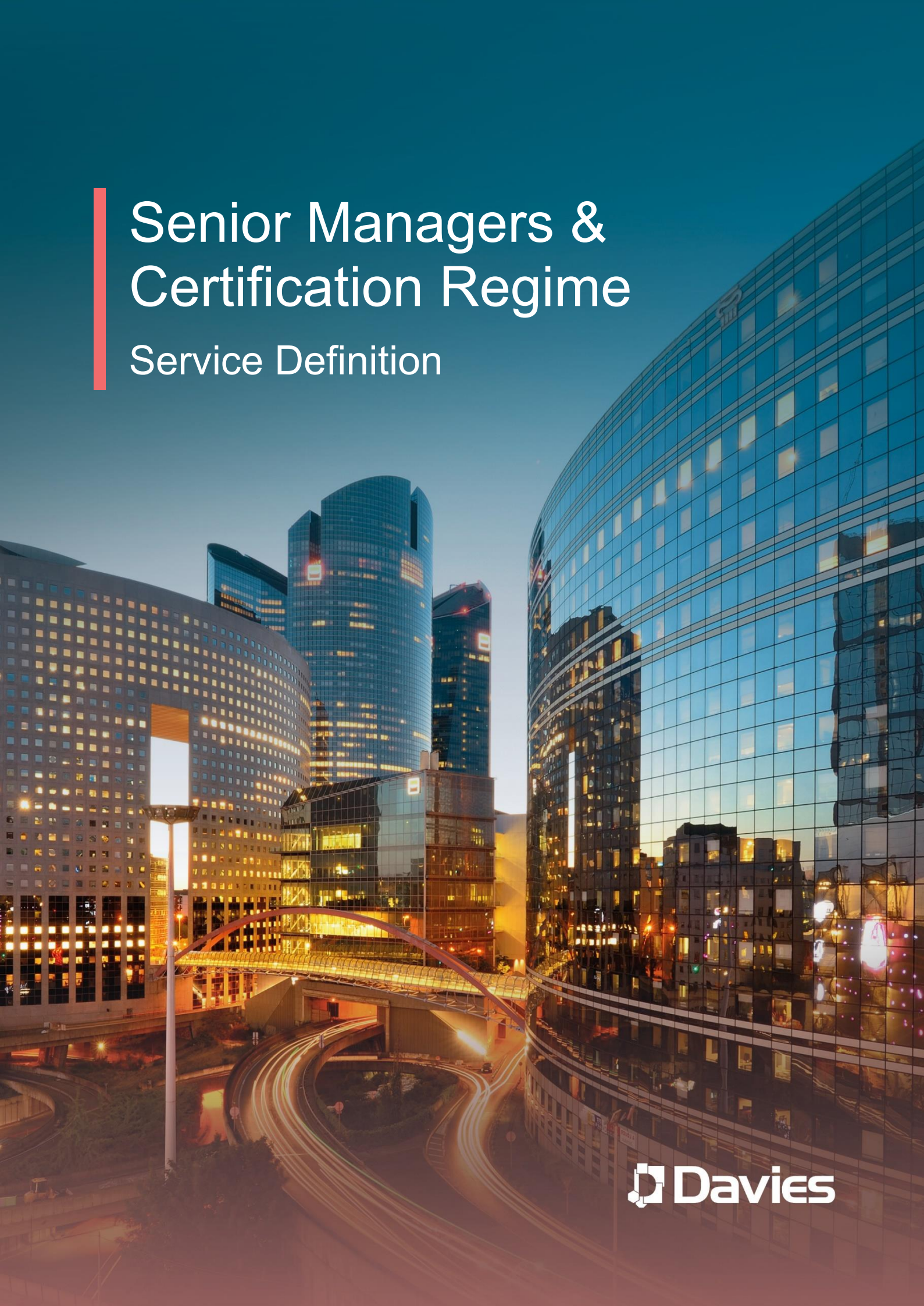




# Senior Managers & Certification Regime

## Service Definition

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## 1 Overview

The Senior Managers and Certification Regime proposition from Davies Technology Solutions is a SaaS (software-as-a-service) product delivering flexible workflow, record keeping and management information to support adherence to the regimes within Financial Services for large and small firms.

The solution is multi-tenanted Single Page application hosted on a scalable and secure private cloud based Environment.

We also have complementary offerings in Davies Group from our colleagues within the Consulting and Technology division, including: Bespoke Application Development, Contact Management, Intelligent Automation, Data Analysis & Reporting, Compliance Checks, Regulatory Automated Quality and Compliance, Customer feedback collection and insights analysis, and Speech & Text Analytics. Often, working with a single vendor across multiple disciplines and business areas can have wide-ranging benefits to all initiatives. So, please do get in touch if you have questions regarding how these elements can work together to provide even greater benefit.

## 2 Service Name

Accord

### 2.1 Service Features

- Allocation of SMFs, Responsibilities, Key Functions to Senior Management
- Committee membership and Governance Structures
- Handover and Delegation functions
- Reasonable Steps evidence
- Organigram function to create Organisation charts and model updates
- MRM creation
- Fitness and Propriety process
- Certification process
- FCA Directory updates and reconciliation
- Manage Employee Competence
- Adherence to Conduct Rules
- Performance Management, appraisals and reviews
- Configurable form templates
- Communication Hub
- Automated notifications and 'calls to action'
- Dashboards and standard reports
- Data import and export including integration via API

### 2.2 Service Benefits

- Automate your processes
- Unlock more efficiency for all stakeholders
- Create a more sustainable long-term and future proofed solution
- Resolve the challenges of insufficient resources
- Alleviate the risk of manual data entry and manipulation
- Mitigate risks to the integrity of management and regulatory returns
- Resolve concerns with transparency, oversight and control
- Simplify the production of reports and regulatory returns
- Ensure greater levels of consistency across end to end process
- Reliable completion standards and consistency
- Collects and consolidates all SM&CR related data into a single platform. All stakeholders can view and attest to information and tasks in a consistent and cohesive way.

### 3 Why Accord?

Accord can significantly reduce the need for manual intervention and unnecessary administrative effort. Controls all of the processes and procedures relating to SM&CR within one system, whilst minimising the risk of inaccurate or erroneous data due to human error.

Provides a complete and comprehensive audit history of all related activity, evidence, and records in a single platform. And gives the confidence that both your organisation and your key stakeholders are suitably supported in meeting their regulatory obligations.

### 4 Service Management

Customer service for Accord is provided by our online ticketing facility between the hours of 09.00hrs and 17.00hrs - Monday to Friday (excluding Bank Holidays).

Onsite and Insight Consultancy support can be provided, however does not form part of the standard service level agreement.

### 5 Service Levels

SLA/ Target Response Time

| <b>Severity Level</b>  | <b>Severity Definitions</b>                                                                                                                     | <b>SLA – Target Response Time*</b>                      |
|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------|
| <i>Severity 1</i>      | Critical Service Impact<br><br>Issue critically affects the primary application purpose and is inaccessible by the majority of users            | Under 1 hr                                              |
| <i>Severity 2</i>      | Significant Service impact<br><br>A software or configuration component is severely restricted in its use, causing significant business impact. | 4 hrs                                                   |
| <i>Severity 3</i>      | Moderate Service Impact<br><br>A non-critical software component is malfunctioning causing moderate business impact                             | 10 hrs                                                  |
| <i>Severity 4</i>      | Minimal Service impact<br><br>A non-critical software component is malfunctioning, causing minimal impact, or a technical request is made       | 3 Days                                                  |
| <i>Non Live Issues</i> | No service impact<br><br>An issue affecting a pre-production environment                                                                        | Each incident will be reviewed and timescales discussed |

## 6 Backup/Restore & Disaster Recovery

Davies Technology Solutions utilise database backups, incremental backups and transaction log backups that the service automatically maintains allowing the system to be rolled back if an issue arises.

In addition, in the event of a local infrastructure issue, the client's implementation will failover from the Primary to the Disaster Recovery site. This process will be near instantaneous with data loss contained to a maximum of 15 minutes pre the issue occurrence. Both the Primary and Disaster Recovery sites are ISO 27001:2013 Tier 4 data centres offering highly resilient and secure site infrastructure with dual+ power and networking.

## 7 Training

'Train the Trainer' training is offered as part of the onboarding process. Accord also has a Community Portal allowing users to watch short 'How to' videos to complete tasks within the application.

## 8 Commercial Model

### 8.1 Onboarding Costs

Accord is subject to a one off fixed deployment fee of £9,500 based on our fixed deployment model and all the professional services and support required to support clients through the deployment tasks required to configure this SaaS solution such as setting up user profiles, teams and role definitions for your employees, setting up the Accord database, custom properties and workflows to match your rules and your business requirements.

### 8.2 Ongoing Costs:

We licence Accord based on the number of key people who are subject to the rules of the relevant accountability regime and charge for those 'full user accounts' via an annual recurring banded licence model.

Licence fees benefits from an inbuilt volume discount as user numbers rise starting from as little as £8,296 for up to 20 users and increasing to £35,700 for up to 100 users, with bandings starting from as few as 10 users and increasing to cover populations in excess of 3000 users. Please contact the team for accurate quotes based on your actual user numbers.

### 8.3 Commercial assumptions:

- All pricing is in GBP and excludes VAT and any sales taxes at the prevailing rate.
- Payment terms are 30 days from date of invoice.
- Pricing provided is a guide, all pricing is based on best practice and client requirements
- Travel and other business expenses re-charged to the client
- Standard support and maintenance included within the annual license fee

## 9 Termination Terms

Initial 3 year term, then 12 monthly roll on, unless 3 months' notice given.

## 10 Linked Services

### 10.1 Regulatory Compliance

The Foundation platform provides a comprehensive compliance solution including Tracsmart for Training and Competence management, Quality Assurance management, Complaints Management, Financial Promotions approval process, and Veriphy for regulatory onboarding checks including AML, PEP/Sanctions and Biometric checks.

### 10.2 Contact Management

The feedback gained from a VoC programme can often illuminate areas of your contact management landscape or processes that require improvement. We can help you use this knowledge to address CX issues and improve your feedback scores – a virtuous circle.

### 10.3 Intelligent Automation

Davies Intelligent Automation is a SaaS Robotic Process Automation (RPA) platform, which can augment and enhance the capability of Contact Management solutions, enabling connectivity into legacy systems, accelerating digital transformation initiatives, and improving citizen/customer experience.

### 10.4 Artificial Intelligence and Data Science

Artificial Intelligence is becoming more frequently used in customer contact interactions. From enhancing a natural language voicebot or chatbot, to proactive alerting for a variety of reasons including fraud, customer churn and everything in between.

### 10.5 Speech/Text Analytics

Davies Analytics works with clients across sentiment analysis, fraud detection, quality assurance, and customer experience. The enhanced capabilities of a modern cloud contact centre provide rich data for analysis and well as enabling tailored customer experiences driven by insight.

### 10.6 Voice of the Customer (VoC)

Customer feedback is the secret weapon for improving CX. Omnichannel contact integration can enhance contextual understanding and help you discern underlying causes of good and bad feedback, as well as help you improve CX on the back of it.

### 10.7 Digital Innovation

State-of-the-art contact management tools, combined with enhanced digital journeys on top of their legacy estate, has enabled our clients to deliver significant improvements in CX/EX/UX.

## **Davies Group Limited**

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