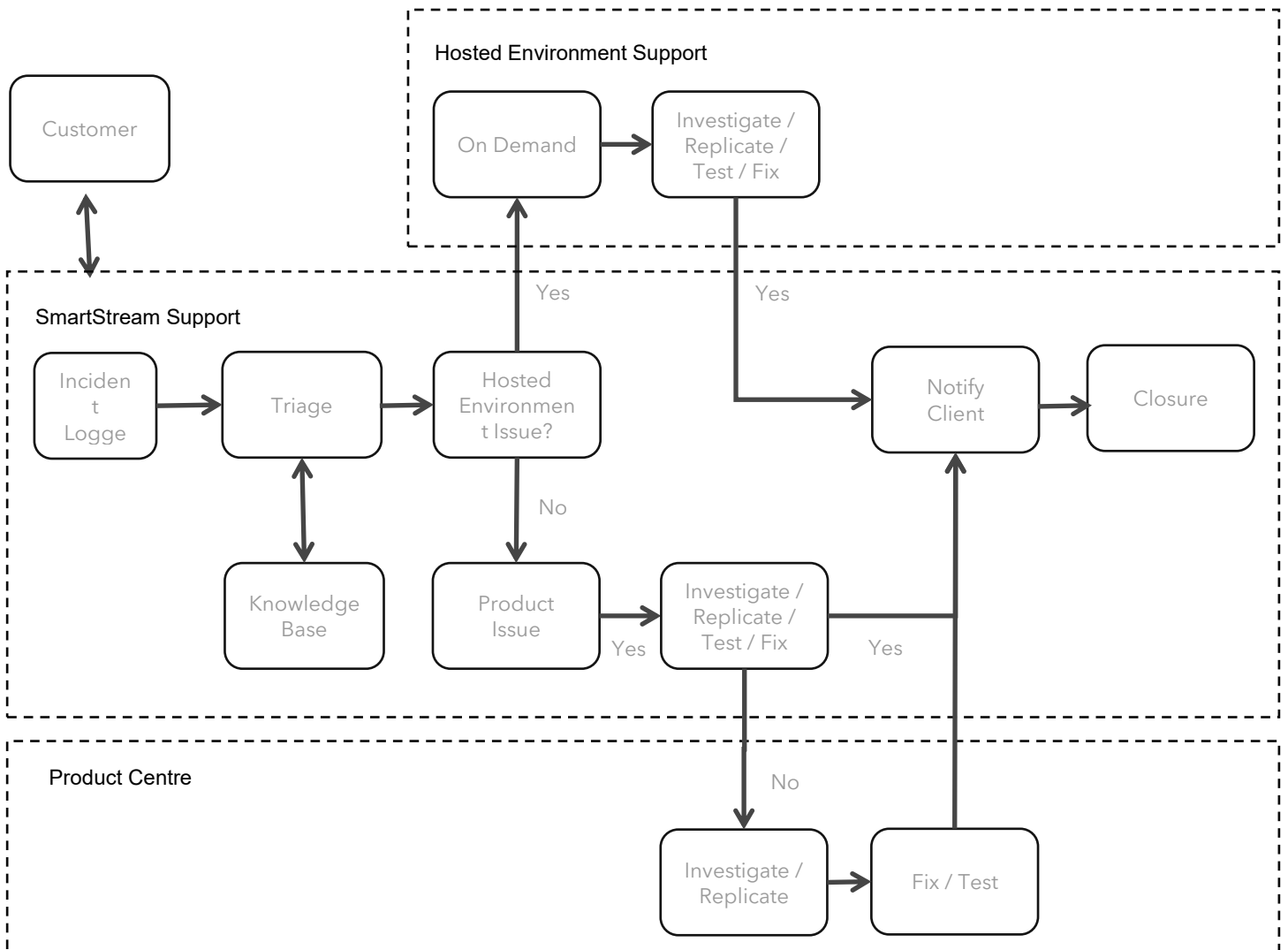
Access to customer's Customer Care call information is generally available 24 hours per day, 7 days a week. This includes the ability to log new Customer Care calls online, add updates to any open calls, as well as review the status of the customer's past and present Customer Care calls.



Appendix A

Incident Management Flow

Captured below is the typical flow of an incident raised by a client in relation to their OnDemand SaaS service



Appendix B

Change Control Process

Introduction

The Change Control Process was created for the TLM OnDemand SaaS to manage and control the approach to change management, what defines a change, the purpose and role of the change control board, and the overall change management process.

All stakeholders will be expected to submit or request changes to the TLM OnDemand SaaS in accordance with this Change Management Plan and all requests and submissions will follow the process detailed herein.

Change Management Approach

The approach for TLM OnDemand SaaS will be to ensure that all proposed changes are defined, reviewed, and agreed upon so they can be properly implemented and communicated to all stakeholders.

The change management approach is not to be confused with the change management process which will be detailed later in this plan. The change management approach consists of four areas:

- Ensure changes are within scope and beneficial to the project
- Determine how the change will be implemented
- Establish if there are commercial / financial considerations in relation to the delivery of the change request
- Manage the change request during the delivery period

The change management process has been designed to make sure this approach is followed for all changes. By using this approach methodology, OnDemand SaaS will



prevent unnecessary change from occurring and focus its resources only on beneficial changes within the delivery scope.

Definitions of Change

There are several types of changes which may be requested and considered for the TLM OnDemand SaaS. Depending on the extent and type of proposed changes, changes project documentation and the communication of these changes will be required to include any approved changes into the project plan and ensure all stakeholders are notified.

Types of changes include:

- Base Product Changes: changes that will impact the underlying software
- Configuration Changes: changes which will impact the functionality or behaviour of TLM, this could include match rules, dashboards, users, or roles for example.
- Test/On-Boarding to Live Promotion: changes that track the promotion of any tested changes up through the systems from lower environments to Production

The project manager or OnDemand SaaS Manager must ensure that any approved changes are communicated to the project stakeholders.

Additionally, as changes are approved, the project manager or OnDemand SaaS Manager must ensure that the changes are captured in the project documentation where necessary. These documented updates must then be communicated to the project team and stakeholders.

Change Control Board

The Change Control Board (CCB) is the approval authority for all proposed change requests pertaining to OnDemand SaaS Project.

The purpose of the CCB is to review all change requests, determine their impacts on the project risk, scope, cost, and schedule, and to approve or deny each change request.

The following chart provides a list of the CCB members for the TLM on Demand Project:

Name	Position	CCB Role
------	----------	----------

xxxx	Global Head of Managed Services	CCB Chair
xxxx	Head of Managed Services and OnDemand SaaS Operations	CCB Member
xxx	Head of OnDemand SaaS	CCB Member

As change requests are submitted to OnDemand SaaS by the customer, the requests will be logged and submitted to the CCB who review all such change requests.

In the event more information is needed for a particular change request, the request will be deferred and sent back to the requestor for more information or clarification.

Roles and Responsibilities

This section describes the roles and responsibilities of project team members regarding the change management process.

It is important that everyone understands these roles and responsibilities as they work through the change management process. These roles and responsibilities must be communicated as part of the change management plan to all project stakeholders.

The following are the roles and responsibilities for all change management efforts related to the TLM on Demand Project:

OnDemand SaaS Manager:

- Receive and log all change requests from project stakeholders
- Conduct preliminary risk, schedule, scope analysis of change
- Seek clarification from change requestors on any open issues or concerns
- Make documentation revisions/edits as necessary for all approved changes
- Participate on CCB discussion to review change(s)

Project Team/Stakeholders:

- Submit all change requests on standard Change Request forms
- Provide all applicable information and detail on change request forms



- Be prepared to address questions regarding any submitted change requests
- Provide feedback as necessary on impact of proposed changes

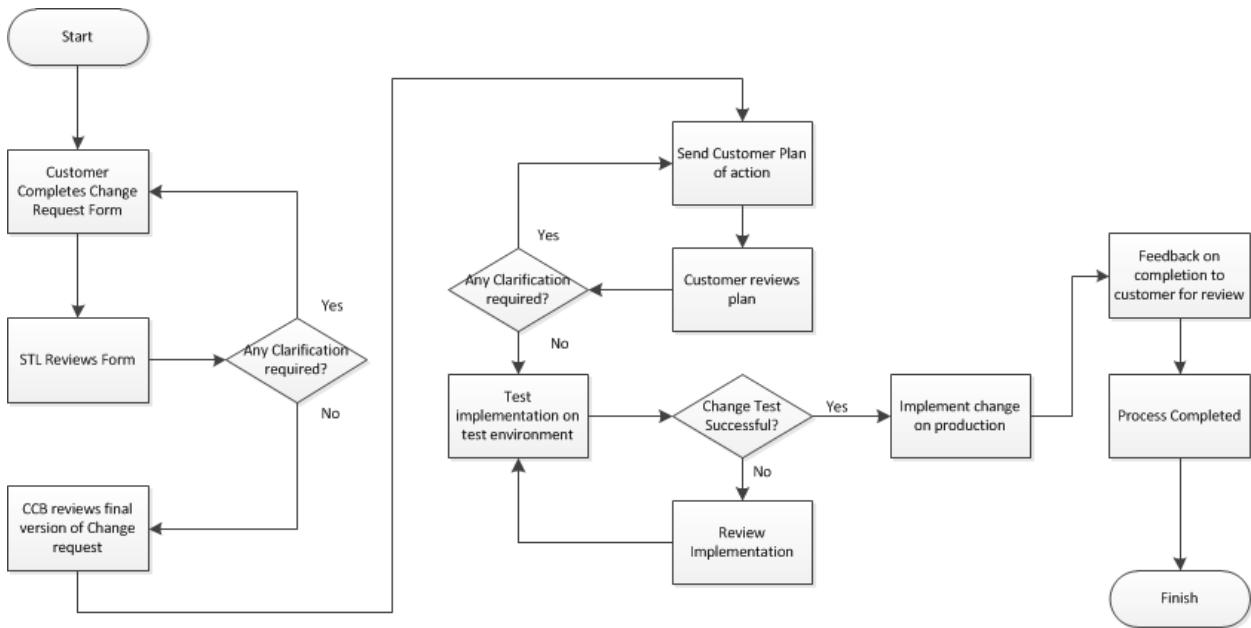
Change Control Process

The Change Control Process for OnDemand SaaS will follow the organizational standard change process for all projects.

The OnDemand SaaS Manager has overall responsibility for executing the change management process for each change request.

- 1) Identify the need for a change (Stakeholders) - Change requestor will submit a completed change request form to the OnDemand SaaS Manager.
- 2) Log change in the change request register (OnDemand SaaS Manager) - The OnDemand SaaS Manager will keep a log of all submitted change requests throughout the project's lifecycle.
- 3) Evaluate the change (OnDemand SaaS Manager, Team, and Requestor) - The OnDemand SaaS Manager will conduct a preliminary analysis on the impact of the change and seek clarification from team members and the change requestor.
- 4) Submit change request to CCB (OnDemand SaaS Manager) - The OnDemand SaaS Manager will submit the change request, as well as the preliminary analysis, to the CCB for review.
- 5) Obtain Decision on change request (CCB) - The CCB will discuss the proposed change and decide whether it will be approved based on all submitted information.
- 6) Implement change (OnDemand SaaS Manager) - If a change is approved by the CCB, the OnDemand SaaS Manager will update and re-baseline project documentation as necessary.

Process diagram:



Appendix C

OnDemand SaaS SaaS Change Management Form

Request Information		Client Name :	
1	Requestor First Name	Requestor Last Name	Request Date
2	Current status Pending approval	Type of changes Configuration	Scope of changes Upgrade
3	Change duration Permanent	If change is temporary, revert date	
4	List all TLM solutions or services affected by the changes		
5	Priority of the change Low	Proposed date of change	
6	Explain changes being made. Provide all necessary details		
7	Please describe the reason for the change and intended objective		
8	Current configuration or version of software installed		
9	Proposed configuration or version of software being installed		

Approval Information (to be completed by OnDemand SaaS Support)
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10	List all management that needs to approve the change		
11	List all employees that need to be informed of the change		
12	When were the employees informed	Contact method Not yet done	Informed by Not yet done

IT Resource Information (to be completed by OnDemand SaaS Support)			
13	OnDemand SaaS owner responsible for execution of this request unassigned		
14	List names of other OnDemand SaaS / COU / PS consultants assisting in request		
15	Scheduled start date	Start time	Projected end date Projected end time

Completion	
16	All changes completed by Not yet complete Actual Completion date
17	Dept Head sign off on completed changes Sign-off date

