Service Level Agreement (SLA)

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1 Service Level Agreement Glossary

Note: All definitions of terms in the Master Agreement are valid also for the Service Level Agreement and prevail

Term	Meaning
Access Groups	Allowed customers of the service.
Application Programming Interface (API)	The Application Programming Interface (API) is a computing interface which defines interactions among software intermediaries.
Attended Service Operating Time	Time of reachability of GLEIF support on business days.
Authenticated	Local operating units that have subscribed to the restricted GLEIF section on gleif.org and have a login name and a password.
Availability	Ability of a service or service component to perform its required function at an agreed instant or over an agreed period of time.
Calendar days	Calendar days means every day on the calendar, including weekends and public holidays
Complaint	A written, formal expression of dissatisfaction from LOU's Relations Manager/authorized signatory related to GLEIF services and relevant requirements.
Customer	Organization or part of an organization that receives a service or services (e.g., LOUs, partners etc.).
Customer Portal	Portal for LOUs to perform defined processes.
Data Quality Campaign	Complete, planned course of actions formulated to achieve defined data quality objectives.
Data Quality Checks	The definition of (series of) rules, usually in a form of if-then-else conditions, that a data record must fulfill in order to achieve certain data quality criteria and maturity levels.
Data Quality Failure	A pair of a LEI Record Set and a Data Quality Check, where the LEI Record Set does not fulfill the described rules.
Data Quality Rule Setting	A set of defined Data Quality Checks to establish a transparent and objective benchmark to assess the level of data quality within the Global LEI System. Please refer to the GLEIF website for the current version of the Rule Setting.

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Description	Detailed description that also identifies the service interface and its outcomes.
Disaster	Extraordinary situation where widespread human, material, economic or environmental losses have occurred which exceeded GLEIF's ability to respond and recover using its own resources.
Duplicate	Either one LEI code exists more than once, or one Legal Entity has more than one LEI.
Duplicate Rate	Shows how many Duplicates exist at the end of a month based on the Global LEI Repository.
Essential Tasks	Essential Tasks that are required to be performed by the service provider to deliver the agreed service.
Essential tasks excluded from Third Party Services	Essential tasks that must not be delegated to a Third Party Service provider, unless otherwise agreed in **Appendix 13**.
Examples of Third Party Assistance	The LOU may use Third Party Services to assist with its Essential Tasks but remains unrestrictedly responsible and liable for the execution of Essential Tasks. Subject to GLEIF's approval which is set out in **Appendix 14**.
Excellent Quality Rate	The rate of LEI records that fulfill the excellent quality checks = maturity level 3 checks as defined in the Data Quality Rule Setting.
Exception	Extraordinary situations, that will not be considered for the calculation of a service level.
Expected Quality Rate	The rate of LEI records that fulfill the expected quality checks = maturity level 2 checks as defined in the Data Quality Rule Setting.
GLEIF business day	Business day in Frankfurt am Main, Germany (Monday – Friday).
GLEIF Concatenated File	File generated daily by GLEIF which aggregates all files from all LOUs. It contains all LEI issues to legal entities and related LEI reference data.
Graphical User Interface (GUI)	The Graphical User Interface (GUI) is a form of user interface that allows users to interact with applications and electronic devices.
Legal Entity Event	An event initiated by a Legal Entity that affects the securities (equity or debt) issued by that Legal Entity, and/or any other event that affects the LE-RD such as mergers, spinoffs, change of incorporation, domicile, etc. It was previously referred to as Corporate Action.
LEI Record Set	An XML data record in CDF format describing one Legal Entity, including its related relationship information.

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LOU	Local Operating Unit, also referred as LEI issuer.
LOU Annual Accreditation Verification Remediation of Findings	The activities GLEIF undertakes to ensure that remediation actions have been taken by the LOU to successfully address the findings reported in the AAV report. The nature of the remediation and the timeframe depend on the findings and are defined on a case-by-case basis by the GLEIF Accreditation Analyst.
LOU business day	Business day according to local LOU business calendar.
LOU Tasks	Activities of the LOU in a GLEIF service to assure service delivery.
Name	Name of the service, using verbs to indicate actionable items.
Maturity Level	The Maturity Levels define the evolution of improvements in processes associated with what is measured. Each Data Quality Check is associated to a Maturity Level and the link between Maturity Level and Quality Rate in the SLA is the following: • Level 1, in the SLA is corresponding to 'Required Quality' • Level 2, in the SLA is corresponding to 'Expected Quality' • Level 3, in the SLA is corresponding to 'Excellent Quality'
Other Service Providers	This is an example of a Third Party Service Provider. Please see **Appendix 14**.
Processing Time	A measure of the time taken to complete an operation or transaction.
Recovery Time Objective (RTO)	The maximum amount of time allowed to resume an activity, recover resources, or provide products and services after a disaster has occurred.
Registration Agent	This is an example of a Third Party Service provider. Please see **Appendix 14**.
Required Quality Rate	The rate of LEI records that fulfill all required quality checks = maturity level 1 checks as defined in the Data Quality Rule Setting.
Response Time	Defines the maximum time to respond to a service request.
Service Continuity Management	The process responsible for managing risks that could seriously affect services. Service continuity management ensures that the service provider can always provide minimum agreed service levels, by reducing the risk to an acceptable level and planning for the recovery of services. The process responsible for recovery of GLEIF vital business functions in the event of a disaster.
Service Level	Commitment based on Service Level requirements. Ensures that the service is able to meet the GLEIS objectives.

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Service Level Target (SLT, also Service Target)	Specific measurable characteristic of a service that an organization commits to.
Service Transfer Point	The definition of the system where the service is delivered to measure the accordant Service Level.
Tag Line	A short description that summarizes the service.
Update Frequency	How often a request for service will occur in a given period of time.
Upload Failure Rate	The rate of LEI records that could not be successfully uploaded (due to false formats etc.).
Validation	Ensures complete, reasonable, sensible data within acceptable boundaries. To check data that is being entered.
Validation Agent	The Validation Agent is an organization that obtains and maintains Legal Entity Identifiers (LEIs) for its clients in cooperation with accredited LEI issuers by leveraging their business as usual client identification procedures in Know Your Customer (KYC) and client onboarding processes.
Verification	Entered data matches exactly the validation source.
Workload	A measure of the volume of work that the GLEIF services apply to.
Workload Limit	The workload a service is able to support whilst achieving the agreed service level targets.

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2 GLEIF Services - Service Descriptions

The following services listed below are delivered by GLEIF, applying GLEIF's Information Security Policy.

For all of them, the attended service operating time will be from Monday to Friday between 09.00 – 17.00 GLEIF business days. Also, the response time to service requests issued by Customers generally is within one GLEIF business day upon submission.

2.1 LOU Accreditation

Name	LOU Accreditation
Tag Line	Entities desiring to become local operating units must seek Accreditation by GLEIF.
Description	In order to support the integrity of the GLEIS, an extensive vetting process is in place to ensure that local operating units reflect and incorporate the vision and internal control requirements of GLEIF within their operations. The Accreditation Manual and Accreditation Checklist (**Appendix 02**) can be downloaded from GLEIF's website.
Essential Tasks	• Provide Accreditation Manual and Accreditation Checklist and other supporting materials and forms • Evaluate readiness of Applicant LOU based on the Accreditation Plan • Set up of Non-Disclosure Agreement / Master Agreement contract • Provide up to support calls per phase • Assess Accreditation Documentation from Candidates for compliance with expected standards • Provide transactional LEI test cases to the Candidate LOU and assess performance • Assess use of authoritative sources • Ensure integrity and availability of historical LEI information • Issue Accreditation Certificate • Publish Accreditation Certificate on GLEIF website • Provide and maintain on GLEIF website the list of all LOUs currently accredited
Access Group(s)	• Applicant LOU

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	• Candidate LOU
The Applicant/Candidate LOU Tasks	• Read Accreditation Manual • Develop Accreditation Plan and other required documentation and forms • Sign Non-Disclosure Agreement / Master Agreement • Complete Accreditation Checklist with supporting documents • Participate in support calls with GLEIF • Deliver Accreditation Documentation and data testing results • Remediate areas of non-compliance as required • Publish Accreditation Certificate on own website • Candidate to provide the requested material in no more than 4 months from the date of the Master Agreement signature
Availability	99.9 % (Monday – Sunday 00:00 – 24:00) for GLEIF Website 97,7 % (Monday – Sunday 00:00 – 24:00) for Customer Portal
Processing Time	**Applicant documentation review:** Review Accreditation Plan submission within 45 GLEIF business days of receipt of full set of materials **Candidate documentation review:** Review Candidate submission within 3 months of receipt of complete set of materials
Workload Limit	15 concurrent instances
Exception	In case the Continuity process is invoked (ref. chapter 7)

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2.2 LOU Annual Accreditation Verification

Name	LOU Annual Accreditation Verification
Tag Line	GLEIF's process of re-verification of the LOU compliance with expected internal controls within its LEI operations.
Description	GLEIF will request from the LOUs certain documentation and evidence of compliance with expected internal controls which need to be in place for an accredited LOU to be operational. This exercise is based upon the current status of internal controls that were verified as part of the LOU's initial Accreditation and as amended in the event under the Accreditation Change Process. The LOU Annual Accreditation Verification process is executed on or after the anniversary date of the LOU's date of accreditation as documented on their accreditation certificate. See Appendix **10**. Using a template provided by GLEIF, the LOU verifies the status of each processing area as mentioned in the Accreditation Checklist. For areas where significant changes have occurred, the LOU documents the nature and extent of the changes and how it/they effected LEI processing. Supporting documentation must be provided as additional information regarding the change(s). GLEIF reviews this information and assesses the overall impact of any changes noted in the internal controls. GLEIF determines if the changed internal controls still meet the required control standard and advises the LOU as to whether any remediation action is required.
Essential Tasks	• Provide LOU Annual Accreditation Verification questionnaire and other review materials • Review and evaluate LOU self-assessment • Confirm adequate levels of compliance with expected controls exists and/or document required remediation activities • Ensure that any remediation activities are completed in a timely and complete manner • Maintain on GLEIF website the list of all LOUs currently accredited • Yearly by the following 3 months after the anniversary date of LOU accreditation, GLEIF will trigger an LOU Annual Accreditation Verification. The scope of the LOU Annual Accreditation

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	Verification will be always the last operational year from the anniversary date.
Access Group(s)	Accredited local operating units
The LOU Tasks	• Download the designated annual verification materials from gleif.org when instructed • Provide completed Accreditation Verification questionnaire (self-assessment) noting all changes in its internal controls within its LEI operations • Provide supporting documentation for any process changes noted • Review GLEIF evaluation results with GLEIF • Complete any required remediation activities based upon a mutually agreed schedule • The LOUs having performed at least the LOU Annual Accreditation Verification once and having 9 clean SLA reports (no breaches) in the last operating year, could be requested to perform the LOU Annual Accreditation Verification with a reduced scope. The decision is at the sole discretion of GLEIF
Availability	97,7 % (Monday – Sunday 00:00 – 24:00) for Customer Portal
Processing Time	GLEIF shall review the LOU submitted documentation within 30 GLEIF business days of receipt of the complete set of documents
Workload Limit	20 concurrent instances
Exception	In case the Continuity process is invoked (ref. chapter 7)

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2.3 Upload LEI & LE-RD Files

Name	Upload LEI & LE-RD Files
Tag Line	Interface for local operating units to upload LEI & LE-RD.
Description	Via an interface the LOUs are required to upload the LEI & LE-RD files to the Global LEI Repository daily. Data is represented in the Common Data File Formats. Details will be clarified in Implementation Notes. The interface provides quality gates for testing of the data. Files or records not passing the quality tests will be rejected.
Essential Tasks	• Provide upload interface • Contact the LOU in case of rejections • Provide and process quality checks • Incorporate the LEI and LE-RD, uploaded by the LOU, after passing the quality tests, into the Global LEI Repository • Ensure that the LEI and LE-RD uploaded by the LOU and incorporated into the GLEIF Concatenated File is a true and authentic copy of the LEI as issued and of the LE-RD as provided by the LOU [1]
Access Group(s)	Accredited local operating units
The LOU Tasks	• Send data in Common Data File Format
Availability	99,9 % (Monday – Sunday 00:00 – 24:00)
Processing Time	Within 1 hour upon arrival
Workload Limit	(Number of uploaded files in a minute) * (Size of uploaded files in that minute in MB - zipped) <= 600
Exception	In case the Continuity process is invoked (ref. chapter 7)

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[1] The LOU takes note, understands and accepts that incorporation of the LEI and LE-RD as issued and provided respectively by the LOU into the Global LEI Repository, and publishing those, entails no responsibility or liability whatsoever of GLEIF for the LEI and the LE-RD as such, i.e. regarding their validity, completeness, accurateness, uniqueness and authenticity.

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2.4 Check for Duplicates

Name	Check for Duplicates
Tag Line	Technical interface to allow GLEIF and the LOU to check for duplicate LEI and LE-RD data prior to finally issuing a New LEI.
Description	In order to support the local operating units, GLEIF provides the appropriate and mandatory processes and a technical interface for local operating units to check the LEI and LE-RD data for duplicate entries. The LOU follows the required steps prior to assigning a valid LEI code to a Legal Entity. Details will be clarified in an Implementation Note.
Essential Tasks	• Provide technical interface to check for Duplicates • Automatically inform about check result
Access Group(s)	Accredited local operating units
The LOU Tasks	• Perform check for Duplicates • Evaluate check result
Availability	99,9 % (Monday – Sunday 00:00 – 24:00)
Processing Time	≤ 1 minute
Workload Limit	500 requests in total within the same minute
Exception	In case the Continuity process is invoked (ref. chapter 7)

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2.5 Trigger LEI management transfer

Name	Trigger LEI management transfer
Tag Line	Trigger the porting of all LEI & LE-RD from one local operating unit to another local operating unit or GLEIF in certain cases.
Description	GLEIF triggers a transfer of the management authority for one or more LEIs from the LOU when the LOU is either unable or unauthorized to provide service, or at the expiry of the Master Agreement. Details will be clarified in an Implementation Note. In the case that a Legal Entity triggers the transfer of its own LEIs, GLEIF and this service are not involved.
Essential Tasks	• Trigger LEI management transfer • Monitor open transfer instances
Access Group(s)	Accredited local operating units
The LOU Tasks	• Cooperate in transfer management
Completeness	No LEIs are left without any operating managing LOU for more than 48 hours during GLEIF business days. In case of force majeure, GLEIF shall trigger this process within 48 hours during GLEIF business days, given the impacted LOU stops LEI file daily upload and does not provide business as usual confirmation.
Workload Limit	4 concurrent LOUs
Exception	In case the Continuity process is invoked (ref. chapter 7)

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2.6 Communications Portal

Name	Communications Portal
Tag Line	A central web-based communication portal for all communications between GLEIF and business partners.
Description	A centralized communication platform to support the exchange of information between GLEIF and business partners, supporting GLEIF's Relationship Management function. This communications platform facilitates: • Regular messaging among GLEIF and business partners • Master Data of business partners (e.g. contact management) • Other necessary exchanges

Essential Tasks	• Enable Issuers to register an account
	• Provide Calendar & Events
	• Provide a repository for Issuers related information like:
	  • Sharing information for LOU Accreditation and LOU Annual Accreditation Verification
	  • Collecting Issuers information in the portal
	  • Sharing GLEIF contact information with Issuers
	  • Exchanging certain information among Issuers
	• Enable to other operational portals as necessary

Access Group(s)	• Accredited local operating units • Candidate local operating units
The LOU Tasks	• Enter valid registration information • Periodically review list of Authenticated users for the LOU and confirm the Authenticated users' access and access roles • Deliver upcoming events to GLEIF • Subscribe/Unsubscribe to local operating unit calendar updates • Subscribe/Unsubscribe to numbered messages • Check electronic LOU invoices provided
Availability	97,7 % (Monday – Sunday 00:00 – 24:00)
Processing Time	• Register an account within three calendar days
Workload Limit	20 queries per day
Exception	In case the Continuity process is invoked (ref. chapter 7)

2.7 Code Lists

Name	Code Lists
Tag Line	Maintain code lists referenced in Common Data File Formats
Description	This service provides a standard process for identifying, incorporating, and publishing updates to code lists adopted by GLEIF. The following code lists are maintained by GLEIF: - Registration Authorities List: It provides an overview of business registers and other registration authorities to be used by the LOUs to verify and validate LEI reference data - Entity Legal Forms Code List: It provides an overview of legal forms in jurisdictions based on the ISO standard 20275 - Accepted Legal Jurisdictions Code List: It provides list of accepted ISO 3166 codes per country/jurisdiction within the Global LEI System - Official Organizational Roles Code List: It provides an overview of official organizational roles for legal forms in jurisdictions based on the ISO standard 5009
Essential Tasks GLEIF	• Collect feedback from stakeholders on code lists (if applicable) • Decide if the change is appropriate (if applicable) • Assess data quality program to ensure changes to code lists are incorporated • Update GLEIF databases for correct representation of current and past code lists • Update website and other GLEIF communications with changes in code lists • Provide code lists in on-line master datasource
Access Group(s)	Accredited local operating units and Public
The LOU Tasks	• Appropriate use of the code lists in the relevant CDF fields (e.g. including reserved codes '8888' and 'RA888888', to be used only after a request for addition has been sent to GLEIF) • Propose updates to the code lists
Availability	GLEIF Website 99,9 % (Monday – Sunday 00:00 – 24:00)
Workload Limit	(Number of downloaded files in a minute) * (Size of the downloaded files in that minute in MB) <= 5.000
Exception	In case the Continuity process is invoked (ref. chapter 7)

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2.8 Data Governance Pre-Check

Name	Data Governance Pre-Check
Tag Line	A facility to allow the LEI issuers to perform data quality checks on LEI Record Sets prior to publication of newly issued or updated LEIs into the Global LEI System.
Description	In order to improve the overall data quality in the Global LEI System, GLEIF provides the LEI issuers a facility to evaluate the data quality on LEI Record Sets prior to publication into the Global LEI Repository. The facility provides the result of the assessment and delivers the exact reason for the failures. This enables the LEI issuers to remediate potential issues in a timely and efficient manner. In scope are new and to be updated LEI Record Sets. The LEI issuers can use the facility unlimited times for the same LEI Record Set. Both an API and a user-friendly graphical user interface (GUI), which enables the manual usage of the Pre-Check facility, are provided.
Essential Tasks	• Provide API to Data Governance Pre-Check • Provide user-friendly GUI for easy usage of the Data Governance Pre-Check • Automatically inform about check results and failure reasons
Access Group(s)	• API and GUI in production: accredited LOUs • Test API and GUI: accredited and candidate LOUs
The LOU Tasks	• Send new or changed LEI Record Set to the facility prior to publication • Remediate check failures
Availability	API: 99,9 % (Monday – Sunday 00:00 – 24:00) GUI: 97,7 % (Monday – Sunday 00:00 – 24:00)
Processing Time	≤ 3 seconds per request
Workload Limit	1000 requests in total within the same minute
Exception	In case the Continuity process is invoked (ref. chapter 7)

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3 The LOU Services – Service Descriptions

The services of the LOU set out in this Service Level Agreement are all related to the issuance of New LEIs and maintenance of LEIs and related LE-RD, and transmission of all LEI and LE-RD to GLEIF. The credibility and trust of the public in the GLEIS is deeply anchored to the credibility and trust in the LEIs and LE-RD and the transmission of this information to GLEIF.

As agreed in Section 22 of the Master Agreement, LEIs and related LE-RD must be correct, complete, accurate, unique, and true LEIs and LE-RD not only when they are issued, but throughout the life of the LEI (e.g. in the course of updating Legal Entity Events and managing challenges, transfers, and renewals).

The LEI and the related LE-RD collected about, or collected from, the Legal Entity, or created by the LOU in the course of issuance, transfer, and maintenance of the LEI, must be uploaded to GLEIF accurately and reliably, and by performing the LOU Services set out in this chapter.

To ensure compliance with its Core Duties, the LOU shall provide means and processes for improving operational quality and performance. The LOU is responsible that the third party has such processes as well.

The following table shows the service levels that are applicable for all LOU services.

Service Level	Target
Data Governance Pre-Check Completeness	100% of all new and updated LEI Record Sets shall be evaluated via Data Governance Pre-Check. The assessment must be performed in no more than 4 calendar days (i.e. in no more than 96 hours) before the upload to GLEIF.
Data Quality Failure Age	Failed Data Quality Checks must be remediated within 60 calendar days
Jurisdiction Compliance	There shall be no LEIs in status ISSUED outside accredited jurisdictions
LOU Annual Accreditation Verification - Remediation of Findings	LOUs must complete any required remediation action based upon the LOU Annual Accreditation Verification follow up schedule, as listed in the LOU Annual Accreditation Verification report.
Number of New Duplicates	= 0
Required Quality Rate	= 100% each calendar day – up to 7 calendar days granted per calendar month
Expected Quality Rate	≥ 99% each calendar day – up to 7 calendar days granted per calendar month

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Excellent Quality Rate	≥ 98% each calendar day – up to 7 calendar days granted per calendar month
Upload Failure Rate	= 0%

The LOU performs the following services to comply with its Core Duties.

3.1 Issue New LEI

Name	Issue New LEI
Tag Line	The LOU issues New LEIs to Legal Entities.
Description	The LOU provides the means for a Legal Entity to request an LEI. The LOU validates and verifies the LE-RD and issues a New LEI.
Essential Tasks	- Verify the Legal Entity is from a Country the LOU has been accredited for (jurisdiction check). - Provide and execute a contract with the Legal Entity applying for and holding the LEI. This contract must comply with the requirements of **Appendix 05**. - Publish to its website information helping a Legal Entity apply for an LEI (see Website Requirements in the Accreditation Checklist referenced in the Accreditation Manual, **Appendix 02**). - Provide an interface or mechanism for the Legal Entity to apply for an LEI - Maintain procedures for verifying via an authoritative source the accuracy of the LE-RD supplied by the Legal Entity - Maintain procedures for verifying the existence and eligibility of the entity applying for the LEI - Verify the individual signing the application and any pertaining documents is duly empowered to submit such application in the name and on behalf of the Legal Entity - Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions - Verify the existence of the entity applying for the LEI - Validate the LE-RD - Verify via the applicable authoritative source, as submitted in the Accreditation Documentation (**Appendix 04**), the accuracy of the LE-RD supplied in the LEI request; Transliterate in roman characters *(as applicable)* - Perform automated data checks or data edits of specific fields per the Common Data File Formats - Inform the Legal Entity about any missing or wrong entries - Check for Duplicates Make use of Service 2.4, and if Duplicate is reported: - Contact another local operating unit - Contact the applicant for the LEI or Legal Entity

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		• Contact GLEIF
		• Issue the LEI in compliance with ISO 17442 along with the pertaining LE-RD, and in accordance with the current Data Quality Rule Setting
		• Process or receive payment for the New LEI
		• Inform the LEI applicant of the application result
		• Upload to GLEIF the New LEI and all LE-RD collected from the Legal Entity or created by the LOU before bulk transmission or publication to another third party, where however transmission to the Legal Entity and normal publication to the LOU website (as agreed in in the Accreditation Documentation **Appendix 04**) are permitted
		• Accept and without undue delay process applications for an LEI
		• The related facility shall be kept available to the public at least 99.9% of the time each month
Examples of Third Party Assistance	Registration Agent	• Publish to its website information helping a Legal Entity apply for an LEI *with the LOU*
		• Collect and transmit to the LOU the information required to verify the existence of the entity applying for the LEI
		• Contact the applicant for the LEI or the Legal Entity requesting it explain why there is a Duplicate *(if applicable)*
		• Process or receive secure payment for the New LEI
		• Inform the Legal Entity of application status
	Validation Agent	• Provide and execute a contract with the Legal Entity applying for and holding the LEI. This contract must comply with the requirements of **Appendix 05** *(e.g. by referencing the LOU's terms & conditions for the issuance of LEIs).*
		• Maintain procedures for verifying via an authoritative source the accuracy of the LE-RD supplied by the Legal Entity
		• Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions
		• Maintain procedures for verifying the existence and eligibility of the entity applying for the LEI
		• Maintain procedures for verifying the individual

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		signing the LEI application is duly empowered to do so
		• Verify the individual signing the application and any pertaining documents is duly empowered to submit such application in the name and on behalf of the Legal Entity
		• Verify the existence of the entity applying for the LEI
		• Validate the LE-RD
		• Verify via an applicable authoritative source, the accuracy of the LE-RD supplied in the LEI request
		• Inform the Legal Entity about any missing or wrong entries
		• Inform the Legal Entity on the application result
	Others	• Provide an interface or mechanism for the Legal Entity to apply including automated data checks or data edits in the collection of Legal Entity application information
		• Provide data collection or aggregation services from the authoritative sources agreed upon with the LOU
		• Transliterate in roman characters *(as applicable)*
		• Make use of Service 2.4, and if Duplicate is reported
		• Contact another local operating unit
		• Contact the applicant for the LEI, Validation Agent, or Legal Entity
		• Contact GLEIF
		• Upload the New LEI and associated LE-RD to GLEIF
Essential Tasks excluded from Third Party Services	• Editorial access to all LEIs and LE-RD with the LOU prefix at all times	
	• Maintain a procedure for monitoring and updating a list of reliable sources to validate LE-RD, as submitted in the Accreditation Documentation (**Appendix 04**), and approved by GLEIF	
Access Group(s)	Legal Entities via the LOU Terms & Conditions	
Check for Duplicates	Completeness: 100% of new LEIs must be subject to Check for	

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Completeness	Duplicates - Level1 before being uploaded to GLEIF

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3.2 Maintain Legal Entity Events

Name	Maintain Legal Entity Events
Tag Line	The LOU maintains the LEI data for Legal Entity Events reported by the Legal Entity.
Description	The LOU provides an interface or a mechanism for Legal Entities to update their LE-RD managed by the LOU. The LOU verifies all Legal Entity Events updates requested by the Legal Entity via an authoritative source. For those changes verified by the LOU, the LOU ensures the changes are promptly incorporated into the LE-RD. The LOU uploads the updated LEI record to GLEIF by using Service 2.3.
Essential Tasks	• Provide an interface or mechanism for the Legal Entity to update LE-RD including means for automated data checks or data edits
	• Maintain procedures for verifying the individual requesting the change is duly empowered to do so
	• Verify the individual requesting the change is duly empowered to do so on behalf of the Legal Entity
	• Maintain procedures for verifying via an authoritative source the accuracy of the reported Legal Entity Events
	• Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions
	• Validate the LE-RD
	• VERIFY via the applicable authoritative source, as submitted in the Accreditation Documentation (**Appendix 04**), the accuracy of the Legal Entity Events change; Transliterate in roman characters (as applicable)
	• Inform the Legal Entity of the updated LE-RD
	• Upload to GLEIF, using Service 2.3, the updated LE-RD collected from the Legal Entity or created by the LOU before bulk transmission or publication to another third party excluding the Legal Entity and normal publication to the LOU website as informed in in the Accreditation Documentation (**Appendix 04**)
	• Accept and without undue delay initiate the process to implement updates provided by a Legal Entity regarding its LEI managed by the LOU
	• The related facility shall be kept available to the public at least

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		99.9% of the time each month	
Examples of Third Party Assistance	Registration Agent	• None	
	Validation Agent	• Provide an opportunity for the Legal Entity to update LE-RD • Maintain procedures for verifying the individual requesting the change is duly empowered to do so • Verify the individual requesting the change is duly empowered to do so on behalf of the Legal Entity • Maintain procedures for verifying via an authoritative source the accuracy of the reported Legal Entity Events • Validate the LE-RD • Verify via the applicable authoritative source the accuracy of the Legal Entity Events change • Inform the Legal Entity of the updated LE-RD • Accept and without undue delay initiate the process to implement updates provided by a Legal Entity regarding its LEI • Inform the Legal Entity of updated LE-RD	
	Others	• Transliterate in roman characters (*as applicable*) • Provide data collection or aggregation services from the authoritative sources agreed upon with the LOU • Upload the changed LE-RD to GLEIF	
Essential Tasks excluded from Third Party Services	• Editorial access to all LEIs and LE-RD with the LOU prefix always • Maintain a procedure for monitoring and updating a list of reliable sources to validate LE-RD, as submitted in the Accreditation Documentation (**Appendix 04**), and approved by GLEIF • Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions		
Access Group(s)	Legal Entities via the LOU Terms & Conditions		

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3.3 Challenge LEI Data

Name	Challenge LEI Data
Tag Line	Challenge the data of any LEI and legal entity reference data (LE-RD) of the Global LEI repository on the GLEIF website.

Description	GLEIF provides a mechanism for any third party to challenge the data of any LEI and LE-RD of the Global LEI repository. A data challenge that is submitted for a specific LEI (or LE-RD) will be forwarded to the corresponding managing LEI issuer. The actual resolution of data challenges is a service provided by the LEI issuer.
	
	Different challenges can be submitted, which the challenging user must specify alongside evidence and an optional comment. The available types are:
	  - Legal Entity business card details
	  - Legal Entity relationship details
	  - LEI code

Essential Tasks	• Review and respond to LEI or LE-RD challenges transmitted by GLEIF • Research the content of the challenge and verify the challenge via the applicable authoritative source, as submitted in the Accreditation Documentation (**Appendix 04**); Transliterate in roman characters (as applicable) • Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions • Inform the Legal Entity of verified challenges and of challenges which have failed Verification • Upload to GLEIF the updated LE-RD collected from the Legal Entity or created by the LOU (if applicable) before bulk transmission or publication to another third party excluding the Legal Entity and normal publication to the LOU website as informed in in the Accreditation Documentation (**Appendix 04**) or inform GLEIF that no change is to be made
Examples of Third Party Assistance	Registration Agent	• None

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	Validation Agent	Inform the Legal Entity of verified challenges and of challenges which have failed Verification
		Research the content of the challenge and verify the challenge via an authoritative data source (*if applicable*)
		• Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions
	Others	• Provide data collection or aggregation services from the agreed upon authoritative sources
		• Upload the adjusted LEI record to GLEIF *(if applicable)*
		• Transliterate in roman characters (*as applicable*)
Essential Tasks excluded from Third Party Services	• Editorial access to all LEIs and LE-RD with the LOU prefix at all times
	• Review and respond to GLEIF relative to LEI or LE-RD challenges
	• Maintain a procedure for monitoring and updating a list of reliable sources to validate LE-RD, as submitted in the Accreditation Documentation (**Appendix 04**), and approved by GLEIF
Access Group(s)	• GLEIF
Processing Time	15 calendar days

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3.4 Transfer of LEIs and LE-RD

Name	Transfer of LEIs and LE-RD
Tag Line	The LOU participates in and enables transfers of LEIs and LE-RD from or to another local operating unit.
Description	The LOU on behalf of a Legal Entity can notify another local operating unit of a request to transfer LEI management. Both local operating units follow the required steps to complete the transfer.
Essential Tasks	• Provide and execute a contract with the Legal Entity for holding the LEI. This contract must comply with the requirements of **Appendix 05**. • Maintain procedures for verifying the individual requesting the LEI transfer is duly empowered to do so • Verify the individual requesting transfer is duly empowered to do so on behalf of the Legal Entity • Validate the LE-RD • Verify via the applicable authoritative source, as submitted in the Accreditation Documentation (**Appendix 04**), the accuracy of the LE-RD; Transliterate in roman characters (as applicable) • Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions • Keep the Legal Entity informed (*as applicable)* • Upload to GLEIF, using Service 2.3, the LEI and its changed LE-RD collected from the Legal Entity or created by the LOU before bulk transmission or publication to another third party excluding the legal entity and normal publication to the LOU website as informed in in the Accreditation Documentation (**Appendix 04**) • Participate in and enable transfers of one or several LEI(s) and LE-RD from or to another local operating unit on request of the Legal Entity, a local operating unit on behalf of a Legal Entity, or the GLEIF • The transfer of an LEI and related LE-RD as Sending LOU shall be performed in 4 LOU business days • The transfer the LEI and related LE-RD as Receiving LOU shall be

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		performed in 3 LOU business days • Once transferred, the LOU shall unpublish the LEI and related LE-RD within 1 LOU business day from when the transferred LEI is displayed as "ISSUED" on GLEIF search facility
Examples of Third Party Assistance	Registration Agent	• None
	Validation Agent	• Keep the Legal Entity informed • In case of termination of validation agent contract with the LOU or client consent with the Legal Entity, initiate the transfer to the LOU
	Others	• Verify the individual requesting transfer is duly empowered to do so on behalf of the Legal Entity • Provide data collection or aggregation services from the agreed upon authoritative sources • Validate the LE-RD • Verify via an authoritative source the accuracy of the LE-RD; Transliterate in roman characters (as applicable) • Upload the adjusted LEI record to GLEIF (*if applicable*)
Essential Tasks excluded from Third Party Services		• Editorial access to all LEI and LE-RD with the LOU prefix always • Maintain procedures for verifying the individual requesting the LEI transfer is duly empowered to do so • Maintain a procedure for monitoring and updating a list of reliable sources to validate LE-RD, as submitted in the Accreditation Documentation (Appendix 04), and approved by GLEIF • Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions
Access Group(s)		• Legal Entities to LOU which manages their LEI • Validation Agents to the LOU which manages the LEI • Accredited local operating units

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3.5 Renewals of LEIs

Name	Renewals of LEIs
Tag Line	The LOU facilitates, at least annually, the renewal of the LEI and a reconfirmation of its LE-RD by the Legal Entity.
Description	The LOU provides an interface or a mechanism for the Legal Entity to renew at least annually. The Legal Entity must formally apply for renewal. The LOU ensures notification to the Legal Entity at least 6 weeks prior to the renewal. Given the Legal Entity has not successfully completed the renewal process at the renewal date, the LOU ensures the status of the LEI is adjusted to indicate the LEI is lapsed (as defined in the Common Data File Format) on the next calendar day. The LOU requires the Legal Entity to confirm that any and all data provided in the preceding year are still valid or to supply changed data.
Essential Tasks	- Ascertain the contract with the Legal Entity holding the LEI. This contract must comply with the requirements of **Appendix 05** (e.g. by referencing the LOU's terms & conditions for the issuance of LEIs). - Notify Legal Entity of upcoming renewal requirements - Provide an interface or mechanism for the Legal Entity to renew - Maintain procedures for verifying the individual requesting the LEI renewal is duly empowered to do so - Verify the individual requesting renewal is duly empowered to do so on behalf of the Legal Entity - Validate the LE-RD - Verify via the applicable authoritative source, as submitted in the Accreditation Documentation (**Appendix 04**), the accuracy of the LE-RD; Transliterate in roman characters (*as applicable*) - Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions - Maintain procedures for verifying via an authoritative source the LE-RD supplied by the Legal Entity

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		• Perform automated data checks or data edits of specific fields
		• Inform the Legal Entity about any missing or wrong entries
		• Make use of Service 2.4, and if Duplicate is reported
		• Contact another local operating unit
		• Contact the Legal Entity
		• Contact GLEIF
		• Upload the changed LE-RD to GLEIF
		• Process or receive payment for the renewal
		• Adjust the LEI status as applicable to recognize renewal or non-renewal
		• Inform the Legal Entity of renewal or non-renewal status
		• Upload to GLEIF the changed LE-RD collected from the Legal Entity or created by the LOU before bulk transmission or publication to another third party excluding the legal entity and normal publication to the LOU website as informed in in the Accreditation Documentation (**Appendix 04**)
		• Collect and maintain metrics of data quality demonstrating the LOU notifies the Legal Entity of pending renewal requirements and accepts and without undue delay processes the renewal
		• The related facility shall be kept available to the public at least 99.9% of the time each month
Examples of Third Party Assistance	Registration Agent	• None
	Validation Agent	• Notify the Legal Entity of upcoming renewal requirements
		• Ascertain the contract with the Legal Entity holding the LEI. This contract must comply with the requirements of **Appendix 05** *(if applicable)*.
		• Provide a procedure to renew the LEI for the Legal Entity
		• Verify the individual requesting renewal is duly empowered to do so on behalf of the Legal Entity

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		• Validate the LE-RD
		• Verify via the applicable authoritative source the accuracy of the LE-RD
		• Maintain procedures for verifying the individual requesting the LEI renewal is duly empowered to do so
		• Maintain procedures for verifying via an authoritative source the LE-RD
		• Inform the Legal Entity about any missing or wrong entries
		• Inform the Legal Entity of renewal or non-renewal status
		• Ensure an up-to-date list of authoritative sources used for Verification is maintained, accessible and usable at all times with no restrictions
	Others	• Provide an interface or mechanism for the Legal Entity to renew including automated data checks or data edits in the collection of updated Legal Entity information
		• Provide data collection or aggregation services from authoritative sources
		• Transliterate in roman characters (as applicable)
		• Make use of Service 2.4, and if Duplicate is reported
		• Contact another local operating unit
		• Contact the applicant for the LEI, Validation Agent, or Legal Entity
		• Contact GLEIF
		• Upload the changed LE-RD to GLEIF
		• Process or receive payment for the renewal
		• Upload the changed LE-RD to GLEIF
		• Collect and maintain metrics of data quality demonstrating the LOU notifies the Legal Entity

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		of pending renewal requirements and accepts and without undue delay processes the renewal
Essential Tasks excluded from Third Party Services		• Editorial access to all LEI and LE-RD with the LOU prefix at all times • Adjust the LEI status as applicable to recognize renewal or non-renewal
Access Group(s)		• Legal Entities to the Validation Agent or the LOU which manages their LEI

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4 Monitoring and Service Level Breaches

The Service Levels ensure the required high quality of the GLEIS. It is therefore essential to closely monitor the achievement of the agreed Service Levels. Dependent on the service, the LOU and GLEIF have to monitor and report the Service Level metrics.

4.1 Service Level calculation and monitoring

The following tables show the formulas on how to calculate the service levels committed by GLEIF and LOU services respectively.

GLEIF Service Level calculations:

Service Level	Formula	Service transfer point
Availability	$$\left(\frac{Tmonth^{(1)} - T\,non\,availability^{(2)}}{Tmonth^{(1)}}\right) x\,100$$ (1) Minutes in the month (2) Minutes in the month when the service was not available (excluding planned maintenances) The difference is calculated considering calendar days	GLEIF Webserver
Processing Time for "Data Governance Pre-Check"	$$\left(\frac{\sum (EndResponse^{(1)} - StartRequest^{(2()})}{\sum (Requests)^{(3)}}\right) x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering calendar days (3) Number of requests received in the month	GLEIF Data Governance Pre-Check facility
Processing Time for "Check for Duplicates"	$$\left(\frac{\sum (EndResponse^{(1)} - StartRequest^{(2)})}{\sum (Requests)^{(3)}}\right) x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering calendar days (3) Number of requests received in the month	GLEIF Check for Duplicates facility
Processing Time for "LOU Annual Accreditation Verification"	$$\left(\frac{\sum (EndResponseBD^{(1)} - StartRequestBD^{(2)})}{\sum (Requests)^{(3)}}\right) x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering GLEIF business days (3) Number of requests received in the month	
Processing Time for incidents priority 1	$$\left(\frac{\sum (EndResponse^{(1)} - StartRequest^{(2)})}{\sum Closed\,incidents\,priority\,1}\right) x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering calendar days during GLEIF business days (3) Number of requests received in the month In case multiple evidence of the same incidents are received, the processing time is evaluated only on one of them (the other received notifications will be set as "child" records, and the processing time not evaluated)	GLEIF Customer Portal
Processing Time for incidents priority 2		GLEIF Customer Portal

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	$$\left(\frac{\sum(EndResponseBD^{(1)} - StartRequestBD^{(2)})}{\sum \text{Closed incidents priority 2}}\right)x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering GLEIF business days (3) Number of requests received in the month In case multiple evidence of the same incidents are received, the processing time is evaluated only on one of them (the other received notifications will be set as "child" records, and the processing time not evaluated)	
Processing Time for incidents priority 3	$$\left(\frac{\sum(EndResponseBD^{(1)} - StartRequestBD^{(2)})}{\sum \text{Closed incidents priority 3}}\right)x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering GLEIF business days (3) Number of requests received in the month In case multiple evidence of the same incidents are received, the processing time is evaluated only on one of them (the other received notifications will be set as "child" records, and the processing time not evaluated)	GLEIF Customer Portal
Processing Time for "LOU Accreditation – Applicant documentation review"	$$\left(\frac{\sum(EndResponseBD^{(1)} - StartRequestBD^{(2)})}{\sum(Requests)^{(3)}}\right)x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering GLEIF business days (3) Number of closed applicant documentation reviews in the month	GLEIF Customer Portal
Processing Time for "LOU Accreditation – Candidate documentation review"	$$\left(\frac{\sum(EndResponse^{(1)} - StartRequest^{(2)})}{\sum(Requests)^{(3)}}\right)x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering calendar days (3) Number of closed candidate accreditation documentations in the month	GLEIF Customer Portal
Processing Time for "Communications Portal" - Register an account	$$\left(\frac{\sum(EndResponseBD^{(1)} - StartRequestBD^{(2)})}{\sum(Requests)^{(3)}}\right)x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering calendar days (3) Number of closed requests in the month	GLEIF Communications Portal
Processing Time for "Trigger LEI Management Transfer"	$$\left(\frac{\sum(EndResponse^{(1)} - StartRequest^{(2)})}{\sum Transfers^{(3)}}\right)$$ (1) Time stamp when the activity ended (2) Time stamp when the activity started The difference is calculated considering GLEIF business days (3) Number of transfers requests received in the month	GLEIF Customer Portal
Processing Time for "Upload LEI & LE-RD Files"	$$\left(\frac{\sum(EndResponse^{(1)} - StartRequest^{(2)})}{\sum Uploads^{(3)}}\right)x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering calendar days (3) Number of upload requests received in the month	GLEIF Upload Facility

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LOU Service Level calculations:

Service Level	Formula	Service transfer point
Check for Duplicates Completeness	$$\left(\frac{\sum (New\ issued\ LEIs\ verifed\ via\ Check\ for\ Duplicates)}{\sum (New\ issued\ LEIs)}\right)x100$$	GLEIF Concatenated File
Data Governance Pre-Check Completeness	$$\left(\frac{\sum (New\ or\ updated\ prechecked\ LEIs\ )^{(1)}}{\sum (New\ or\ updated\ LEIs)^{(2)}}\right)x100$$ (1) Number of LEIs in scope that have an entry with the same fingerprint [*] in the Pre-Check logs as in the LEI uploaded to GLEIF, and having been uploaded to GLEIF within the requested number of calendar days since the execution of the Pre-Check. (2) Number of LEIs uploaded to GLEIF with a different fingerprint than last date. These are the LEIs in scope for the metric. (*) Please refer at the end of this table	GLEIF Data Governance Pre-Check facility & GLEIF Concatenated File
Data Quality Failure Age	$$\sum Data\ Quality\ Failures\ existing\ consecutively\ for\ more\ than\ 60\ calendar\ days^{(1)}$$ (1) No LEI should fail the same check consecutively for more than the requested number of calendar days	GLEIF Concatenated File
Excellent Quality Rate	$$\left(\frac{\sum (LEI\ records\ fulfilling\ excellent\ quality)}{\sum (LEI\ Records\ within\ the\ LOU)}\right)x100$$ The rate is calculated daily Service level = Number of calendar days the Quality Rate achieved the target	GLEIF Concatenated File
Expected Quality Rate	$$\left(\frac{\sum (LEI\ record\ fulfilling\ expected\ quality)}{\sum (LEI\ Records\ within\ the\ LOU)}\right)x100$$ The rate is calculated daily Service level = Number of calendar days the Quality Rate achieved the target	GLEIF Concatenated File

Jurisdiction Compliance	$$\sum LEI(s)\ outside\ accredited\ jurisdictions^{(1)}$$
	
	(1) Only LEIs having Registration Status equal to ISSUED will be taken into account.
	For each LEI:
	- If the "General Category" (CDF field Entity.EntityCategory) = FUND and the LEI has been issued or renewed after 01/04/2022, then the LEI jurisdiction (as in CDF field Entity.LegalJurisdiction) shall be part of the accredited "FUND" jurisdictions.
	- In case the "General Category" = BRANCH, the country listed in the legal address (CDF field Entity.LegalAddress.Country) will be compared with the accredited "non FUNDs" jurisdictions.
	- In case the "General Category" = INTERNATIONAL_ORGANIZATION then:
	  1. The "Jurisdiction Of Formation" must be one of these: XX, EU, UN AND
	  2. The issuer shall be accredited for "non FUNDs" in the legal or headquarters country's address
	- For all the other LEIs, the LEI Issuer should be accredited for that jurisdiction (reference, list of accredited "non-FUND" jurisdictions).
		GLEIF Concatenated File

Number of New Duplicates	$$\sum Duplicates^{(1)}$$ (1) Number of introduced duplicates in the referring month. Of the LEIs involved in a duplication, the breach is ascribed to the newly issued LEI if the duplication occurred within 150 calendar days from the upload date of the newer issued LEI and the Check for Duplicates listed possible duplicates for the LEI.	GLEIF Concatenated File
LOU Annual Accreditation Verification –	*Number of expired finding remediations*	GLEIF Customer Portal

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Remediation of Findings		
Processing Time for "Challenge LEI Data"	$$\left(\frac{\sum(EndResponseBD^{(1)} - StartRequestBD^{(2)})}{\sum(Closed\ challenges)^{(3)}}\right)x100$$ (1) Time stamp when reply has been provided (2) Time stamp when request has been submitted The difference is calculated considering calendar days (3) Number of closed challenges LEIs in the month	GLEIF Customer Portal
Required Quality Rate	$$\left(\frac{\sum(LEI\ records\ fulfilling\ required\ quality)}{\sum(LEI\ Records\ within\ the\ LOU)}\right)x100$$ The rate is calculated daily Service level = Number of calendar days the Quality Rate achieved the target	GLEIF Concatenated File
Upload Failure Rate (CDF format compliance)	$$\left(\frac{\sum(Days\ with\ complete\ set\ of\ files\ sucessfully\ uploaded)}{\sum(Calendar\ days\ in\ the\ month)}\right)x100$$	GLEIF Upload Facility

(*) A fingerprint (type of hashsum) is generated for each LEI Record Set. Fingerprints will not take into account the fields LastUpdateDate, InitialRegistrationDate, LegalEntityEventRecordedDate (when applicable) and all extensions. Also, the header information for RecordCount, ContentDate, FileContent, NextVersion and all extensions will be excluded. Lapsing LEIs, i.e. records that are updated in only in RegistrationStatus from ISSUED/PUBLISHED to LAPSED, will be excluded from the scope for the Data Governance Pre-check Completeness service level target.
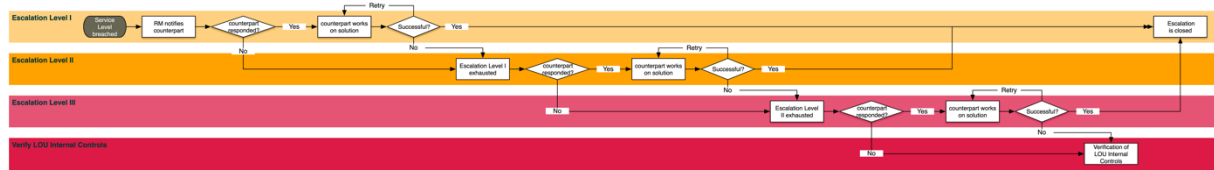
4.2 Maintenance windows at GLEIF

GLEIF's website and Global LEI Repository operate 24/7/365 without regular maintenance windows. In case of exceptional maintenance windows GLEIF will announce them, whenever possible and on a best effort's basis, two weeks ahead via email and/or via Communications Portal.

4.3 Service Level Breaches

In case of Service Level breaches, the timely finding of a sustainable remediation is of predominant importance for GLEIF and the LOU.

Based on the results of the monthly SLA Reports, which are created and distributed by GLEIF, when Service Level breaches occur the steps as for "4.2.1 Escalation Management" must be followed.

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4.4 Escalation Management

Escalation Level 1

Whenever a breach is detected, an escalation is opened and the GLEIF Business Relations Manager contacts the relevant Escalation Level 1 counterpart to notify them about the occurred Service Level breach(es).

The LOU analyses the ascribed Service Level Breach(es) and, if not otherwise granted, within three LOU business days provides GLEIF with the breach root cause and an effective remediation plan.

The LOU must demonstrate the remediation latest by the second available SLA report after the escalation notification.

If both, the target SLA report and the following one, show that the remediation was successful, the Escalation Level 1 is closed.

Escalation Level 2 will be triggered:

- In case the LOU has not provided GLEIF with the breach root cause and an effective remediation plan within 3 LOU business days.

- If the Escalation Level 1 has been not remediated as required.

- When a breach, that has been already managed via an Escalation Level 2 or higher, occurs again within the following 2 months after the escalation closure. In this case the escalation is opened directly as level 2, and the LOU must demonstrate the remediation by the next available SLA report after the escalation notification. If the occurred breach cannot be remediated to get a clean report in the same month (e.g. the service level is breached already), remediation is expected for the next month. GLEIF can exceptionally extend the remediation time in its sole but reasonable discretion upon request, and having received a complete and thorough explanation.

Escalation Level 2

Whenever an Escalation Level 2 is triggered, GLEIF's Escalation Level 2 contact (or deputy) notifies the Escalation Level 2 counterpart that Escalation Level 2 has been triggered.

In case the Escalation Level 2 is triggered from an exhausted level 1 (i.e. not because of a recurrent breach), the LOU must demonstrate the remediation by the next available SLA report after the escalation notification. GLEIF can exceptionally extend the remediation time in its sole but reasonable discretion upon request, and having received a complete and thorough explanation.

If both the target SLA report and the following one show that the remediation was successful, Escalation Level 2 is closed.

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Escalation Level 3 will be triggered in case Escalation Level 2 is not remediated as required.

Escalation Level 3

Whenever an Escalation Level 3 is triggered, GLEIF's Escalation Level 3 contact notifies the Escalation Level 3 counterpart requesting the breach root cause is understood and a final effective remediation plan.

The counterpart implements a sustainable remediation and GLEIF's Escalation Level 3 contact (or deputy) closes the Escalation when both the target SLA report and the following one show that the remediation was successful.

If the remediation has not occurred within the expected timeframe and stability, or an effective remediation plan is not submitted, GLEIF may verify the LOU Internal Controls pursuant Master Agreement – chapter XI (on-site audit). GLEIF will make every possible effort to provide at least four weeks' notice to the LOU.

As a result of the on-site audit, GLEIF provides the LOU with a list of findings that must be remediated in the agreed timeframe and, in any case, within no more than 90 calendar days. GLEIF reserves the right to proceed with a further audit in order to verify the effective remediation of the listed findings.

In case the LOU failed to remediate the ascribed audit findings by the requested timeframe, or the same breach occurs in the next two reports from the audit conclusion, GLEIF in its sole but reasonable discretion reserves the right to suspend the LOU's accreditation as a whole or in parts, that might imply the LOU not to be able to issue new LEIs in any or all accredited jurisdictions until further notice. It is the LOU's obligation to provide immediately a notice to their customer on their website on the suspended rights to issue LEIs. Also, a further on-site audit or the trigger of section 4.5 "Termination" can be initiated by GLEIF. Whenever an on-site audit is triggered, LOU bears the related costs.

4.5 Termination

If the audit findings are not effectively remediated in the requested timeframe, GLEIF may terminate the Agreement pursuant to Chapter XII. C of the Master Agreement.

4.6 Escalation Contacts

The escalation contacts are listed in the relevant section of the Communications Portal. It is expected the Escalation Level 2 contacts to be at managerial level, and the Escalation Level 3 contacts at "C" level or equivalent (e.g. President, General Director). Each escalation contact should mention an assigned deputy. Each LOU has the responsibility to keep their escalation contacts up-to-date.

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5 Incident Management

GLEIF has implemented the incident management process based on ISO 20000 standard to be able to restore disrupted services back to normal operations to meet service levels.

The disrupted service is required to be back to normal operation as quickly as possible with minimal impact on business operations.

In the event that an incident on any GLEIF service occurs, the incidents are processed by GLEIF's service desk, and specialists are assigned to restore agreed services. When the service is fully recovered, the incident is closed.

Incidents are to be reported via an email to servicedesk@gleif.org by LOUs.

Incidents are prioritized based on the Impact-Urgency Matrix depending on the service affected. Processing time is targeted as service level for the following priorities:

- Priority 1: 24 hours (during GLEIF business days)

- Priority 2: 2 GLEIF business days

- Priority 3: 3 GLEIF business days

Attended service operating time is Mo-Fr: 09.00 – 17.00 during GLEIF business days.

Impact-Urgency Matrix

The Impact-Urgency Matrix shows which services are treated with which Priority.

Impact – measures the effect of an incident based on the functionality of the service.
Urgency - measures the criticality, which indicates the speed of resolving an incident.
Priority - is derived from Impact and Urgency.

			Urgency		
			3 – Low Supporting Services	**2 – Medium** Enhancing Services	**1 – High** Core Services
Impact	**3** **Low**	Specific functionality unavailable	**3 - Low**	**3 - Low**	**2 - Medium**
	2 **Medium**	Partial Service unavailable	**3 - Low**	**2 - Medium**	**1 - High**
	1 **High**	Full Service unavailable	**2 - Medium**	**2 - Medium**	**1 - High**

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Urgency classification

Core Services	Enhancing Services	Supporting Services & Applications
LOU Accreditation	LOU Annual Accreditation Verification	Application: Customer Portal
Challenge LEI Data	Check for Duplicates	
Code Lists	Communications Portal	
Upload LEI & LE-RD Files	Trigger LEI Management Transfer	
Data Governance Pre-check		

Priority Level Definition

The following table shows the priority level definition for an incident. A resolution target is set for each Priority.

Priority	Name	Description	Resolution = Processing Time
1	High	Core Services are inaccessible, interrupted, or unusable.	24 hours (during GLEIF business days)
2	Medium	Enhancing Services are unusable or hard to use.	2 GLEIF business days
3	Low	Support Services are unusable or hard to use.	3 GLEIF business days

5.1 Major Incident

A "Major Incident" is a type of incident, that occurs when all or major parts of the core services are affected by disruption.

The resolution time in case of a major incident is 1 hour during GLEIF business days.

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6 Complaints

Complaints are handled via the defined process "LOU feedback".

LOUs can submit their complaints via Customer Portal or by communicating with their Business Relations Manager.

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7 GLEIF Code of Conduct in case of a disaster

In the extraordinary circumstances GLEIF is affected by a disaster:

1. GLEIF informs the LOUs in the shortest possible time via Communication Portal (if available, or by using any other possible means e.g. email or telephone) and invokes the Service Continuity Process
2. In such a situation and until full recovery occurred, the following RTOs and targets are effective:

SLA Services	Recovery Time Objective (RTO)	Targets
• Check for Duplicates	• < 2 GLEIF business days	• Availability: 97.5 % • Processing time ≤ 1 min
• Code Lists	• < 1 calendar month	• Availability: 97.5% (GLEIF Website)
• Data Governance Pre-Check	• < 2 GLEIF business days	• API: • Availability: 97.5 % • Processing time ≤ 3 sec • GUI: • Availability: 95 % • Processing time ≤ 1 min
• LOU Accreditation	• < 1 calendar month	• Availability: 95 % (GLEIF Website) • Availability: 95 % (Customer Portal) • Processing Time to review applicants' documentation: 60 days • Processing Time to review candidates' documentation: 4 months
• LOU Annual Accreditation verification	• < 1 calendar month	• Availability: 95 % (Customer Portal) • Processing Time to review LOU submitted documentation: 60 days
• Communications Portal	• < 2 GLEIF business days	• Availability: 95 % • Processing Time to register an account: 3 days
• Trigger LEI	• < 2 GLEIF	• No LEIs are left without any operating

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management transfer	business days		• managing LOU for more than 4 business days • In case of force majeure, GLEIF shall trigger this process within 4 business days given the impacted LOU stops LEI file daily upload and does not provide business as usual confirmation
• Upload LEI & LE-RD Files	• < 2 GLEIF business days		• Availability: 97.5 % • Processing time: Within 1 hour upon arrival

Same workload limits as during business as usual apply.

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8 SLA Reports

GLEIF provides monthly SLA Reports to the LOU by the 10th GLEIF business day of the following month.

In case of Service Level breaches GLEIF initiates escalation management.

Service Reports Definition

Type	Performance
Contents	Report parameters according to SLA
Reporting period	Monthly
Reporting	Reports are made available through Communications Portal or, from April 2022 SLA Reports, in the SLA Dashboard
Obligation	According to SLA
Language	English
Filing	10 years

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9 Change of Service Levels

Chapter XIII of the Master Agreement applies.

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