

Feb 2026

CoreStream Internal Controls Manager – Services Definition Document



Introducing CoreStream

CoreStream is a UK based provider of Governance, Risk and Compliance (GRC) technology solutions focused on helping organisations manage risk, satisfy compliance obligations and ultimately operate more effectively.

Our aim is simple; to make technology intuitive.

Our leadership team has decades of combined experience in big 4 consultancies and has experience in procuring and implementing technology solutions as clients ourselves. We recognise the common frustrations of working with technology partners and use this understanding to ensure we structure projects to deliver quality output, on time and within budget.

CoreStream has experience operating in a wide range of industries, including a wealth of experience in the public sector and some of the largest organisations in the world. We have strong and long-running relationships with a number of blue-chip clients which sees us renowned for delivering line-of-business applications that yield immediate results.

CoreStream is not only a technology provider. Our industry experts help you to shape the optimal solution, with the benefit of a deep understanding of your business challenges, and experience of what works in the real world.

What is GRC?

With a single fully in-house built solution, CoreStream spans the full scope of GRC as defined by the OCEG capability model



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1. Overview

CoreStream Risk Manager is a flexible environment for centralising risk management across your organisation or within a specific division or department. The CoreStream Platform supports the recording and editing of risk data (using the Risk Register), the dissemination of risk content to targeted audiences and it automates the creation of tasks to help ensure risks are regularly reviewed and updated.

Our end-user configurable reporting dashboards provide real-time information on both the status of risks and the performance of the risk management process itself. We have a novel set of features for highlighting risk trends and an artificial-intelligence driven function for identifying common causes and consequences of Risks.

The Risk Manager Service forms part of our integrated Governance, Risk and Compliance (GRC) SaaS suite but is also available as a standalone module.

CoreStream Risk Manager Service is a highly configurable offering, providing the capability to manage risks according to a variety of frameworks and in any industry setting. Its aim is to centralise and standardise the tracking and reporting of risks, removing errors relating to manual processing, and thus providing a more efficient risk management process.

Our recent updates to Risk Manager include a generative AI 'co-pilot' feature that supports users by suggesting common causes, consequences, and control strategies for the risk entered.

Key features include:

- Ability to record, review and disseminate risk information to relevant stakeholders and employees.
- Generative AI support for suggesting risk causes, consequences and control strategies.
- Automate recurring review tasks to prompt owners to update risks or related content.
- Fully configurable Risk Register to match your organisation's template.
- Map risks to controls, report mitigating actions.
- Report via a dashboard to highlight trends or risk hotspots, with ability to drill down directly to underlying content.
- Track risk trends over time with unique animated bubble charts

- View risks in context of your operational processes using our integrated process mapping tool.
- Manage risks using a 'bow-tie' chart.
- Access to all linked content directly from the dashboard.
- Risk report publishing feature which provides a fully formatted summary of one or more risks in a document to match your branding

Further details of these functional areas are provided in the following sections:

Risk Capture and Dissemination:

User-adoption is key to the efficacy of a risk management framework, and the CoreStream Risk Manager has been designed specifically to simplify the capture and sharing of risk information through its user-friendly interface.

Once captured, risks can be disseminated to those who need to be aware on an individual or group basis. Acknowledgement that risks have periodically been read and understood can be captured for audit or regulatory purposes.

Recipients are notified of new risks through their own dashboard.

Risk scores, their recent movements and all linked content can all be viewed via the risk register, whilst global search and excel-style column filtering makes the navigation of your risk data a simple task.

Risk Reviews:

Risk management is a continuous, business as usual activity. To support the periodic review of risk content, the CoreStream Risk Manager automates the creation of review tasks to notify risk owners (or other relevant stakeholders) that a risk is due for review. Confirmation that the review has been completed and a summary of the changes made is maintained by the system.

Risk Mitigation Controls:

CoreStream Risk Manager supports the mapping of risks to controls. Controls can then be assigned ownership and subjected to regular review or testing schedules. These features can also be merged with our Controls Manager module which offers advanced

Integrated Process Mapping

Key to achieving and demonstrating comprehensive risk management is the capture of risks for your operational processes. CoreStream Process mapping allows you to build your processes, then overlay risk and control content.

Risk Reporting:

The CoreStream Risk Manager provides a reporting dashboard including a dedicated risk reporting heatmap. From these dashboards, Risk Manager provides drill down capabilities, enabling users to focus their attentions on any problem areas. In addition to built-in reports, tailored reporting can be provided, and admin users can configure their own reports.

For offline analysis, Risk Manager provides export functionality (Excel, Word and PDF) as standard.

Complementary Services

Additional components of the GRC suite can be made available to support the Accident Manager module, allowing a tailored solution to be created to meet your specific accident management or compliance requirements.



Our SaaS offerings can also be deployed on premise behind your firewall. Further details including video demonstrations can be found on our website: www.corestream.co.uk

1.1 Risk Manager Sample Screenshots

CORESTREAM

Katy-Jayne Chambers

KC

Risks

Action Required

Key Risks

All Open Risks

All Closed Risks

Archived Risks

ID	TITLE	RISK OWNER	STATUS	RISK REGISTER SELECTED	CATEGORY SELECTED	UPDATE STATUS	RISK SCORE	RISK SCORE PROGRESS TRACKER	APPETITE	CURRENT RAG	CAUSES	CONSE
39	Risk 5	Alka Kumar (Alka.Kumar@corest...)	Awaiting Approval Decision	R2	Risk Category Level 2	Not Due	4		Below Appetite	Green	1	0
38	Risk 4	Natalie Amarfo (natalie.amarfo...)	Awaiting Closure Decision	R1	Risk Category Level 1	Not Due	15	15	Within Appetite	Red	1	0
33	Risk 3	Matthew Eddolls (matt.eddolls@...)	Awaiting Approval Decision			Overdue	6		Below Appetite	Green	2	2
14	Risk 2	Alka Kumar (Alka.Kumar@corest...)	Awaiting Approval Decision	Finance	Risk Category Level 1	Not Due	25	625	Within Appetite	Red	1	0
3	Risk 1	Rocio Gomez (Rocio.Gomez@co...)	Awaiting Closure Decision	Risk Register L5		Not Due	6	126	Below Appetite	Green	1	1

Figure 1: Risk Register with linked content and at-a-glance risk score history.

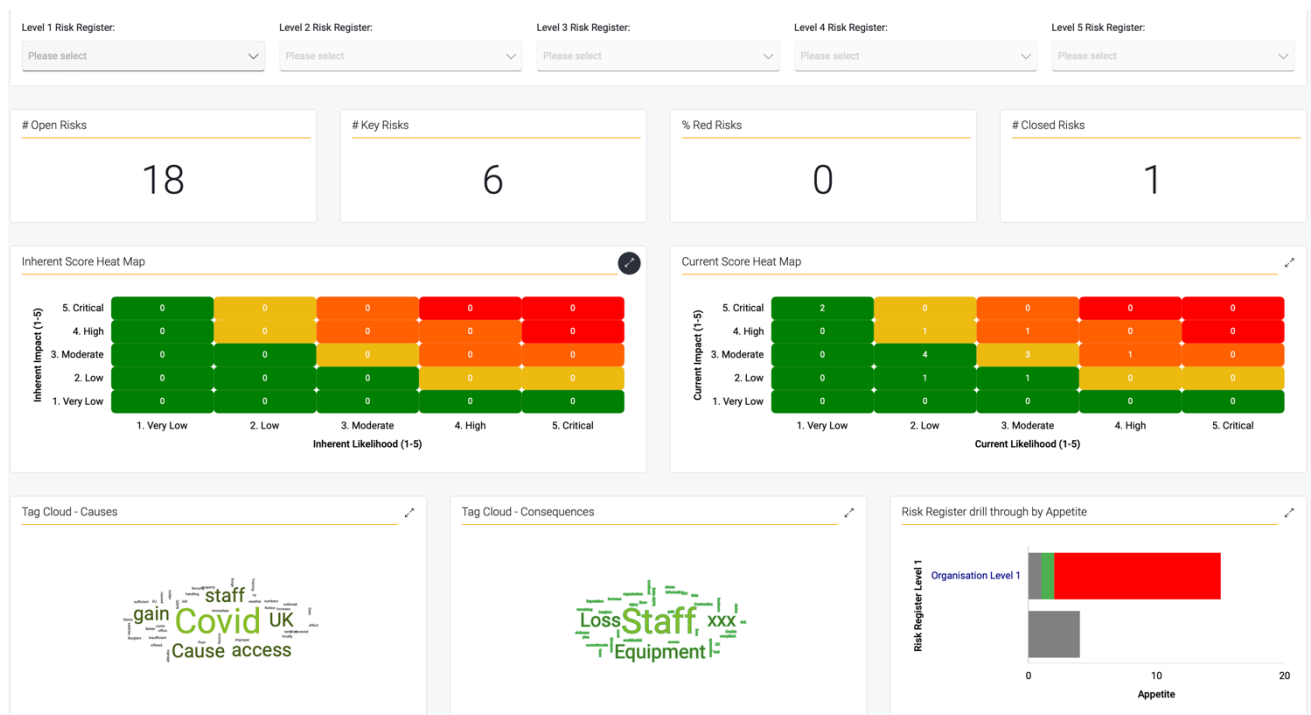


Figure 2: Sample Dashboard – Risk reporting

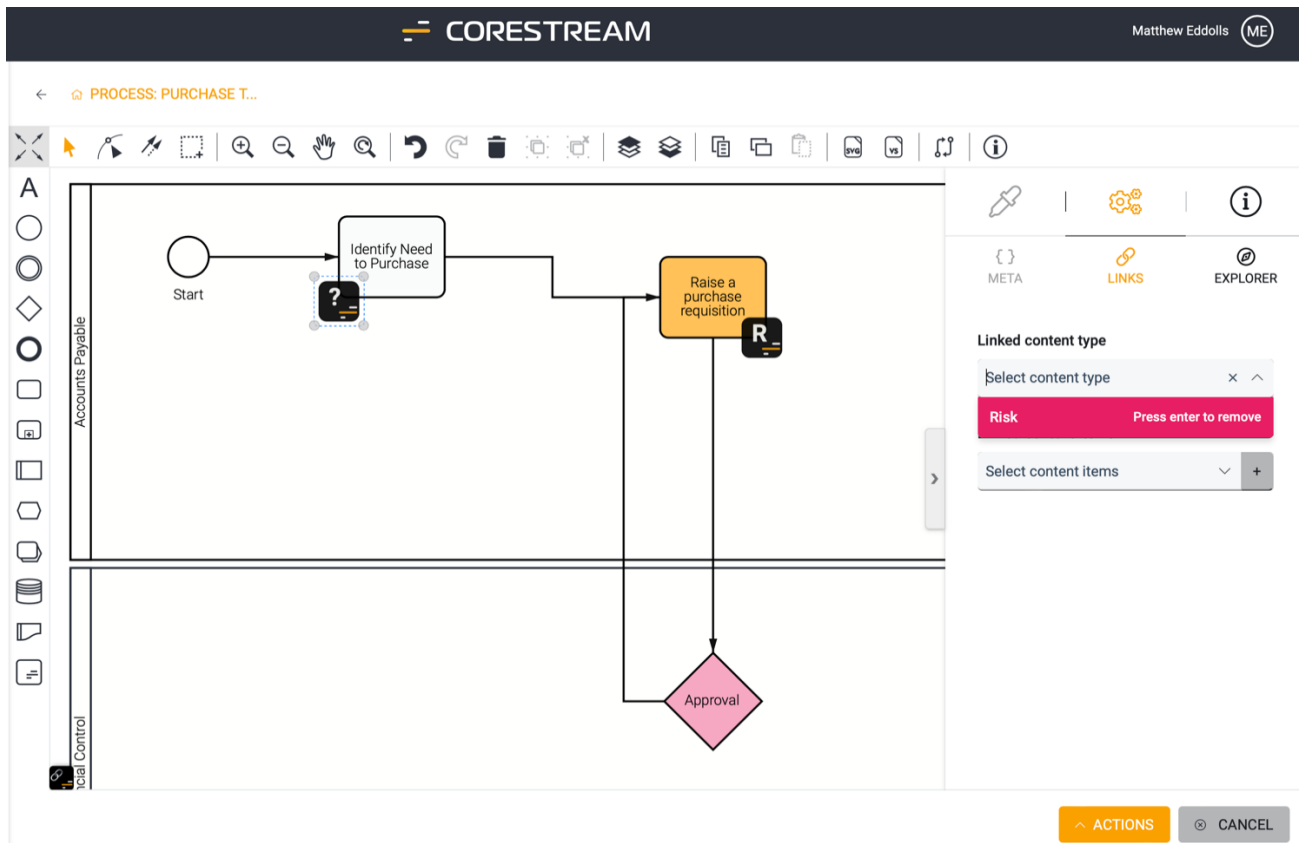


Figure 3: Overlaying of risks on graphical representations of an operational process

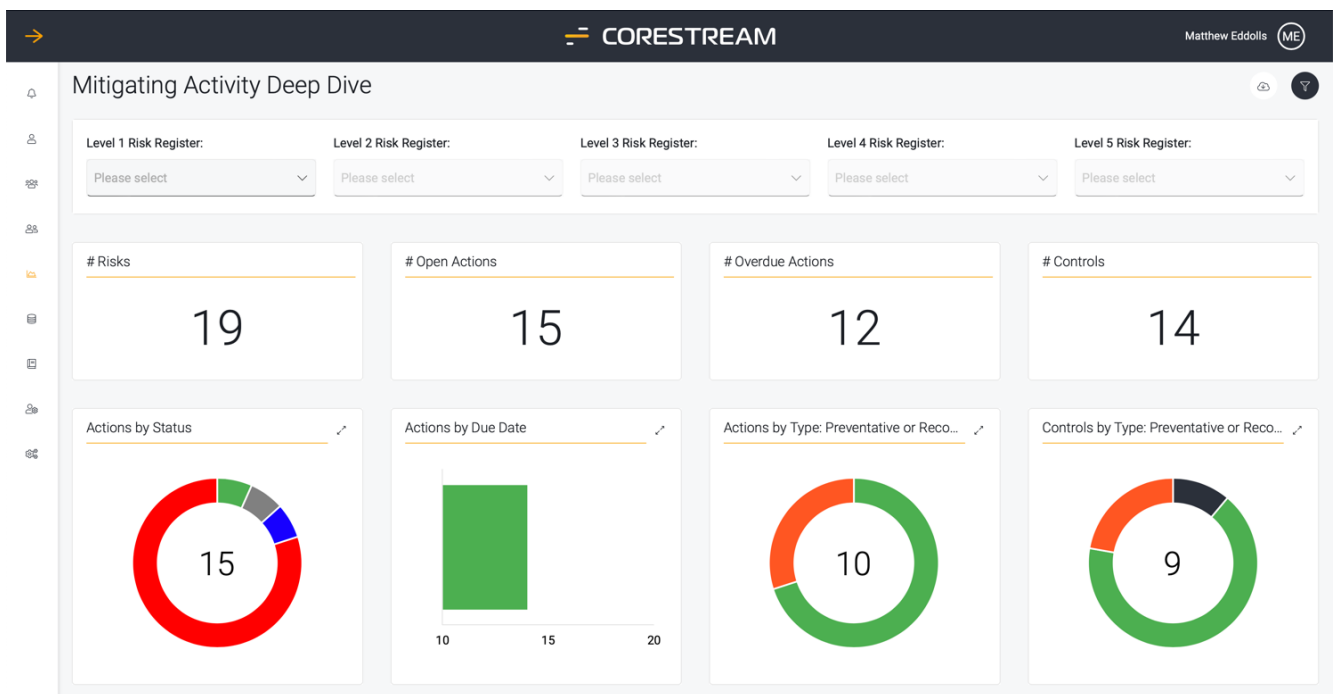


Figure 4: Sample Dashboard – Mitigating Actions Reporting



Figure 5: Actions waterfall chart

1.2 Further Configuration and Development

Whilst containing a rich out-of-the-box feature set, the CoreStream platform can be easily adapted to satisfy more bespoke requirements. Additional configuration can be performed either on a time and materials or fixed-price basis.

2. Service Management

3.1 Monitoring

CoreStream hosting provides 24 hours a day and seven days a week monitoring of the computing, operating and networking infrastructure to detect and correct abnormalities. This includes environmental monitoring, network monitoring, load-balancing monitoring, web server and database monitoring, firewall monitoring, and intrusion detection.

3.2 Data Backup and Recovery

The backup schedule can be varied according to specific requirements. Our default offering provides for daily incremental backups and weekly full system backups. Backups are stored offsite in encrypted format as part of our standard offering.

3. On-boarding and Off-boarding

Each implementation of the CoreStream platform follows a standard process which our team of delivery managers will support you through:

- Requirements meeting and demonstration (FOC)
- Confirm order
- Design Workshops
- Consultancy and configuration (2 days included)
- Platform deployment and security hardening (included)
- User acceptance testing
- Training and Communications
- Launch

Data migration into the service can be supported using standard file formats (XLS, Raw Text, XML). Migration activities will be charged in accordance with our rate card unless accommodated within configuration days included with the license purchase.

Upon termination of this service, the relevant framework and call-off contract terms apply. Data repatriation will be provided free of charge (in raw text and PDF formats) unless additional requirements are specified for delivery of the data in non-standard file formats or with transformations applied. In these cases time and materials will be chargeable per the standard rate card. Following repatriation, all customer data will be purged and destroyed.

4. Pricing Overview

We only offer 'enterprise licenses', with no variable fees. The license fees are based on the complexity of the solution, with no per-user charges.

- Fixed Annual platform license fee.
- Full support included (see support section)
- Please refer to our pricing document for details.

Managed Service License Fees (excl VAT)					
Module	Platform License SaaS Fee*	Implementation Fee	Per User Charges	Discount	Includes
Controls Manager Document controls, run assessments, and track deficiencies in policies, risks and processes	Bronze: £18,000	£5,000	N/A as all licenses are for unlimited users.	None*	6 days implementation effort*
	Silver: £25,000	£20,000			As above, with 20 days
	Gold: £35,000	£35,000			As above, with 30 days
	Platinum: £60,000	£50,000			As above, with 50 days

Additional configuration can be performed either on a time and materials (please refer to the CoreStream pricing document for details) or on a fixed-price basis.

A minimum 1-year contract tenure applies. Pilot implementations can be arranged for a minimum 6-month period, with associated consultancy and configuration will be charged per our rate card.

We can also offer access to trial environments for limited periods, free of charge

5. Service Constraints

Deployments of new functionality will result in short outages to the service. CoreStream will provide 48 hours notice and (unless unavoidable) ensures that deployments are managed out of normal business hours.

There is a standard weekly maintenance window from between midday Saturday to midday Sunday to allow for server maintenance, though this can be varied by negotiation.

6. Support Arrangements

Standard user-support over an online support ticketing system and email is available during UK working hours (Monday to Friday, 9am to 5pm). Out of hours support is available upon request.

7. Hosting and Security

CoreStream is hosted exclusively in the UK in a Tier 3 data centre with multiple resilience and security arrangements. We guarantee in excess of 99.9% availability and service credits are payable in the event that this is not achieved.

We also offer (costed) options for hosting in the public cloud, or on-premise if required.

CoreStream is ISO27001 certified via the British Assessment Bureau (fully UKAS certified) and holds the Cyber Essentials Plus certification.

We also hold SOC2, Type2 (Security, Availability) accreditation.

Security features:

- All client environments reside on dedicated web applications and database instances. Higher levels of environment isolation are available on request
- Hosting is established in a highly resilient 'always on' configuration, meaning individual physical component failure cannot lead to a service outage.
- All data is encrypted in transit and at rest using strong protocols / cyphers
- Full daily backups held off-site in encrypted format.
- Options for real-time failover (Disaster Recovery as a Service)
- 24x7 Security Operations Centre (via Sophos MDR) means that the platform is continually being monitored for signs of breach, with trained security specialists available to contain any such incidents should they occur.
- CoreStream staff all background checked, and we can establish entire teams with UK Government 'SC' clearance where required.
- Penetration testing of the CoreStream platform is completed at least annually, by a CREST / CHECK accredited third party.
- Full time vulnerability scanning is in place for all our internet points of presence.
- We utilise the latest generation of firewalls which include deep packet inspection and intrusion detection protection.

Disaster Recover and Business Continuity

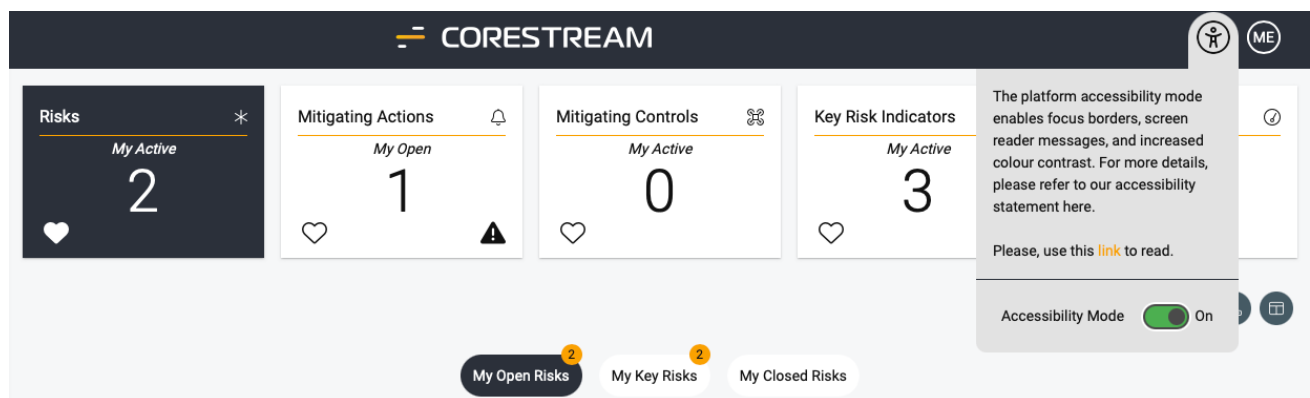
- CoreStream regularly practices its disaster recovery processes and shares results with its clients.

- Business Continuity plans are typically shared as part of the client onboarding process, including incident management processes.

8. Accessibility

For users with additional accessibility needs, we largely comply with the relevant WCAG (2.2 AA) requirements, and subject our platform to an annual accessibility audit, completed by an independent accessibility specialist firm.

A dedicated 'accessibility mode' is available from all parts of the system, as is an accessibility statement describing our accessibility credentials in detail, including any known issues.



9. Training

8.1 User Training

User training will depend on the complexity of any platform modifications specified by the customer, and the number of users to be trained. Due to the in-built contextual help prompts and configurable guidance pages, training roll-out can almost always be accomplished on a “train the trainer” basis. In the unlikely event that additional training is charged on a time and materials in accordance with our standard rate card.

Large scale, multi-channel training programme design and delivery including video guides, and webinar broadcasts can be devised as required. Please refer to the CoreStream training service offering on Digital Marketplace for details.

8.2 Super User Training

Super users can be trained to be able to configure aspects of the GRC platform themselves, reducing the need for additional configuration expenditure. This training typically takes 3-5 days, depending on the skills profile of the recipients of the training.

10. Ordering and Invoicing Process

- Upon receipt of a purchase order, CoreStream will provision the environment.
- All license fees are to be paid 12 months in advance, from the point of UAT commencement.
- 50% of the first 12 months fee is due upon ordering the environment.
- The remaining 50% is due at the point of go-live.
- If additional services, or blocks of users are purchased mid-contract, the relevant fee is payable up to the end of the current 12-month period, after which fees revert to 12 months in advance.
- Time and materials (Consultancy, Training etc) are invoiced monthly in arrears. Invoices are due for payment within 30 days of the invoice date.
- Please refer to our full terms and conditions for details.

11. Government ICT Blueprint Principles

10.1 Information Strategy

- CoreStream SaaS services are designed and built to align with government Information and Communications Technology (ICT) information strategy principles, ensuring information is effectively managed, protected and made accessible through the use of open standards technology. Our focus on information governance is underpinned by our ISO27001 certification, and SOC2 Type 2 (Security / Availability) accreditations.

10.2 Environmental Policy

- CoreStream takes its environmental responsibilities seriously, aligning its operations to the published ICT government greening principles. In support of these principles, CoreStream guarantees:

- All hosting services are powered from renewable sources.
- Non-essential travel will be minimised using technology, such as video conferencing.
- To continue to donate monthly to the World Land Trust, helping plant trees in deforested areas.
- To remain paper-free wherever possible.
- To reduce waste or to recycle wherever possible.
- Hot-desking in its office locations to reduce its overall office footprint.

Further details of our Environmental Strategy are available on request.

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