EQS Compliance Cockpit: Implementation Service Description – Guided Onboarding

This implementation service description or statement of work ("SOW") applies to Customers that have purchased the Guided Onboarding implementation service. This SOW forms an integral part of the Agreement and capitalized terms used but not defined in this SOW are as defined in the Agreement between Customer and EQS Group. In the event of any conflict between this SOW and the Agreement, the SOW will prevail.

1. Objective

The purpose of this SOW is to comprehensively outline the Services that EQS Group will provide in the Guided Onboarding, including defining the scope, timeline, and responsibilities of all parties involved.

2. Project Scope

EQS Group will provide remote guidance and training for Customer's configuration and implementation of its subscription through a set of structured training workshops (the "Professional Services"). In addition, step-by-step guides and knowledge-based articles are available to the Customer team. The Professional Services have a pre-defined scope consisting of:

1.1. Kick-off call between EQS Group and Customer to:

1.1.1. Explain the Guided Onboarding process and schedule all training sessions;

1.1.2. Confirm Customer has access to its environment and the support portal; and

1.1.3. Answer preliminary Customer questions.

1.2. Set of structured workshops (varies by solution(s) purchased, as set out in the Annexes) led by a consultant to guide Customer through the steps required to setup the fundamentals of the EQS modules.

1.3. Close Out and Hand off to Support Communication

The project methodology listing tasks and responsibilities are set out in the RACI matrix in Annex 1.

2. Activities and Output

2.1. Guided Onboarding package Professional Services follows a "train-the-trainer" approach, meaning that the Customer's administrators involved in the workshops are responsible for training Customer's end users, requiring that Customer involve resources with the competence and bandwidth to handle important configuration and administration tasks during and after the implementation period.

2.2. Structured workshops are up to (1) hour each and given the nature of the content and engagement required from Customer, are not allowed to be split into multiple shorter sessions.

2.3. The timeline for completion of the Professional Services will vary but is typically 6-12 weeks per module, from the kick-off date, depending on products being implemented.

2.4. EQS Group recommends that workshops take place at least once a week for consecutive weeks, on a pre-arranged timeslot.

2.5. EQS Group will make best efforts to accommodate expedited timelines on request but cannot guarantee support of an expedited timeline.

2.6. At the end of each workshop, Customer will be required to undertake tasks to configure the EQS modules.

2.7. Successful delivery is dependent on Customer's active engagement and participation in the sessions and with the self-service material.

2.8. It is critical that Customer review the training materials, webinars, and applicable discussion boards on the support portal in advance of the training sessions in order to facilitate discussion and help make educated configuration decisions.

3. Customer Responsibilities

The Customer undertakes to cooperate unreservedly and in good faith with EQS Group and in particular with regard to the deadlines and conditions agreed between the parties. As a central requirement under this SOW, Customer shall

3.1. provide all information as needed to ensure EQS Group has the insight needed to provide the outlined services, in EQS Group' specified format;

3.2. provide timely access to Customer's experts to resolve business or technical issues related to the EQS Group applications.

3.3. review user guides, webinars and other training materials provided in support portal prior to workshops.

3.4. participate in kick-off with appropriate resources.

3.5. attend and participate in all workshops as scheduled during kick-off. Complete pre-requisites and follow-ups where identified.

3.6. configure Customer's environment.

3.7. rollout to Customer organization including training Customer's end users.

3.8. take all decisions needed to ensure that the Professional Services run smoothly.

3.9. provide any required translations.

3.10. permit or procure that EQS Group shall have access to its premises (if applicable), the necessary information and documentation as well as access to computer facilities, and/ or test instances of systems to be integrated; and

3.11. use its best efforts to assist EQS Group in all other ways reasonably required.

In case Customer does not fulfill these obligations in reasonable time or quality, EQS Group shall not be responsible for any delay and costs with regard to the affected Professional Services to be delivered by EQS Group. Waiting times of EQS Group's consultants, which are caused by Customer not meeting its obligation under this SOW will be invoiced to Customer based on EQS Group standard daily rates. EQS Group shall be entitled to send its consultants to other customers in case of significant delays caused by Customer.

4. EQS Group Responsibilities

4.1. Confirm Customer access to Customer's environment and support portal.

4.2. Send invitations for kick-off and workshops per mutually agreed schedule.

4.3. Participate in kick-off and scheduling of workshops.

4.4.   Attend and participate in workshops as scheduled during kickoff.

4.5.   Transition Customer to EQS Group Support team.

5. Assumptions

The scope of the Professional Services provided under this SOW and relating fixed fee arrangement are subject to the assumptions below (the "Assumptions"). Deviations from these Assumptions may lead to changes in the timeline and increases in the price.

5.1.   Alignment of all configurations and process workflows within the Cloud Services based on laws, regulations, and/or Customer policies are the responsibility of Customer. Configuration decisions are the responsibility of Customer. Professional Services, materials, or information provided by EQS Group are not intended, and should not be taken, as legal advice, and EQS Group Professional Services, materials, and information do not guarantee compliance with applicable laws and regulations.

5.2.   Customer and EQS Group work closely to ensure the SOW scope remains consistent, and any changes will be managed through a change control process. Delays or deviations caused by acts or omissions within the reasonable control of Customer may result in EQS Group resource reassignment or additional costs.

5.3.   If Customer places the Professional Services on hold for any reason, the same Professional Services personnel may not be available when Customer is ready to resume.

5.4.   The scope of this SOW excludes any Professional Services or activities not expressly set forth herein.

5.5.   Load testing, stress testing, penetration testing, and volume testing are not planned as part of this SOW and are not permitted in Customer's environment(s) hosting the Cloud Services. Such testing or any other testing conducted by Customer shall be done in a designated testing environment and pursuant to mutual written agreement of the Parties.

5.6.   The Professional Services fixed fee does not include travel. Any required on-site travel will be mutually agreed in advance between Customer and EQS Group and will be billed to Customer.

5.7.   Upon completion of the Professional Services outlined in this SOW, EQS Group consultant conducts a transition of Customer to the EQS Group Support, who will provide support. Such provision of support is outside the scope of this SOW.

5.8.   If Customer has purchased a sandbox environment, any re-creation or duplication of configuration, or migration of data from the sandbox environment to the production environment is Customer's responsibility.

5.9.   Customer provides all required information in EQS Group's specified format.

5.10.   Customer responsible for providing and configuring any required translations.

5.11.   Customer is responsible for hands-on configuration.

5.12.   Migration of historical data into EQS Group Cloud Services is not included.

5.13.   Support for any integration with third-party systems is not included.

5.14.   Where specified, support for HR Data ingestion will be provided for the following methods: SCIM and manual flat file load (Additional methods for data sync are not included but can be scoped for a fee).

5.15.   All work will be performed in the production environment.

6. Term

The Professional Services described herein expire six (6) months after the Start Date set out in the Agreement ("SOW Term"). If Customer's subscription to the applicable Cloud Services expires or is terminated before the end of the SOW Term, this SOW will automatically terminate, and EQS Group will have no obligation to deliver the Professional Services described herein. No refunds will be provided.

7. Payment Terms

7.1. All Professional Services outlined in this SOW shall be performed on a fixed fee basis as set out in the Agreement ("Total Price"), excluding travel and expenses.

7.2. Fees shall be billed in advance upon execution of the Agreement and shall be payable net fourteen (14) calendar days from the date of EQS Group's invoices.

Annex 1

RACI – Matrix

Description	Phase	Activity/ Deliverable	EQS Group	Customer
Kick-off Call	Discovery	Activity	R	C
Implementation: EQS Compliance Cockpit				
Cockpit Configuration	Configure	Activity	C	R/A
Implementation: EQS Integrity Line **(see detailed description in Annex 2)**				
Frontend Configuration	Configure	Activity	C	R/A
Backend & Case Management	Configure	Activity	C	R/A
Technical Add-ons for EQS Integrity Line	Configure	Activity	C	~~C~~R/A
Implementation: EQS Approvals **(see detailed description in Annex 3)**				
Employee Facing portal configuration	Configure	Activity	R	C
Backend & Workflow Configuration	Configure	Activity	C	R/A
Integration & Automation	Configure	Activity	C	R/A
Implementation: EQS Policies (incl. Policy Buddy) **(see detailed description in Annex 4)**				
Definition of specific recipients	Configure	Activity	C	R/A
Upload existent policies	Configure	Activity	C	R/A
Implementation: EQS Third Parties **(see detailed description in Annex 5)**				
Import of Stakeholder informations	Configure	Activity	C	R/A
Risk classifications	Configure	Activity	C	R/A
Risk mitigations	Configure	Activity	C	R/A
Implementation: DataSync + SSO				
Configuration of SSO and Datasync	Configure	Activity	C	R/A
Training				
Training for each module	Support	Activity	R	I
Testing				

Unit Testing	Test	Activity	C	R/A
Integration Testing (if applicable)	Test	Activity	C	R/A
User Testing	Test	Activity	C	R/A
Go-Live				
Pre-Go-Live Activities		Activity	C	R/A
Go-Live	Go Live	Activity	C	R/A

The responsibility of activities and deliverables uses the following RACI definitions:

- **R – Responsible:** Party executing the activity or deliverable.
- **A – Accountable:** Party with sign-off authority and ultimate accountability for the correct and thorough completion of the task.
- **C – Consulted:** Party included in the decision or action.
- **I – Informed:** Party needing to know of a decision or action.

Annex 2

Description EQS Integrity Line Implementation

1. Objective

The EQS Integrity Line module is designed to provide organizations with a secure and efficient platform for managing whistleblowing cases, ensuring compliance with internal policies and legal regulations. This module allows users to submit and track reports, while also enabling organizations to manage investigations and handle case resolutions effectively.

2. Outcome

At the end of up to 6-8 workshops, Customer has been trained and is enabled to:

- Create and update web intake forms
- Configure case customizations
- Manage a case from submission to closure
- Configure column reports and dashboards

3. Scope

3.1. Technical Configuration

3.1.1. Kick-Off & Requirements Gathering

The implementation process begins with a kickoff meeting to define the project's objectives, scope, and key deliverables. During this phase, EQS Group will gather all necessary details about the Customer's needs for the EQS Integrity Line system, including legal and compliance requirements, reporting structures, and specific use cases. When multiple EQS Group modules are purchased, kick-off meetings can be merged to enable comprehensive requirement gathering.

3.1.2. Customer Configuration via Configurator

The Customer will define their specific requirements for the EQS Integrity Line configuration. EQS Group will guide the Customer in how to set up the Customer's preferences and workflow via the configurator tool. This ensures that the system is tailored to meet the Customer's unique operational needs.

3.1.3. System Set up guided by EQS Group

EQS Group will offer guidance in the configuration of the system based on the Customer's provided inputs. This includes guiding the Customer in how to set up case management workflows, reporting features, notification settings, and ensuring alignment with the Customer's internal compliance processes. For the purposes of the technical configuration, EQS Group will grant the administrators access to the tenant.

3.1.4. Training for Case Managers and Users

EQS Group will provide training for case managers and end-users on how to operate the EQS Integrity Line system. This includes case management workflows, how to process reports, and the system's compliance and notification features.

3.1.5. First Testing Round

A round of testing may be conducted by the Customer to validate the system's functionality and ensure that the configured workflows work as intended. This will help identify any issues or adjustments needed before going live.

3.1.6. User Setup

The Customer will set up the users within the system, and EQS Group will provide guidance in how to ensure that proper access controls and user roles are configured to meet the organization's requirements.

3.1.7. Go-Live and Post-Go-Live Support

Before going live, testing may be conducted by Customer to validate system functionality and ensure seamless user experience. EQS Group will provide one training session for administrators to ensure a smooth transition.

Annex 3

Description EQS Approvals Implementation

1. Objective

The objective of the EQS Approvals configuration is for EQS Group to guide the Customer with the implementation of EQS Approvals, which enables the Customer to set up a structured and phased approvals workflow by performing the activities set forth in the "Scope" section below. EQS Approvals allows users to submit approval requests, follow a defined decision-making process, and manage the lifecycle of approval cases within a centralized application.

2. Outcome

At the end of up to 6-8 workshops, Customer has been trained and is enabled to:

- Approve, decline, request updates or cancel requests, including approval history
- Create and update questionnaire forms
- Configure rule engine(s)

3. Scope

3.1. Technical Configuration

3.1.1. Kick-Off & Requirements Gathering

The implementation process begins with a kickoff meeting to define the project's objectives, scope, and key deliverables. During this phase, EQS Group will gather all necessary details about the Customer's needs for the Approvals system, including approval workflow and decision-making process, to manage approval requests, and specific use cases. When multiple EQS Group modules are purchased, kick-off meetings can be merged to enable comprehensive requirement gathering.

3.1.2. System Set up guided by EQS Group

EQS Group will guide in the configuration of the system based on the Customer's provided inputs. This includes guiding the Customer in how to set up organizational structure, approval workflows, notification settings, and ensuring alignment with the Customer's internal compliance processes. For the purposes of the technical configuration, EQS Group will grant the administrators access to the tenant. The Customer is responsible for setting up additional users within the application, as well as the ongoing upkeep and maintenance of the system.

3.1.3. Employee Facing portal configuration

EQS Group will guide the Customer in how to configure the user interface of the Approvals tool to align with the Customer's specific approval workflow requirements. As part of this configuration, EQS Group will guide the Customer on how to ensure branding consistency with Approvals and set up automated notification settings for approval requests.

3.1.4. Backend Configuration

EQS Group will guide on how to configure the approval workflow, including approval-specific approval forms. EQS Group will also then offer guidance in how to define the approval hierarchy, including decision-making processes, and establish notification triggers and escalation workflows to support the approval lifecycle.

3.1.5. Single Sign-On (SSO)

Access to the Services is restricted to Authorized Users by username and password. Single Sign-On ("SSO") authentication services are available and is the responsibility of the Customer. Given the involved nature of the process, an IT resource shall be provided by the Customer.

3.1.6. Integration & Automation

EQS Group provides the option to authenticate through SSO, allowing users to access the system without requiring separate login credentials. EQS Group will also offer guidance to configure data synchronization with your HR Data via SCIM or manual file upload.

3.1.7. Testing, Training & Go-Live

Before going live, testing may be conducted by Customer to validate system functionality and ensure seamless user experience. EQS Group will provide one training session for administrators to ensure a smooth transition.

Annex 4

Description: EQS Policies Implementation

1. Objective

The EQS Policies Module is designed to help organizations establish a centralized and structured approach to managing policies. This module ensures that policies are easily accessible, regularly updated, and effectively communicated across the organization. It also enables seamless integration with existing HR databases for automated data synchronization.

2. Outcome

At the end of up to 6-8 workshops, Customer has been trained and is enabled to:

- Upload policies
- Manage and handle policies
- Create policy content
- Monitor policy status

3. Scope

3.1. Technical Configuration

3.1.1. Kick-Off & Requirements Gathering

The implementation process begins with a kickoff meeting to define project goals, scope, and key deliverables. During this phase, EQS Group will gather all necessary details about the Customer's needs for the Policies system, including policy approval workflow, policy management, effective policy communication, and specific use cases. When multiple EQS Group modules are purchased, kick-off meetings can be merged to enable comprehensive requirement gathering.

3.1.2. System Setup & Data Synchronization

EQS Group will guide in the configuration of the Policies Module as a foundation for managing company policies. EQS Group will offer guidance in the system's configuration to sync with the Customer's HR database, ensuring that employee information is consistently updated and aligned with policy requirements.

3.1.3. Customization & User Definition

To meet the Customer's specific needs, Customer will define users with guidance of EQS Group based on role, department, or other relevant criteria. EQS Group will offer guidance in how to implement custom filters to allow employees to access policies relevant to their responsibilities.

3.1.4. Policy Migration & Archiving

Existing policies, including historical archived versions, will be imported into the system by the Customer. EQS Group will guide the Customer in how to ensure that all policies are correctly categorized, maintaining a clear structure for easy retrieval and reference.

3.1.5. Policy Buddy Activation (Optional Add-On)

Once the Policies Module is fully configured and operational, the Policy Buddy add-on can be activated. This feature provides employees with guidance and support for policy-related queries, ensuring compliance and improving user engagement.

3.1.6. User Interface & Notification Setup

EQS Group will offer guidance in how to customize the system's interface to align with the Customer's corporate identity. EQS Group will provide guidance to configure automated notifications to inform employees about new, updated, or required policies, ensuring timely acknowledgment and compliance.

3.1.7. Testing, Training & Go-Live

Before going live, testing may be conducted by Customer to validate system functionality and ensure seamless user experience. EQS Group will provide one training session for administrators to ensure a smooth transition.

Annex 5

Description EQS Third Parties Implementation

1. Objective

The EQS Third Parties Module is designed to help customers implement a structured, risk-based approach to third-party management. This module enables organizations to assess, classify, and continuously monitor third-party relationships while ensuring compliance with internal policies and regulatory requirements.

2. Outcome

At the end of up 6-8 workshops, Customer has been trained and is enabled to:

- Configure overview of third parties
- Arrange, filtering and sorting the table
- Import of all data to Third Parties
- Configure and tailor of risk assessment parameters

3. Scope

3.1. Technical Configuration

3.1.1. Kick-Off & Requirements Gathering

The implementation process begins with a kickoff meeting to define project goals, scope, and key deliverables. During this phase, EQS Group will gather all necessary information regarding the Customer's third-party risk assessment, due diligence procedures, and compliance requirements. When multiple EQS Group modules are purchased, kick-off meetings can be merged to enable comprehensive requirement gathering.

3.1.2. Stakeholder Information Management

EQS Group will guide the Customer in how to configure the module to collect and manage key details about third-party entities, including company information, ownership structures, and compliance documentation. EQS Group will provide guidance so that the system will also integrate stakeholder roles and responsibilities to ensure seamless data management. For the purposes of the technical configuration, EQS Group will grant the administrators access to the tenant.

3.1.3. Risk Classification & Assessment

EQS Group will offer guidance on how to configure Customer's structured risk assessment framework to categorize third parties based on predefined risk levels (e.g., low, medium, high). Customer establishes risk classification criteria based on industry, geography, business activities, and regulatory exposure. The system will automate risk scoring and generate comprehensive reports to support decision-making.

3.1.4. Risk Mitigation & Monitoring

To enhance due diligence, EQS Group will provide guidance in how to configure the workflows to adapt based on third-party risk classifications. EQS Group will offer guidance on how to implement continuous monitoring mechanisms, including periodic reassessments and compliance checks. Automated alerts will notify users of expiring contracts, required documentation updates, and necessary risk reassessments.

3.1.5. Approval Workflow & Compliance Documentation

EQS Group will guide how to set up a structured approval workflow to facilitate the onboarding and ongoing management of third-party relationships. Compliance documentation such as contracts, certifications, and policies will be securely stored, tracked, and regularly updated within the system.

3.1.6. User Interface & System Configuration

EQS Group will offer guidance to customize The Third Parties module to reflect the Customer's internal policies and branding. EQS Group will also guide to configure automated notifications and alerts to ensure timely actions and compliance oversight.

3.1.7. Testing, Training & Go-Live

Before going live, testing may be conducted by Customer to validate system functionality and ensure seamless user experience. EQS Group will provide one training session for administrators to ensure a smooth transition.