

HIGHWIRE

HighWire Bugs & Issues Support SLA

FUNDS  AXIS

Policy title:	HighWire Bugs & Issues Support SLA
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Issue	2.0
Approved by:	Darren Burrows
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Scope:	The policy applies to Funds-Axis Group and all contractors and other people working on behalf of the company.
Responsibility for Implementation & Training:	<p>Day to day responsibility for implementation: ISO</p> <p>Day to day responsibility for training: ISO</p>

Distribution methods:	<p>Methods used to communicate this policy:</p> <ul style="list-style-type: none"> Information Security Training Module
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1. Help Desk & Support

1.1 Service Availability

The Services are available between 6 a.m. and 10 p.m. every day, Monday to Saturday.

Maintenance windows are scheduled as follows:

- \ Planned maintenance is carried out at weekends.
- \ Unscheduled maintenance is performed outside Normal Business Hours, with reasonable endeavors to provide at least 4 hours' notice.
- \ Emergency maintenance during Normal Business Hours may be required in exceptional circumstances where critical system issues pose immediate risks to service delivery, data security, or system integrity. In such cases:
 - o Immediate notification will be provided to affected customers.
 - o Impact assessment and mitigation plans will be communicated
 - o Updates will be provided throughout the maintenance period.
 - o Post-maintenance report will detail actions taken and preventive measures implemented.

1.2 Support Hours and Response

Support Service will be provided between 7 a.m. UK time to 5 p.m. UK time for European customers and until 7pm U.S. EST time for US Customers (17 HOURS, 5 DAYS PER WEEK).

Help-desk tickets are raised by clients, directly through the application.

We will address support issues that can be reproduced by us in accordance with the severity levels defined below. The severity level assigned to support issues will be jointly agreed between the customers and us.

Enhancement requests and/or modifications are not considered as support issues and do not have any associated severity level.

1.3 Service Level Agreement (SLA)

Platform Availability:

- \ 99.9% uptime commitment during business hours.
- \ Scheduled maintenance windows communicated in advance.
- \ Real-time system health monitoring.
- \ Proactive issue detection and resolution.
- \ Regular performance reporting.

Monitoring and Performance Tracking:

- \ Continuous monitoring through AWS CloudWatch.

- Regular performance metrics reporting.
- System health dashboards.
- Automated alerting systems.
- Regular service quality assessments.

1.4 Severity Levels:

- Severity Level 1** - means a critical issue which will be responded to in 30 minutes. A critical issue occurs when at least 50% system users are unable to access or successfully log in to HighWire. This would include when there is a complete loss of HighWire Services or errors within the application that are preventing access or use of the services. Known or suspected security breaches are also within this category.
- Severity Level 2** - means a business impacting issue which will be responded to in 2 business hours. The Client is unable to perform a mission critical business function and high business impact occurs, or there is an underperforming workaround in place for a mission critical business function.
- Severity Level 3** - means delayed performance and will be responded to in 8 business hours. Process or calculation slowdown that impacts on the efficiency of the Clients' normal business operations.
- Severity Level 4** - means cosmetic problems and will be responded to in 24 business hours; Minor flaws that do not impact the Clients' normal business operations.

1.5 Resolution Time:

Technical support issues meeting the severity level descriptions set forth above will be addressed as set forth below:

- Severity Level 1** – Funds-Axis development or support resources will work 24 hours per day, 7 days per week, to resolve all Severity Level 1 incidents until the issue has a temporary repair or workaround in place. A permanent repair will be performed during business hours. Upon request by Funds-Axis, the Client will use all reasonable efforts to make a designated contact available 24 hours per day, 7 days per week to assist Funds-Axis development or support resources in the investigation of the issue.
- Severity Level 2** – Funds-Axis development or support resources will work support business hours to resolve all severity level 2 incidents until the issue has a temporary repair or workaround in place. A permanent repair will be performed during business hours.
- Severity Level 3** – Funds-Axis development or support resources will work during business hours until a temporary repair or workaround is in place and then work to provide a permanent repair.
- Severity Level 4** – Funds-Axis development or support resources will work during business hours to resolve severity level 4 incidents in order of their priority.

Resolution times can vary depending on the nature of the problem. The above target resolution times are provided as indicative guides only. For more complex issues, a detailed resolution plan will be drawn up and shared with Customer.

2. Incident Management and Support

2.1 Proactive Incident Detection

- \ Real-time monitoring for potential issues.
- \ Automated alerting systems.
- \ Regular system health checks.
- \ Continuous performance monitoring.
- \ Early warning system for potential problems.
- \ Security Information and Event Management (SIEM) tools for comprehensive security monitoring and incident detection.
- \ Advanced endpoint detection and response capabilities.
- \ Integrated security alerting and response procedures.

2.2 Incident Support Services

All incident-related support is provided at no additional cost to customers, including:

- \ 24/7 emergency support for critical incidents.
- \ Technical investigation and troubleshooting.
- \ Implementation of temporary and permanent fixes.
- \ Root cause analysis.
- \ Incident documentation and reporting.
- \ Post-incident review and recommendations.

2.3 Incident Management Process

- \ **Detection and Recording**
 - Automated detection through monitoring systems.
 - Manual reporting through help desk.
 - Immediate logging and categorisation.
- \ **Classification and Initial Support**
 - Severity level assessment.
 - Initial response according to SLA.
 - Assignment to appropriate support team.
- \ **Investigation and Diagnosis**
 - Technical analysis.
 - Impact assessment.

- Root cause investigation.

Resolution and Recovery







- Implementation of fixes.
- Service restoration.
- Validation of resolution.

Incident Closure






- Confirmation with customer.
- Documentation update.
- Preventive measures implementation.

2.4 Root Cause Analysis and Remediation




For all significant incidents:

-  Detailed technical investigation.
-  Impact analysis.
-  Identification of contributing factors.
-  Development of preventive measures.
-  Implementation of system improvements.
-  Documentation of lessons learned.

2.5 Communication and Reporting

-  Regular status updates during incidents.
-  Post-incident reports.
-  Monthly incident summaries.
-  Quarterly service level reviews.
-  Annual security assessment reports.

2.6 Cost Structure

-  Standard incident support included in service fees.
-  No additional charges for:
 - Incident investigation.
 - Implementation of fixes.
 - Root cause analysis.
 - Status reporting.
 - Post-incident review.
-  Optional services available at pre-agreed rates:
 - Custom development requests.
 - Enhanced monitoring.

- Additional training.
- Specialised consulting.

2.7 Early Warning Notice

Funds-Axis maintains a proactive communication approach for material adverse events:

Early Warning Notification Process

- \ Immediate notification of events that may affect service delivery or obligations.
- \ Detailed information provided including:
 - Affected elements of obligations.
 - Reason for the disruption.
 - Preventive steps being undertaken.
 - Mitigation measures implemented or planned.

Communication Timeline

- \ Status updates every two (2) hours following initial Early Warning Notice.
- \ Updates continue until circumstances forming the basis of the notice have ceased.
- \ Immediate notification of any material changes in circumstances.
- \ Notification within 24 hours of any personal data breach.

Documentation and Tracking

- \ All Early Warning Notices logged and tracked.
- \ Impact assessments documented.
- \ Mitigation measures recorded.
- \ Resolution status monitored.



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