

ICAEW Accreditation Scheme

Financial Accounting Software Evaluation

Sage One

Sage One Accounts Extra version 25/03/15



Evaluation carried out by: IT Evaluation Services

Date completed: 23rd June 2015

Signed:

A handwritten signature in black ink, appearing to read "J. Pidgeon".

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1 Summary

1.1 Introduction

The suitability of accounting software for each particular user will always be dependent upon that user's individual requirements. These requirements should therefore always be fully considered before software is acquired. The quality of the software developers or suppliers should also be considered at the onset.

1.2 Fundamentally, good accounting software should:

- Be capable of supporting the accounting functions for which it was designed.
- Provide facilities to ensure the completeness, accuracy, confidentiality and continued integrity of these accounting functions.
- Be effectively supported and maintained.

It is also desirable that good accounting software should:

- Be easy to learn, understand and operate.
- Make best practical use of available resources.
- Accommodate limited changes to reflect specific user requirements.

It is essential, when software is implemented, for appropriate support and training to be available.

2 Approach to evaluation

2.1 Objective

To evaluate Sage One Accounts (Extra) version 25/03/2015 against a set of criteria developed by the ICAEW to ensure that the software meets the requirements of Good Accounting Software, as laid down in the summary.

2.2 Approach and Work performed

In order to effectively evaluate Sage One Accounts Extra version 25/03/2015, a product specialist from the Sage completed the detailed questionnaire and provided it to the evaluator to examine. The evaluator then visited the Sage office in Newcastle and in conjunction with the operation of the various aspects of the software assisted by a member of Sage's technical staff checked the answers to confirm their validity. The questions were individually reviewed and commented on and the majority of assessments were confirmed.

The evaluator discussed the assessments with a member of Sage staff in order to clarify certain points. In the event of disagreement between Sage and the evaluator, the evaluator's decision was taken as final and the response changed accordingly.

Sage One Accounts Extra version 25/03/2015, was used throughout the evaluation. The evaluation covered the fully integrated sales, purchase and general ledgers and where appropriate sales order processing, sales invoicing, purchase order processing and stock software, separate reports have not been prepared for each ledger. Instead

a composite report has been prepared with references made to the appropriate ledger as necessary.

When the evaluation had been completed, the responses were completed by the evaluator and a draft copy sent to the ICAEW for review before completion of the final report.

2.3 Online accounting software

This evaluation covers the accounting system but not the method by which it is delivered and/or contracted for. Potential users need to satisfy themselves on the security and disaster recovery aspects and licensing of the online system and any data protection issues of their own and customer/supplier information, contained therein, being held on the system as well as the return of the data when the contract expires or is terminated.

2.4 Software/hardware utilised

Sage One Accounts Extra version 25/03/2015 was used throughout accessed via Google Chrome v41.0.2272/10/m on a HP Probook with Intel (R) Core (tm) i7-4702MQ CPU running at 2.2GHz with 8Gbyte of RAM under Windows 7 Enterprise.

2.5 Report structure

The report has been broken down into its main constituents in the contents page. The evaluation questionnaire was provided by the ICAEW and has been used without alteration or amendment.

3 Matters to consider before purchase

3.1 General overview

Sage One is an online accounting and payroll service aimed and marketed to micro and small businesses directly and via Accountants, banks and various other sales channels. Sage One Accounts currently has 3 subscription levels namely 'Cashbook', 'Accounts' and 'Accounts Extra'. This report describes and evaluates Sage One Accounts Extra. Sage One is strictly a subscription service and is accessed via an internet browser and connection, this means users of this service can access their accounting system from anywhere at any time and have no maintenance overhead to consider such as backups and updates. Sage state that Sage One is designed for the internet and is truly 'multi-tenancy' architecture resulting in reduced cost of ownership for their customers. Sage One is a global product and is implemented all over the world and is regarded by Sage, as part of their 'cloud strategy' as critical to future success in the micro and small business space. It will receive continued investment going forward, which will be reflected in the services provided, with continual updates and improvements.

3.2 Supplier background

Headquartered in Newcastle upon Tyne, Sage (UK) Limited is a subsidiary of the Sage Group plc, a leading supplier of business management software and services to 5.4 million customers world-wide. From start-ups to larger organisations, Sage claim it makes it easier for companies to manage their business processes. Formed

in 1981, the Group was floated on the stock exchange in 1989 and now employs 13,000 people in its market leading companies world-wide. Working with its community of UK accountants, business partners, developers, banks and retailers, Sage claim it is exclusively focused on providing UK businesses in all sectors with specific, scalable software and services to help them manage their finances, their people, their customers, their suppliers, their core operations and to plan their future business success. In the UK alone, Sage employs over 1,600 people and provides software and services to over 700,000 small and medium-sized businesses.

3.3 Product background and Suitability for user

Sage One Accounts is aimed at micro and small businesses i.e. sole traders up to businesses employing 10 to 15 people. The web interface is simple and clear in design and the language used makes it much more accessible for ‘non-accountants’, although most small businesses will either contract an Accountant or Bookkeeper. Accountants can access extended features such as Accounts Production and collaboration tools and are able to view and manage their clients’ accounts online.

Sage One is a cloud product and as such also has many development partners using the Sage One integration facilities, which means various 3rd party add-ons facilitating market vertical requirements. Partner services include inventory management, CRM and business insight tools etc.

Aside from the web based service Sage One Accounts has a free mobile application (companion service) which is fully integrated and interacts with the Sage One database in real time.

3.4 Typical implementation

A typical small business customer of Sage One Accounts:

- Service orientated business
- VAT Registered on Standard Scheme
- Primarily UK trading (limited requirement to use Sage One multi-currency/overseas VAT)
- In-house bookkeeper/administrator
- Employing 3 or 4 people
- Involve an accountant 3 or 4 times a year

will subscribe to Sage One Accounts Extra with Sage One Payroll.

3.5 Vertical applications

Sage One accounts is aimed at typical small businesses and if specific features are required for specialist industries they will be provided by software add on partners.

3.6 Software and hardware specifications

3.6.1 Development environment

Development takes place around the globe using modern software development methodologies. The software is written mainly in Ruby. Features are developed in collaboration with Sage customers. Releases take

place on a 2 weekly basis bringing with them numerous customer driven improvements.

3.6.2 Server platforms

Server technologies are hosted across a number of Amazon AWS availability zones, with regular backup snapshots taken. All servers are automatically provisioned and decommissioned, which is part of the release process. These servers are based in a number of regions "Availability Zones" depending on the target market (e.g. EU west for UKI) to comply with UK/EU data protection legislation.

3.6.3 Databases

The servers are Linux based and also make use of a number of AWS based services. These are continually updated, and each server is replaced with a newly automatically provisioned box each time there is a code release. Access to the servers are tightly controlled through limited VPN access into the AWS VPC (Virtual Private Cloud).

3.6.4 Operating software

Sage One uses standard REST based design, and supports a third party JSON based development API at <https://developers.sageone.com>. All third party developments are enabled at the discretion of the customer, and access can be revoked through their settings area.

3.6.5 Protocols

Sage One access is provided through a web-browser and all modern versions of browser clients are tested and supported. Sage also provides an Android and iOS mobile client for a limited set of functionality.

3.6.6 Minimum client PC specification

Sage One is designed for use on desktop and tablet products using the following Internet browsers:

- Google Chrome
- Microsoft Internet Explorer – version 8 and above
- Mozilla Firefox
- Apple Safari

3.6.7 Support and maintenance

Sage One is a fully managed service and will be updated and backed up automatically via hosted data centres with ISO 27001 certification. Sage One normally has new releases every two weeks. See 20.27 for more detail.

3.7 Software installation and support

No installation is required - users can sign up online. Support is included in the monthly subscription price. The subscription price includes 24/7, 365 email and telephone support. Sage claim that Sage One is continually monitored and supported by their Live Service team. Customer support is available via 24x7 telephone support, email and knowledge base. Additionally there is a comprehensive and searchable online help system for the product.

3.8 Partner network and related accreditation process

Sage One is marketed and sold through a number of channels including Accountants. Sage One has an accreditation process and network club.

3.9 Highlighted issues

There are a number of limitations in the product, which while not adversely impacting upon this evaluation may be of importance to some organisations. It is important that any business contemplating the purchase of software or on-line services reviews the functionality described and limitations therein against its detailed requirements. Attention is drawn in particular to the following areas where the product, on its own, may not be suitable for businesses with certain requirements:

Menus cannot be tailored

No password changes enforced or old passwords retained

No current users report, on screen only

Backup & recovery only via Sage, not a user function. Users can download CSV reports such a trial balance when required.

No records of master file or standing data changes in audit trail

No import of transaction history

No batches except for opening balances

No automatic accruals or prepayments

No early settlement discounts

No report writer

No unallocated cash report - under development

No General ledger report showing balances brought or carried forward plus those in current period

No warning of overriding credit limits or discounts

No archiving

No group consolidation

No budgets

No adaption of screen layouts or reports

No VAT tolerances, retail schemes or VAT on margin

No contras in VAT purchase/sales ledgers

No intrastat reporting

No foreign bank accounts - all currency transaction held in base currency only

Base currency set to country of subscriber

No historic currency rates held (but kept on the transactions posted)

No sales order processing, invoices and quotes only

The product will not accept orders via the web

No purchase order processing

No stock control - stock list only

No record or file locking

No prevention of access to a record whilst being updated

User cannot take their own backups (or restore them) but can download CSV reports such as the trial balances as and when required

4 Evaluation conclusion

There were no areas in the evaluation that gave concern to this relatively new product as the start of the Sage online range of products. Sage One Extra is a well designed accounting package that has been competently written and is supported by Sage (UK) Ltd directly. The combined ledger design incorporating Sales Ledger, Purchase Ledger and General Ledger gives flexibility and accuracy with a facility to printout complete audit trails and reports as required. In terms of the functionality that is present in the current version and the target market for the products, the product has been adequately specified but it does not include stock control nor sales or purchase order processing. Sage state that they are enhancing the product on a regular basis.

Disclaimer

Any organisation considering the purchase of Sage One Accounts Extra should consider their requirements in the light of proposals from Sage or its dealers and potential suppliers of other similarly specified products. Whilst the contents of this document are presented in good faith, ICAEW cannot accept liability for actions taken as a result of comments made herein.

Functional requirements questionnaire
Product Sage One Accounts Extra - 25th March 2015

| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

5 Security and continuity of processing

| | | | |
|-----|---|--|----------------------------|
| 5.1 | What security features are included to control access to the application? | Password control and authentication via either Sage ID or social networks – Google & Facebook. It includes a secure browser connection via HTTPS. Sage One is also “multi-tenanted” so that data for one organisation / individual is separated from any other. See 3.1 for more detail. | Confirmed |
| 5.2 | Can access to application functions be managed so users can only see (in menus and other links) and access those functions they are authorised to access? | Yes | Confirmed |
| 5.3 | Is this access to the application managed by:- 5.3.1 Individual user profiles? 5.3.2 User groups based on their job roles? | Individual Profiles that can be full access, restricted access, read only or no access per module. No | Confirmed Confirmed |
| 5.4 | If menus can be tailored would this override the application access control? | No | Confirmed |
| 5.5 | Passwords 5.5.1 Is access to the software controlled by password? | Yes | Confirmed |
| | 5.5.2 Please state the basis of control available (e.g., role based etc). | User security via individual profiles, see 5.3 above. | Confirmed |
| | 5.5.3 If there is no password facility please state how confidentiality and accessibility control can be maintained within the software? | N/A | |

Functional requirements questionnaire
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| Question | Supplier Response | Evaluator's Comment |
|--|---|----------------------------|
| 5.5.4 Are single user systems access controlled by password? | Yes | Confirmed |
| 5.5.5 Does the software allow for each user to have separate log on (user ids)? If No:- 5.5.5.1 How does the software track user activity? | Yes, user ID is their email address. N/A | Confirmed |
| 5.5.6 Is each user required to have a personal password? | Yes | Confirmed |
| 5.5.7 Are passwords one-way encrypted? [i.e. Is it impossible for anyone to see other user's passwords in the software?] | Yes | Confirmed |
| 5.5.8 Are passwords masked when entered by any user logging in? | Yes | Confirmed |
| 5.5.9 Is password complexity available at application level? If Yes:- 5.5.9.1 Please specify [e.g. Number of digits, requirement for special characters, numeric, upper/lower case etc.] | Yes Sage Id requires 8 characters including upper & lower case and a special character. Google and Face Book have their own password complexity rules. | Confirmed Confirmed |
| 5.5.10 Is there a facility to enforce password changes after a chosen period of time? | Not Implemented with Sage Id – Google/Facebook have their own rules | Confirmed |
| 5.5.11 Is there a facility to specify a minimum age for passwords (e.g. 1 day)? | Not Implemented with Sage Id – Google/Facebook have their own rules | Confirmed |
| 5.5.12 How many previous passwords are retained by the system to limit users | Sage Id – none Google/Face book have their own rules | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|---------------------|
| recycling passwords (e.g. 24 or 32)? | | |
| 5.6 Please state how security allows for access to be specified separately for :- | | |
| 5.6.1 Read? | Read Access Level | Confirmed |
| 5.6.2 Read and write? | Full Access Level, Restricted Access Level does not allow editing or deleting | Confirmed |
| 5.6.3 Delete and amend? | Full Access Level | Confirmed |
| 5.7 Are any data files, such as budgets or price updates, imported by users validated by the application software before main data files are updated? | Yes, opening balance transactions, sales and purchase contacts and bank statements. | Confirmed |
| 5.8 Does the software require higher or specific levels of user access for changes to sensitive data, such as customer credit limits? | Yes, Full Access Level only. | Confirmed |
| 5.9 Please specify the specific security procedures (by passwords or warnings) over the:- | | |
| 5.9.1 Update of ledgers | By security Access Level | Confirmed |
| 5.9.2 Closing of accounting periods | N/A | |
| 5.9.3 Deletion of transactions | By security Access Level | Confirmed |
| 5.9.4 Archiving of transactions. | N/A | |
| 5.10 Is it impossible to delete a transaction? If No:- | No | Confirmed |
| 5.10.1 How are deletions controlled by the system? | Full Access Level only and cannot delete allocated transactions need to unallocate first, nor when included on a reconciled VAT return. | Confirmed |
| 5.11 Are deleted transactions retained in the audit trail and denoted as | Yes, shown as Void | Confirmed |

Functional requirements questionnaire
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| Question | Supplier Response | Evaluator's Comment |
|---|---|---------------------|
| such? | | |
| 5.12 Can a report be produced detailing all current users, via user groups, if relevant, and their authority levels and/or access rights? | No, on screen only | Confirmed |
| 5.13 If data can be accessed by separate reporting facilities, such as ODBC or separate report writer, is the user access security control applied? | Yes | Confirmed |
| If No:- 5.14 Please explain any other protection in place to prevent unauthorised access to data with such facilities. | N/A | |
| 5.15 Is the level of security (described with this section) appropriate for the expected size of business using the software? | Yes | Confirmed |
| 5.16 Is there a clear indication in the software or manuals as to how the data is:- 5.16.1 Backed-up? 5.16.2 Recovered? | See also 20.33. Not a user function, backups by Sage. Users can download CSV reports such as trial balance as and when required. | Confirmed |
| 5.17 Back ups How are back ups provided:- 5.17.1 Within the software application? 5.17.2 Within the operating software? | By Sage automatically – Sage One is a 'Cloud' product maintenance is completely managed by Sage. | Confirmed |
| 5.17.3 Are backup procedures automatic? | Yes, continuously | Confirmed |

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| Question | | Supplier Response | Evaluator's Comment |
|----------|--|--|---------------------|
| 5.17.4 | Is the user forced or prompted to back-up at certain intervals? | N/A | |
| 5.17.5 | Can the intervals be customised? | N/A | |
| | | | |
| 5.18 | Recovery | | |
| 5.18.1 | Please state how the software facilitates recovery procedures in the event of software failure? (E.g. roll back to the last completed transaction). | Roll back to last completed transaction. | Confirmed |
| 5.18.2 | If software failure occurs part way through a batch or transaction, will the operator have to re-input the batch or only the transaction being input at the time of the failure? | Re-input batch. | Confirmed |
| 5.18.3 | Are these automated? | Yes | Confirmed |
| 5.18.4 | Do the recovery procedures work? | Yes | Confirmed |
| | | | |
| 5.19 | What features are available within the software to help track down processing problems? | None other than trial balance. The Sage One accounts engine which holds all accounting rules ensures the transactions balance so that the TB would always balance. | Confirmed |
| | | | Confirmed |
| 5.20 | Are software messages clear? | Yes | |
| | | | |
| 5.21 | Are user responses properly structured to ensure that erroneous key strikes do not lead to inappropriate actions? | Yes, with on screen confirmation required for many operations. | Confirmed |
| | | | |
| 5.22 | Is there a software log which details:- | | |
| 5.22.1 | Error messages? | Not available to users | Confirmed |

Functional requirements questionnaire
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| Question | Supplier Response | Evaluator's Comment |
|--|--|---------------------|
| 5.22.2 Security violations? | Not available to users | Confirmed |
| 5.23 Audit trail | | |
| 5.23.1 Does the software have a detailed audit trail? | Yes | Confirmed |
| 5.23.2 Is it <u>impossible</u> to turn off or delete the audit trail? | Yes | Confirmed |
| 5.23.3 Does the software allocate a system generated sequential unique reference number to each transaction? | Yes, unique number per transaction but each line of a transaction is given the same number in detailed audit report. | Confirmed |
| 5.23.4 Is this stamped with a user id? | Yes | Confirmed |
| 5.23.5 Is this unique reference number presented to the user at time of input? | No | Confirmed |
| 5.23.6 Is this unique reference number available to view, by the end user and by way of a report? | Yes | Confirmed |
| 5.23.7 Is the transaction date and time stamped? | Yes, date only available to user. | Confirmed |
| 5.23.8 Are all master file changes recorded in the audit trail? | Not available to user. Sage support only | Confirmed |
| If Yes:- 5.23.8.1 Does each change have a system generated reference allocated? | N/A | |
| 5.23.8.2 Are the originator and authoriser identified? | N/A | |
| 5.23.8.3 Is the change date and time stamped? | N/A | |
| 5.23.9 Are all standing data changes recorded in the audit trail? | Not available to user. Sage support only | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|---------------------|
| If Yes:- 5.23.9.1 Does each change have a system generated reference allocated? | N/A | |
| 5.23.9.2 Are the originator and authoriser identified? | N/A | |
| 5.23.9.3 Is the change date and time stamped? | N/A | |
| 5.23.10 Is all input data included within the audit trail, including amendments, deletions, journals etc.? | Yes | Confirmed |
| 5.23.11 Does the software allocate a system generated unique reference number to each amendment, deletions journal? | Yes, see 5.23.3 | Confirmed |
| 5.23.11.1 Is this stamped with a user id? | Yes | Confirmed |
| 5.23.11.2 Is this unique reference number presented to the user at time of input? | No | Confirmed |
| 5.23.11.3 Is the transaction date and time stamped? | Yes, date only | Confirmed |
| 5.23.11.4 How is it linked to the original transaction? | Can be seen on drill down from invoice. | Confirmed |
| 5.23.12 Are imported /interfaced transactions detailed in the audit trail? | Yes, but only opening balances can be input (not historic balances) together with | Confirmed |

Functional requirements questionnaire
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| Question | Supplier Response | Evaluator's Comment |
|---|-------------------------------|---------------------|
| | customer and supplier records | |
| 5.23.12.1 Is each stamped with a user id? | Yes | Confirmed |
| 5.23.12.2 Is this unique reference number presented to the user at time of input? | No | Confirmed |
| 5.23.12.3 Is the transaction date and time stamped? | Yes, date only | Confirmed |
| 5.23.13 How are transactions differentiated within the audit trail? | By transaction type | Confirmed |
| 5.24 What are the procedures for handling dates? (E.g. 2 digit years, 4 digit years). | 4 digit years | Confirmed |
| 5.24.1 In the case of two digits what is the break point for the century? | N/A | |
| 5.24.2 Are dates handled consistently throughout the software? | Yes | Confirmed |

Functional requirements questionnaire
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| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

6 Input of transactions

The following sections in Input of transactions, File maintenance, Processing and Reports are primarily aimed at the three main accounting ledgers and where applicable Sales Order Processing, Sales Invoicing, Purchase Order Processing and Stock Control.

| | | | |
|-----|--|--|-----------|
| 6.1 | Is data input controlled by self-explanatory menu options? | Yes | Confirmed |
| 6.2 | Are these menus application-specific? | Yes | Confirmed |
| 6.3 | Does the software provide input validation checks such as account code validation, reasonableness (limits, VAT or discount checking) and validity checks (VAT check-digit calculations)? | Yes, account code validation. The accounting engine is programmed to ensure that VAT rules are applied correctly to each transaction. | Confirmed |
| 6.4 | Can the user amend data on an input screen prior to update? | Yes | Confirmed |
| 6.5 | What control features are within the software to ensure completeness and accuracy of data input? | Validation is applied to fields so invalid characters are not used, maximum sizes are adhered to, and certain fields are mandatory. Accounting rules prevent single sided entry and take care of double entry. On screen users are warned if journal does not balance for example. | Confirmed |
| 6.6 | Are all input transactions subject to this control? | Yes | Confirmed |
| 6.7 | How does the software ensure uniqueness of the input transactions? (i.e. to avoid duplicate transactions) | Purchases – tests for potential duplicates using references, dates and amounts. | Confirmed |

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| Question | | Supplier Response | Evaluator's Comment |
|----------|---|--|---------------------|
| 6.8 | Does the software allow for batch control totals? If Yes:- | No batch processing | Confirmed |
| 6.8.1 | Are batches automatically numbered? | No | Confirmed |
| 6.8.2 | Are batches forced to balance before ledger update? | N/A | |
| 6.8.3 | Does the software allow the temporary halting of input of a batch to allow for queries or other activities to take priority (e.g. set up a new account) | N/A | |
| 6.8.4 | Is the user forced to confirm batch totals? | N/A | |
| 6.9 | Is attempted posting of unbalanced journals rejected? (G/L). | Yes | Confirmed |
| 6.10 | Are input errors highlighted? If Yes are they:- | | |
| 6.10.1 | Rejected and reported on screen? | Yes, on screen messages | Confirmed |
| 6.10.2 | Rejected and error reports generated? | No | Confirmed |
| 6.10.3 | Accepted and posted to suspense? | No | Confirmed |
| 6.11 | Does the software have an automatic facility to correct/reverse/delete transactions? | Yes | Confirmed |
| | If Yes:- | | |
| 6.11.1 | Are all the double entry transactions documented in the audit trail? | Yes | Confirmed |
| 6.12 | What are the controls to ensure the internal integrity of the ledger(s) or the accounting | All transaction postings must balance. | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| information, e.g., control of accounts. | | |
| 6.13 Is it possible to allocate input values directly to ledger control accounts? | Yes – posting allowed but warnings are given. | Confirmed |
| If Yes:- 6.13.1 Please note the mechanisms available to allow the user to establish why the total balances on individual accounts do not agree to a respective control account? | Through Reporting if manual entries are made. Normally only system postings are made to the control accounts. | Confirmed |
| 6.14 Can automatic accruals or prepayments be generated? If Yes:- | No | Confirmed |
| 6.14.1 Will these automatically be reversed after the period end? (G/L) | N/A | |
| 6.15 Does the software have a purchase invoice register? | Yes, draft invoices can be held until posted. | Confirmed |
| 6.16 Does the software permit multi debit/credit journals? | Yes | Confirmed |
| 6.17 Can journals be saved as template with GL codes and cost centres and either with or without monetary amounts? | Yes (using copy function) | Confirmed |
| 6.18 Can journals be set up to distribute amounts in a fixed percentage against GL/Cost centre codes? | No | Confirmed |
| 6.19 How are transactions identified on screen/reports as to:- | | |

Functional requirements questionnaire
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| Question | Supplier Response | Evaluator's Comment |
|--|--------------------------------------|---------------------|
| 6.19.1 Type? | Transaction type code in SL & PL | Confirmed |
| 6.19.2 Debit or credit? | By CR/DR symbol in NL | Confirmed |
| 6.20 Can separate nominal analysis codes be input for each invoice line? | Yes | Confirmed |
| If Yes:- | | |
| 6.20.1 Does this cover:- | | |
| 6.20.1.1 Sales ledger? | Yes | Confirmed |
| 6.20.1.2 Purchase ledger? | Yes | Confirmed |
| 6.20.1.3 Stock? | N/A | |
| 6.21 Can receipts and payments be matched to specific invoices? | Yes | Confirmed |
| If Yes:- | | |
| 6.21.1 Automatic? | Yes, to oldest outstanding. | Confirmed |
| 6.21.2 Manual? | Yes | Confirmed |
| 6.21.3 Both? | Yes | Confirmed |
| 6.22 Will the software permit part payments? | Yes | Confirmed |
| 6.23 Will the software allow:- | | |
| 6.23.1 Payments to be made to customers? | Yes – using record payments made | Confirmed |
| 6.23.2 Receipts to be received from suppliers? | Yes – using record receipts received | Confirmed |
| 6.24 Does the software handle purchase credit notes? | Yes | Confirmed |
| 6.24.1 Is there an ability to automatically amend stock, if applicable? | N/A | |
| 6.25 Can the software generate sales credit notes? | | |
| If yes:- | Yes | Confirmed |
| 6.25.1 Is there an ability to match to a sales invoice? | Yes | Confirmed |

Functional requirements questionnaire
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| Question | Supplier Response | Evaluator's Comment |
|---|--|-----------------------------------|
| 6.25.2 Is there an ability to automatically amend stock, if applicable? | N/A | |
| 6.26 Does the software handle discounts and promotions? | Yes, using line discounts and price lists. | Confirmed |
| 6.27 Does the software provide for early settlement discounts? | No | Confirmed |
| 6.27.1 Can early settlement discounts be automatically generated? | N/A | |
| 6.27.2 Are there controls over accepting settlement discounts (e.g. time limits)? | N/A | |
| 6.27.3 Is VAT treated correctly on early settlement discounts? | N/A | |
| 6.28 Will the software permit the posting of unallocated cash to the ledgers? | Yes | Confirmed |
| Does this apply to:- | | |
| 6.28.1 Sales ledger? | Yes | Confirmed |
| 6.28.2 Purchase ledger? | Yes | Confirmed |
| 6.29 Are unallocated cash/credit notes specifically reported for follow up? | No | Unallocated report in preparation |
| 6.30 Are outstanding transactions displayed for allocation? | Yes | Confirmed |
| If Yes:- | | |
| Does this apply to:- | | |
| 6.30.1 Sales ledger? | Yes | Confirmed |
| 6.30.2 Purchase ledger? | Yes | Confirmed |
| 6.31 Does the system allow the user to post or allocate a payment or receipt with a date prior to the invoice transaction date? | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|-----------------------------------|
| <p>If Yes:-</p> <p>6.31.1 Is the user warned that the aged balance values may not agree to the trial balance values?</p> | No | Confirmed |
| 6.32 Is it possible for new accounts to be created during input? | Yes | Confirmed |
| <p>If Yes:-</p> <p>Does this cover:-</p> <p>6.32.1 Sales?</p> | Yes | Confirmed |
| 6.32.2 Purchases? | Yes | Confirmed |
| 6.32.3 General Ledger? | No | Confirmed, but planned |
| 6.32.4 Stock? | N/A | |
| 6.33 What controls are there over the creation of new accounts? | User security access Duplicate checking | Confirmed |
| 6.33.1 Is the originator and/or authoriser identification logged by the software? | Not available to user. Sage support only | Confirmed |
| 6.34 Is the user prevented or warned from overriding credit limits or discounts? (S/L). | No, neither | Confirmed |
| 6.35 Does the software have a bank reconciliation facility? | Yes, statements can be imported from bank. | Confirmed |
| 6.36 Does the software enable transactions to be posted to the ledgers whilst performing a bank reconciliation (e.g. standing charges, bank charges etc)? | Yes | Confirmed |
| 6.37 Are these adequately reported? | Yes | Confirmed |
| <p>6.38 Does the software accept input files from other computer packages?</p> <p>If Yes:-</p> <p>6.38.1 What formats are accepted?</p> | <p>Yes</p> <p>Sage One has a public API & CSV import. More information on the Sage One</p> | <p>Confirmed</p> <p>Confirmed</p> |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|---------------------|
| | API can be found at https://developers.sageone.com/ | |
| 6.38.2 What controls are in place over the interface? | Authentication and system validations | Confirmed |
| | | |
| 6.39 Does the software have a facility for calculating interest on late payments? | No | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

7 File maintenance

| | | | |
|-------|---|---|-----------|
| 7.1 | Are ledgers:- | | |
| 7.1.1 | Open item? | Yes | Confirmed |
| 7.1.2 | Balance forward? | No | Confirmed |
| | Does the above cover:- | | |
| 7.1.3 | Sales ledger? | Yes | Confirmed |
| 7.1.4 | Purchase ledger? | Yes | Confirmed |
| 7.1.5 | General ledger? | Yes | Confirmed |
| 7.2 | Is a month end routine required to be undertaken? | No | Confirmed |
| 7.3 | Is the creation or amendment of standing data (e.g. customer account details) controlled by menu options? | Controlled by user access level only full access allows amendments. | Confirmed |
| 7.4 | Are menus:- | | |
| 7.4.1 | Application specific? | Yes | Confirmed |
| 7.4.2 | User specific? | No | Confirmed |
| 7.5 | Is it <u>impossible</u> to delete accounts even if the balance is Nil but transactions have been recorded against the code. | Yes | Confirmed |
| | Does this apply to:- | | |
| 7.5.1 | General Ledger? | Yes | Confirmed |
| 7.5.2 | Sales Ledger? | Yes | Confirmed |
| 7.5.3 | Purchase Ledger? | Yes | Confirmed |
| 7.5.4 | Stock? | N/A | |
| 7.6 | Are there any other constraints over the deletion of accounts? | No | Confirmed |
| 7.7 | What is the size and format of reference numbers and descriptions within:- | | |
| 7.7.1 | General Ledger? | 8 numeric | Confirmed |
| 7.7.2 | Sales Ledger? | 10 alpha/numeric | Confirmed |
| 7.7.3 | Purchase Ledger? | 10 alpha/numeric | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| 7.7.4 Stock? | 30 alpha/numeric | Confirmed |
| 7.8 Is the scope of the reference number adequate to permit sufficient depth of analysis? | No analysis on reference numbers. | Confirmed |
| 7.9 How does the software guard against/warn about, duplicate account numbers on set up? | On screen message, not possible to save duplicate. | Confirmed |
| 7.10 How does the software enable the traceability - from, to and through the accounting records - of any source document or interfaced transaction? | On screen reporting with drill down. Documents (e.g. PDFs) cannot be attached to transactions. | Confirmed |
| 7.11 What drill down/around functionality is available within the software? | Drill down from balances to transactions and accounts. | Confirmed |
| 7.12 Can reports be invoked which identify all the fields which have been modified? | No | Confirmed |
| 7.13 If the software uses a lot of standing information which changes frequently or regularly, does the software allow for such changes to be effected through the use of parameters or tables? | No user access. Sage maintain the tax rates and they are updated as legislation changes. | Confirmed |
| If Yes: – 7.13.1 Is the use of such parameters or tables adequately reported? | N/A | |
| 7.14 What controls are within the software over changes to parameters and tables e.g. reporting, password etc? | User security. | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|-------------------|---------------------|
| 7.15 Does the software allow selective archiving of old data on a user-defined basis? | No | Confirmed |
| | | |
| 7.16 What controls are in place over the handling of archived data? | N/A | |
| | | |
| 7.17 Can archived data be used for reporting purposes? | N/A | |
| | | |
| 7.18 Does the software allow for the restoration of achieved data for audit without affecting current accounting data? | N/A | |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| 8 Processing | | |
| 8.1 Does the software ensure that menu options or programs are executed in the correct sequence (e.g. ensure outstanding transactions are processed before month end procedures run)? | Not required. | Confirmed |
| | | |
| 8.2 After an external document (e.g. sales invoice or cheque payment) has been generated and posted to the accounts is it impossible to amend this data? | No, only if part of a VAT return or bank reconciliation. | Confirmed |
| | | |
| 8.3 Is there an audit trail of all changes to transactions which have updated the ledgers? | Yes | Confirmed |
| | | |
| 8.4 Can the software calculate prices or values by reference to master file data? | Yes, however the system does not support full stock control only a simple priced stock list. | Confirmed |
| | | |
| 8.5 Does the software provide automatic recalculation, where appropriate, of data input? (e.g. VAT) | Yes | Confirmed |
| | | |
| 8.6 Does the software warn the user when the ledger is out of balance? | No, but extremely unlikely that it can go out of balance | Confirmed |
| | | |
| 8.7 How is this done e.g. when the software is switching on or on ledger update? | N/A | |

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| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

9 Performance of requisite accounting functions

| | | | |
|-------|--|--|-----------|
| 9.1 | What control features are provided by the software to support effective user controls? | Completeness and validation checks and automatic double entry. | Confirmed |
| 9.2 | Is there: | | |
| 9.2.1 | Transaction sequencing? | Yes | Confirmed |
| 9.2.2 | Automatic dating of posting transactions? | Default system date | Confirmed |
| 9.2.3 | Identification of user id or source of document? | Yes | Confirmed |
| 9.3 | Is the software available as multi user? | Yes | Confirmed |
| 9.4 | Can the same function be used by more than one person at the same time, whilst still retaining the separate user identities? | Yes | Confirmed |
| 9.5 | Is the software available as multi-company? | Yes | Confirmed |
| | If Yes:- | | |
| 9.5.1 | How many companies are supported? | Unlimited companies | Confirmed |
| 9.6 | Is a group consolidation facility available? | No | Confirmed |
| 9.7 | Can the software consolidate entities with different charts of accounts? | N/A | |
| 9.8 | How many levels of nominal analysis can be handled by the software? | 1 with up to 3 additional analysis codes that user can name. | Confirmed |
| 9.9 | How does the software handle cost centres, departments, divisions? | Using analysis codes and filtering in reporting. | Confirmed |

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| Question | | Supplier Response | Evaluator's Comment |
|----------|--|---|---------------------|
| 9.10 | How are periods handled by the software? | All transactions are dated. All period values are 'calculations' as required on a date range. | Confirmed |
| 9.11 | How many:- 9.11.1 Accounting periods can be set up? | No limit | Confirmed |
| | 9.11.2 Years can be set up? | No limit | Confirmed |
| 9.12 | Can the length/ number of periods be adjusted to suit different customer requirements? | No concept of fixed periods, date range only. | Confirmed |
| 9.13 | How many accounting periods can be open at any one time? | No limit | Confirmed |
| 9.14 | How many years can be open at any one time? | No limit | Confirmed |
| 9.15 | Can a period or year be re-opened after it has been closed? | See 9.12. Sage One has a lock date which controls postings and can be set by the system admin. This can be amended at any time. | Confirmed |
| | If Yes:- 9.15.1 What controls are in place over this function? | User security | Confirmed |
| | If No:- 9.15.2 Is the data archived on the server? | N/A | |
| | 9.15.3 Is this accessible for reporting purposes? | N/A | |
| | 9.15.4 Can a previous year be restored from backup? | N/A | |
| 9.16 | Can data from all accounting periods and years be accessed at any one time? | Yes | Confirmed |
| 9.17 | Can previous months and years be accessed for enquiries or reports? | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|--|----------------------------|
| 9.18 Does the software handle posting date as well as document date? If Yes:- 9.18.1 Are transactions analysed by posting date or document date? | Yes Document date | Confirmed Confirmed |
| 9.19 Can transactions be posted to more than one accounting period at any point in time? | Yes | Confirmed |
| 9.20 Does this cover:- 9.20.1 General ledger? | Yes | Confirmed |
| 9.20.2 Sales ledger? | Yes | Confirmed |
| 9.20.3 Purchase ledger? | Yes | Confirmed |
| 9.21 Is it possible to allocate transactions to: 9.21.1 Future periods? | Yes | Confirmed |
| 9.21.2 Previous closed periods? | Not prior to lock date | Confirmed |
| 9.21.3 A previously closed year? | Not prior to lock date | Confirmed |
| If Yes:- 9.21.4 What controls are in place e.g. level of authorisation and on screen warnings? | Error message and cannot proceed without unlocking date. | Confirmed |
| 9.21.5 Will the software revise subsequent periods accordingly? | Yes | Confirmed |
| 9.22 How will transactions outside the current period be:- 9.22.1 Reported 9.22.2 Accounted for in the VAT return? | In audit trail. Can optionally include back dated transactions in VAT return. | Confirmed Confirmed |
| 9.23 Does the software permit use of budgets and provide comparisons between budgets and actuals? If Yes:- 9.23.1 How many versions of | No budgets N/A | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|-------------------|---------------------|
| budgets/forecasts can be maintained on the system? | | |
| 9.24 Are budgets available for: | N/A | |
| 9.24.1 General ledger? | | |
| 9.24.2 Sales ledger? | N/A | |
| 9.24.3 Purchase ledger? | N/A | |
| 9.24.4 Overheads? | N/A | |
| 9.24.5 Balance sheet? | N/A | |
| | | |
| 9.25 Can budgets be set by: | | |
| 9.25.1 Period? | N/A | |
| 9.25.2 Annually? | N/A | |
| | | |
| 9.26 Can the software automatically generate budgets? Please state how this is achieved. | N/A | |
| | | |
| 9.27 What is the maximum value of transactions and of totals that can be handled by the software? | Unlimited | As stated |
| | | |
| 9.28 What is the maximum number of transactions that can be handled by the software? | Unlimited | As stated |
| | | |
| 9.29 What is the maximum number of accounts on each ledger: | | |
| 9.29.1 Sales ledger? | Unlimited | As stated |
| 9.29.2 Purchase ledger? | Unlimited | As stated |
| 9.29.3 General ledger? | Unlimited | As stated |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| 10 Reports | | |
| 10.1 Are all reports adequately titled and dated? (E.g. report name, client name, data, period, batch, last entry number, period end, pages, numbers etc.) | Yes | Confirmed |
| 10.2 Do the reports provide totals where applicable? | Yes | Confirmed |
| 10.3 Are these totals calculated or taken from a control file? Please state the reports that do not feature calculated totals. | Calculated N/A | Confirmed |
| 10.4 Is it clear when the report has ended? (totals or end markers) | Yes, page 'x' of 'y' on report pages. | Confirmed |
| 10.5 Can reports be saved in electronic format (as distinct from just printing)? | Yes, as CSV (to allow further analysis in Excel) and PDF. | Confirmed |
| 10.5.1 Are such files adequately protected from deletion or amendment? | Yes, PDF copies held in Sage One protected, otherwise no. | Confirmed |
| 10.6 Is a report writer provided as part of the software or as an add on? Please state the name of any third party package. | No report writer. All reports are system supplied as standard. N/A | Confirmed |
| 10.7 What level of knowledge is required to use the report writer e.g. beginner, regular user, expert? | N/A | |
| 10.8 Can the report writer make use of user-defined fields (including external fields)? | N/A but analysis codes in filters can be used in standard reports. | Confirmed |
| 10.9 Does the report writer enable:- 10.9.1 Separate access to each system area? | N/A | |

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| Question | | Supplier Response | Evaluator's Comment |
|----------|---|---|---------------------|
| 10.9.2 | Reports to be prepared which combines related data from a number of system areas (e.g. Customers – Sales – Stock items) in the same report? | N/A | |
| 10.10 | Can users define the parameters, columns, fields and selection criteria used on reports reported? | N/A | |
| 10.11 | Are standard reports always produced, even when they are nil returns? | Yes | Confirmed |
| 10.12 | Is there an option for reports to exclude nil balances, this year or where there are nil balances this year and last year, to enable a comparative report to be produced with the completeness of both years' being maintained? | No, reports automatically exclude nil balances. | Confirmed |
| 10.13 | Can screen layouts, reports and transaction formats be easily adapted to users' requirements? | No | Confirmed |
| 10.14 | Can a hard copy be produced of all screen enquiries? | Yes | Confirmed |
| 10.15 | Can transaction files for all previous periods of the year be retained in the software to permit enquiries and reports? | Yes | Confirmed |
| 10.16 | Are reports of all changes to standing data on customers, suppliers, tax rates etc automatically generated or stored for later printing? | No | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| If Yes:- 10.16.1 Is the report able to capture the nature of the change, user id and data and time of the change? | N/A | |
| 10.17 Are all transactions on all reports individually identifiable? | Yes | Confirmed |
| 10.18 Do the reports show whether items are debit or credit? | Yes, in many reports and in all GL reports | Confirmed |
| 10.19 Do reports give sufficient narrative and coding to enable cross referencing? | No, cross referencing only shown by drill down. | Confirmed |
| 10.20 Is it possible to drill down from reports to the ledgers and original transactions? | Yes, not from PDF files | Confirmed |
| 10.21 Can the software produce all requisite reports:- | | |
| 10.21.1 Day books | Yes | Confirmed |
| 10.21.2 Trial balance | Yes | Confirmed |
| 10.21.3 Profit and loss account | Yes | Confirmed |
| 10.21.4 Balance sheet | Yes | Confirmed |
| 10.21.5 Aged debtors | Yes | Confirmed |
| 10.21.6 Aged creditors | Yes | Confirmed |
| 10.21.7 Aged stock | N/A | |
| 10.21.8 Aged unallocated cash (debtors) | No | Under development |
| 10.21.9 Aged unallocated cash (creditors) | No | Under development |
| 10.21.10 Budgets | N/A | |
| 10.21.11 Cash flow statement | Yes | Confirmed |
| 10.21.12 VAT reports | Yes | Confirmed |
| 10.21.13 VAT form 100 | Yes | Confirmed |
| 10.21.14 EC Sales Listings | Yes | Confirmed |
| 10.21.15 Intrastat returns (SSD) | No | Confirmed |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|--|--|---------------------|
| 10.22 Are the above reports standard within the software or do they have to be written? | Standard. | Confirmed |
| 10.23 Is the age criteria fixed or user definable? | User defined data selection criteria | Confirmed |
| 10.24 Can the aged analysis and day book reports be in summary and detail? | Yes | Confirmed |
| 10.25 Do standard reporting options give sufficient flexibility to tailor individual reports? | Yes, filtering of the data using selection criteria and analysis codes but no changes to actual report layouts. See 10.13. | Confirmed |
| 10.26 Can all reports be reproduced after the period end but @ the month end date:- 10.26.1 Transaction listings? | Yes | Confirmed |
| 10.26.2 Day books? | Yes | Confirmed |
| 10.26.3 Trial balance? | Yes | Confirmed |
| 10.27 Is it possible to print out retrospective month end aged sales and purchase ledger reports that agree back to the month end trial balance control account figures as at the month end? | Reports can be printed with an 'as at' date. | Confirmed |
| 10.28 Do the standard budget reports provide sufficient analysis of variances? | N/A | |
| 10.29 Do such reports provide exception reporting, percentage analysis and comparatives? | N/A | |
| 10.30 Do standard reports show sufficient analysis of trading results? (E.g. sales analysis by region)? | Yes, 3 user defined analysis categories. | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| 10.31 Are all movements during each accounting period shown on sales, purchase, general, stock ledger detail reports? | Yes, no stock detail reports. | Confirmed |
| 10.32 Do the sales and purchase ledger reports show how all partial payments or allocations (unallocated cash) have been treated? | Not at present, only via a drill down. | Confirmed |
| 10.33 Is there a general ledger report that shows balances brought forward and carried forward plus all posted transactions in the period? | No | Under development |
| 10.34 Is a trial balance available? 10.34.1 Is this in summary or detailed format? | Both, but detail only per account. | Confirmed |
| 10.35 Can the management accounts, profit and loss account and balance sheet be sufficiently analysed by: | 3 analysis categories that can be used for any of the following. | Confirmed |
| 10.35.1 Project/job | Yes | Confirmed |
| 10.35.2 Cost centres | Yes | Confirmed |
| 10.35.3 Department | Yes | Confirmed |
| 10.35.4 Division | Yes | Confirmed |
| 10.35.5 Company | No | Confirmed |
| 10.35.6 Group (if applicable) | No | Confirmed |
| 10.35.7 Can the above be user defined by Period and/or range? | By date range | Confirmed |
| 10.36 What controls are there in place so that the user is aware of partly processed transactions:- 10.36.1 Unposted invoices | It is not possible to partly process a transaction. Data corruption does not occur as it is experienced in desktop software. Any data issues are investigated on a case by case basis but it would not be possible to partly process a transaction. | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| | See 20.29 for more information. | |
| 10.36.2 Uninvoiced dispatches | N/A | |
| 10.36.3 Payments | Not possible as per 10.36. | Confirmed |
| 10.36.4 Receipts | Not possible as per 10.36. | Confirmed |
| | | |
| 10.37 State the controls that are in place to ensure that the correct price/discount has been applied to invoices/credit notes? (e.g. Gross Margin reports) | Profit Analysis report per invoice or quote. | Confirmed |
| | | |
| 10.38 Detail all automatically generated documents for external use. (E.g. sales invoices and statements, remittance advices.) | Sales Invoice, Credit Note, Quotation, Sales and Purchase Statements, Payment Remittance | Confirmed |
| | | |
| 10.39 Can the software reproduce source documents? [E.g. sales invoices; POs, Remittance advices.....] | Yes - as above. | Confirmed |
| | | |
| 10.40 Are the duplicates an exact replica of the relevant financial and VAT accounting information as stored on original documents [i.e. they do not take account of any subsequent changes to the standing data? | Yes, from saved PDF files | Confirmed |
| | | |
| 10.41 Are these clearly identified as duplicates? | No | Confirmed |
| | | |
| 10.42 Does the software force the production of month-end reports? | No | Confirmed |
| | | |
| 10.43 Can the reporting function make use of external data files? | No | Confirmed |
| | | |
| 10.44 Does the report writer have the facility to scroll up and down when output to screen? | No report writer but reports can be scrolled on screen. | Confirmed |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|--|-------------------|---------------------|
| 10.45 Can all reports be run without the need for period-end procedures to be initiated? | Yes | Confirmed |
| 10.46 Does the report writer allow print previews of all reports? | Yes | Confirmed |
| 10.47 Can transactions and standing data be output directly to other formats e.g. CSV, txt, XML, PDF etc. for any period of time required? | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

11 Value Added Tax

The following sections detail the general requirements/features of an accounting package in handling VAT. It cannot cover all eventualities or all users and where necessary members should contact their local HMRC office for detailed guidance. The overall objective is to accurately record the accounting for VAT in order to support VAT returns to HMRC.

| | | | |
|--------|--|---|-----------|
| 11.1 | Does the software have the facility to hold the following VAT information:- | | |
| 11.1.1 | UK VAT registration number? | Yes | Confirmed |
| 11.1.2 | Intrastat code? | No | Confirmed |
| 11.1.3 | EC Code? | Yes | Confirmed |
| 11.1.4 | EC VAT registration numbers (10)? | Yes | Confirmed |
| 11.1.5 | VAT rates (please specify number available) | Yes – all UK rates, supplied as needed. | Confirmed |
| 11.2 | How does the software handle roundings? | System calculates the line (quantity x unit price) then calculates VAT with round up 0.5 and above, round down 0.49 and below | Confirmed |
| 11.3 | Is this applied consistently? | Yes | Confirmed |
| 11.4 | Does the software handle VAT Scale charges with automatic double entry processing? | No, the VAT is automatically calculated at the prevailing rate. | Confirmed |
| 11.5 | Does the software handle VAT calculation tolerances? | No | Confirmed |
| | If Yes do any discrepancies produce:- | | |
| 11.5.1 | Warning? | N/A | |
| 11.5.2 | Appear in the audit | N/A | |

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| Question | Supplier Response | Evaluator's Comment |
|--|--|---------------------|
| trail? | | |
| 11.5.3 Appear in the VAT exception report? | No | Confirmed |
| 11.6 What security features (password/ audit trail) are in place to control changes made to: | | |
| 11.6.1 General ledger VAT control accounts? | User security access & warning message. Transaction included in Audit Report | Confirmed |
| 11.6.2 VAT tables set up and change? | This is managed by Sage centrally | Confirmed |
| 11.6.3 Tolerance levels? | No | Confirmed |
| 11.6.4 Invoice sales number table? | User security for start number | Confirmed |
| 11.6.5 Changes on VAT code on customer files? | Not held. | Confirmed |
| 11.6.6 Changes on VAT code on stock files? | User security on product records | Confirmed |
| 11.6.7 VAT calculated on sales invoices or credit notes? | User security | Confirmed |
| 11.7 Does the software store and report a VAT return identifier [VRI]? | Yes | Confirmed |
| 11.8 How does the software ensure that that each eligible posting is reported only once in a VAT return? | Each transaction/record included on a VAT return is updated with a 'flag' and are known as VAT reconciled. | Confirmed |
| Method of operation | | |
| 11.9 VAT basis. Can the software handle: | | |
| 11.9.1 Invoice (standard) accounting? | Yes | Confirmed |
| 11.9.2 Cash accounting? | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|---------------------|
| 11.10 If the software can handle both invoice (standard) and cash methods of accounting for VAT is the basis clearly identified during set up? | Yes | Confirmed |
| 11.11 Does the software allow for a switching between methods? If Yes:- | Yes | Confirmed |
| 11.11.1 Is the change fully supported by audit trails to ensure proper VAT treatment of all transactions? | Yes | Confirmed |
| 11.11.2 Is this ability to change a basis of accounting clearly flagged, i.e. users warned etc. | Yes, instructions provided to user of steps needed. | Confirmed |
| 11.11.3 Does the software alert the user that they require HMRC authorisation if they attempt to apply, retrospectively, the 'Cash Accounting Scheme' for VAT accounting? | No | Confirmed |
| 11.11.4 Does the software provide useful and relevant information on switching in the software help section? | Yes | Confirmed |
| 11.12 Can the software handle the following VAT schemes:- | | |
| 11.12.1 Annual accounting scheme? | Yes, using a work-around. | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|--|---------------------|
| 11.12.2 Flat rate scheme? | Yes | Confirmed |
| 11.12.3 Retail schemes? | No | Confirmed |
| 11.12.4 Account for VAT on the margin? | No | Confirmed |
| | | |
| 11.13 Can the software be configured to handle partial exemption methods? | Using a work-around | Confirmed |
| | | |
| 11.14 Please state the number of VAT codes rates available for VAT analysis. | All rates for UK and EC supplied. | Confirmed |
| | | |
| 11.15 How does the software handle:- | | |
| 11.15.1 Outside scope? | No VAT | Confirmed |
| 11.15.2 Distance selling (supply to an unregistered EC customer)? | Software detects EU country from invoice address, checks contact record for registration and applies the rules. | Confirmed |
| | | |
| 11.16 How the software handle EC VAT:- | | |
| 11.16.1 Goods and related service? | Software detects EU country from invoice address, checks contact record for registration and applies the rules. Goods and related services are analysed in the transaction record. | Confirmed |
| 11.16.2 Services only? | Services are analysed in the transaction record | Confirmed |
| 11.16.3 Process? | No | Confirmed |
| 11.16.4 Triangulation? | No | Confirmed |
| | | |
| 11.17 Does the software include the functionality to identify EU acquisitions? | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| <p>If Yes:- 11.17.1 Can the software generate acquisition tax?</p> | Yes, EU rules apply as per sales above | Confirmed |
| <p>11.18 Can a report be generated of all EU acquisitions and the amounts of acquisition tax generated?</p> | Can be seen by box number from detailed VAT report. | Confirmed |
| <p>11.19 Does the software include the functionality to identify transactions liable to reverse charge VAT?</p> | No | Confirmed |
| <p>If Yes:- 11.19.1 Can the software generate reverse charge VAT?</p> | N/A | |
| <p>11.20 Can a report be generated of all transactions liable to reverse charge VAT, and the amounts of tax where so generated?</p> | N/A | |
| <p>11.21 Does the software have a facility to reconcile the VAT returns amounts for input, output and net VAT payable/recoverable to the General ledger control account?</p> | Yes | Confirmed |
| <p>11.22 How does the software handle late transactions posted outside the closed VAT return period?</p> | It optionally includes them on the next VAT return. | Confirmed |
| Input VAT (purchases) | | |
| <p>11.23 Can the software handle VAT inclusive amounts and</p> | Yes in Other Payments & Receipts | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|-------------------------------------|---------------------|
| automatically calculate the input VAT? | | |
| 11.24 Does the software require the following to be entered:- | | |
| 11.24.1 Supplier reference? | Yes | Confirmed |
| 11.24.2 Supplier document reference? | Yes | Confirmed |
| 11.24.3 Internal document reference? | Optional | Confirmed |
| 11.24.4 Invoice tax point date? | Yes | Confirmed |
| 11.24.5 Invoice posting period date? | No | Confirmed |
| 11.24.6 Invoice gross total? | Yes | Confirmed |
| 11.24.7 Invoice VAT amount? | Yes | Confirmed |
| 11.24.8 Individual invoice lines:- | | |
| 11.24.8.1 Net amount? | Optional | Confirmed |
| 11.24.8.2 VAT rate? | No | Confirmed |
| 11.24.8.3 VAT code? | VAT code description only | Confirmed |
| 11.25 Does the software validate individual invoice line VAT amounts against the total invoice of VAT (less early settlement at discount) and accept or reject the amount subject to the software tolerance? | Yes, no early settlement discounts. | Confirmed |
| 11.26 Can the user override the software derived input VAT amount and input VAT as shown on the supplier invoice? | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|-------------------|---------------------|
| 11.27 Does the software allow VAT to be reclaimed on the basis of registered but unposted invoices? | No | Confirmed |
| If Yes:- Does the software flag the status as:- | | |
| 11.27.1 VAT not yet reclaimed? | N/A | Confirmed |
| 11.27.2 VAT claimed? | N/A | |
| | | |
| Output VAT (sales) | | |
| 11.28 Does the software generate sales invoices? | Yes | Confirmed |
| | | |
| 11.29 For each invoice generated is the following information included on the sales invoice:- | | |
| 11.29.1 Unique software generated invoice sequential reference? | Yes | Confirmed |
| 11.29.2 Company name, address, EC country code and VAT number? | Yes | Confirmed |
| 11.29.3 The time of supply (tax point) | User entered | Confirmed |
| 11.29.4 Date of issue (if different to the time of supply) | No | Confirmed |
| 11.29.5 Customer's name (or trading name) and address, EC country code and VAT number (if applicable) | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| 11.29.6 The unit price [applies to countable goods or services. E.g. an hourly rate; or a price for standard services.] | Yes | Confirmed |
| 11.29.7 A description which identifies the goods or services supplied? | Yes | Confirmed |
| | | |
| 11.30 Does the software identify supplies that are zero-rated, exempt, no VAT applicable? 11.30.1 Is this on the face of the invoice? | Yes | Confirmed |
| | | |
| 11.31 Does the software handle Proforma invoices? | No, but produces draft invoices | Confirmed |
| If Yes:- 11.31.1 Are the invoices clearly identified as “this is not a tax invoice”? | States ‘draft’ on invoice but not 'this is not a tax invoice' | Confirmed |
| | | |
| VAT Reporting | | |
| 11.32 Does the software produce a VAT 100 form as standard? | Yes | Confirmed |
| If No:- 11.32.1 Does the software have a means of producing reports that support the completion of the VAT return? | N/A | |
| | | |
| 11.33 Is the VAT return information available by report on a three monthly basis or any other specified period? | Monthly and Quarterly as standard but others possible. | Confirmed |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|--|------------------------------|---------------------|
| 11.34 Is there a detailed and summary analysis of all transactions included in each return sorted by VAT code and transaction type making up the total in each of the boxes on the VAT 100 Form? | Yes | Confirmed |
| 11.35 Can the VAT return be recreated showing all the transactions which were included in the original VAT return? | Yes | Confirmed |
| 11.36 Does the software have a separate VAT audit log? | No only VAT detailed reports | Confirmed |
| 11.37 Note where the software details the following non routine event in the audit trail or VAT audit log etc:- 11.37.1 Changes to VAT tables. | No | Confirmed |
| 11.37.2 Change from invoice/cash VAT accounting or other Schemes. | No | Confirmed |
| 11.37.3 VAT tolerance. | No | Confirmed |
| 11.37.4 Changes to VAT rates on customer, supplier, product master files. Please specify | No | Confirmed |
| 11.38 Are the above changes noted above stamped with a:- 11.38.1 User id? | N/A | |
| 11.38.2 Software generated unique reference number? | N/A | |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| 11.38.3 Date and time? | N/A | |
| 11.39 VAT postings | | |
| 11.39.1 Are all VAT postings recorded in the audit trail or VAT audit log? | On the VAT detailed report | Confirmed |
| 11.39.2 Does the software denote whether each transaction has been included in a reconciled VAT return? | Yes, VAT reconciled also shown on audit trail. | Confirmed |
| 11.39.3 How does it denote which VAT Return the transaction has been included in? | Flagged as 'included' and on which VAT Return | Confirmed |
| 11.40 Does the software produce a VAT Exception report detailing such transactions as:- | | |
| 11.40.1 VAT amounts outside tolerance levels? | No | Confirmed |
| 11.40.2 Manual changes to software generated VAT? | No | Confirmed |
| 11.40.3 Write offs | No | Confirmed |
| 11.40.4 Zero value invoices? | No | |
| If No for any of the above:- | | |
| 11.40.5 How does the software document these occurrences? | It doesn't | Confirmed |
| 11.41 Does the software handle "intra-community" supply of goods? | Yes | Confirmed |
| 11.42 Does the software support | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| production of an EC Sales List? | | |
| If Yes:- 11.42.1 Does the report show the country code, the customer name, their EC VAT number, the invoice reference and indicators for different types of despatches? | Yes | Confirmed |
| | | |
| 11.43 Does the software produce invoice level reports that enable every value on each EC Sales List report to be traced to source documents? | Yes | Confirmed |
| | | |
| 11.44 Does the software have a means of ensuring that each eligible posting on the EC Sales List is reported only once? (Please state how this is done within the software). | No, only by checking detailed EC Sales report. | Confirmed |
| | | |
| 11.45 How does the software handle triangulation? E.g. a movement of goods without a related invoice transaction. | N/A, see 11.16.4 | Confirmed |
| | | |
| 11.46 Does the software produce the relevant documents in a format [e.g. CSV or XML] that can be uploaded direct to the HMRC gateway? | Yes, VAT 100 for HMRC only PDF or CSV for EC sales list | Confirmed |
| | | |
| 11.47 Can these be electronically transmitted direct from the system? | Yes, VAT 100 only | Confirmed |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|----------------------------|
| 11.48 Does the software produce Intrastat reports where applicable? | No | Confirmed |
| 11.49 How are errors on VAT accounts corrected? | By journals. Remove invoice from VAT return, if not submitted, and edit as required | Confirmed |
| 11.50 How does the software handle the VAT on purchase and sales ledger contras? | No Contras | Confirmed |
| 11.51 How does the software handle partially allowable expenditure, e.g. VAT on petrol invoices where employees are provided with petrol (adjustment required for own use)? | Manual journal | Confirmed |
| 11.52 Can the software handle cheque refunds to customers? If Yes:- 11.52.1 How is the VAT accounted for under cash accounting? | Sage One can process a supplier refund but cannot print a cheque. The refunded VAT is reversed on the VAT return so is treated as a 'negative sale'. | Confirmed Confirmed |
| 11.53 Can the software handle invoices with multiple rates of VAT? | Yes | Confirmed |
| 11.54 How does the software handle write off of bad debts and the related VAT? | Yes, via credit notes. | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| 12 Currency | | |
| 12.1 Is multi-currency processing available? If Yes:- | Yes | Confirmed |
| 12.1.1 State number of currencies available. | Per the European Bank | Confirmed |
| Does this cover:- | | |
| 12.1.2 General ledger? | No, no foreign bank accounts. | Confirmed |
| 12.1.3 Sales ledger? | Yes | Confirmed |
| 12.1.4 Purchase ledger? | Yes | |
| 12.1.5 Stock? | UK prices converted at exchange rate | Confirmed |
| 12.2 Is conversion to sterling automatic? If Yes:- | Yes | Confirmed |
| Does this cover:- | | |
| 12.2.1 General ledger? | No | Confirmed |
| 12.2.2 Sales ledger? | Yes | Confirmed |
| 12.2.3 Purchase ledger? | Yes | Confirmed |
| 12.2.4 Stock? | Prices held in base currency | Confirmed |
| 12.3 Can the user select which currency to value each of the ledgers? If Yes:- | No – base/home currency applies to all ledgers. | Confirmed |
| Does this cover:- | | |
| 12.3.1 General ledger? | N/A | |
| 12.3.2 Sales ledger? | N/A | |
| 12.3.3 Purchase ledger? | N/A | |
| 12.3.4 Stock? | N/A | |
| 12.4 What are the currency capacities? | As per UK transaction amounts (maximum 99,999,999.00). | As stated |
| 12.5 What are the maximum and minimum exchange rates? | There is no maximum but minimum is 0.00000001. | Confirmed |
| 12.6 What approach will the Software House take towards handling the EURO? | Would make necessary changes if UK adopted the Euro | As stated |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|----------------------------|
| 12.7 What currency information is held: 12.7.1 Currency Code/description? | Code, Name and Current Rate | Confirmed |
| 12.7.2 Country? | No | Confirmed |
| 12.7.3 Currency rate table? | Yes – automatically updated from the European Bank | Confirmed |
| 12.7.4 Date rates effective from-to? | Current Rate only | Confirmed |
| 12.7.5 Previous rates held? | No – only kept on transactions posted | Confirmed |
| | | |
| 12.8 Can a base currency be selected? | No – set to country where subscribed. | Confirmed |
| | | |
| 12.9 Can the user over ride the exchange rates during a transaction? | Yes | Confirmed |
| | | |
| 12.10 Can the user change the exchange rates per account? | No, rates are not held at the account level. | Confirmed |
| | | |
| 12.11 Is there a restriction on accounts to a single selected currency? If Yes:- 12.11.1 What controls are in place over any changes? | Yes Software only allows one currency per contact account and cannot be changed as soon a transaction has been posted. | Confirmed Confirmed |
| | | |
| 12.12 Can the user manually over ride the currency calculation? | No, only the exchange rate. | Confirmed |
| | | |
| 12.13 Are gains or losses on currency calculations automatically processed? | Yes | Confirmed |
| | | |
| 12.14 Can the user over ride the calculation /processing of currency gains and losses? | No | Confirmed |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|--|--|---------------------|
| 12.15 Can a user override an exchange rate on each transaction? | Yes | Confirmed |
| 12.16 Can the user define the treatment of foreign exchange gains/losses i.e. where posted to in the general ledger? | No, gains/loss control account pre-defined. | Confirmed |
| 12.17 Can ledger accounts be defined to take invoices/payments in specified currencies/ multiple currencies? | Only a single currency per supplier and customer account. | Confirmed |
| 12.18 Does the software prevent the deletion of the active currency? | Not necessary | Confirmed |
| 12.19 Does the software prevent use of duplicate currency codes? | Yes | Confirmed |
| 12.20 Can currency transactions be entered in selected currency and/or base currency? | Only in currency of supplier/customer | Confirmed |
| 12.21 Can transactions be entered in multiple currencies? | No | Confirmed |
| 12.22 How does the software handle exchange differences? | Calculates the difference between the base currency value of the payment compared with the base currency value of the invoice it is paying full or in part payments. | Confirmed |
| 12.23 How does the currency treat revaluations relating to: | | |
| 12.23.1 Ledgers (sales/ purchases) | No revaluations – only at point of payment or recalculation of invoice. | Confirmed |
| 12.23.2 Monetary assets/ liabilities | No revaluation | Confirmed |
| 12.23.3 General ledger accounts? | No revaluation | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

13 Sales Order Processing and Invoice Production

| | | | |
|------|---|--|-------------------------------------|
| 13.1 | Does the software start with a quotation or the sales order? | Either a quotation or an invoice – Sales Orders not available. | Confirmed |
| 13.2 | Are recurring or schedule orders handled? | No | Confirmed |
| 13.3 | At quotation or initial order stage state how does the software: 13.3.1 Checks stock availability? 13.3.2 Highlight alternative stock? | No stock levels held | Confirmed |
| 13.4 | How does the software check credit status of customer: 13.4.1 On receipt of order? 13.4.2 Prior to dispatch? | Neither | Confirmed |
| 13.5 | Can the software block: 13.5.1 Customer orders? 13.5.2 Deliveries? 13.5.3 Invoice production? | No No No | Confirmed Confirmed Confirmed |
| 13.6 | Where stock is not available is a “back order” raised and a purchase order issued? | No | Confirmed |
| 13.7 | Does the software handle forward orders? If Yes is this:- 13.7.1 Only when stock is now available? 13.7.2 Allocated from future planned stock? | No N/A N/A | Confirmed |
| 13.8 | Can multiple addresses be held for each customer (invoice and delivery address). | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|------------------------------------|--|
| 13.9 Are the following documents produced: 13.9.1 Quotations? 13.9.2 Order confirmation? 13.9.3 Picking lists? 13.9.4 Labels? 13.9.5 Dispatch/Delivery note? 13.9.6 Invoices? | Yes No No No No Yes | Confirmed Confirmed Confirmed Confirmed Confirmed Confirmed |
| 13.10 Are the following reports available: 13.10.1 Quotes for which orders not received? 13.10.2 Orders received (analysis)? 13.10.3 Items placed on backorder and/or purchase orders raised? 13.10.4 Items dispatched not invoiced? 13.10.5 Items ordered but not dispatched due to stock out? 13.10.6 Gross margin (by invoice or item)? | No No No No No Yes | Confirmed Confirmed Confirmed Confirmed Confirmed Confirmed |
| 13.11 Are invoice details derived from order input? (e.g. prices, quantity) | No, from Quotation if it exists | Confirmed |
| 13.12 Can picking lists /dispatch notes be amended for non-availability of stock? If Yes:- 13.12.1 Is this reported? 13.12.2 Are the items dispatched reflected in final invoice? | No | Confirmed |
| 13.13 Is there one dispatch note and invoice per order? | N/A | |
| 13.14 How does the software ensure all dispatches are invoiced? E.g. where multiple dispatches are raised per order, or several orders | N/A | |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| on a single dispatch note. | | |
| 13.15 Can manual invoices be raised (i.e. without a sales order)? | Yes | Confirmed |
| 13.16 Does the software produce proforma invoices as required? | No, but can produce 'draft' invoices. | Confirmed |
| 13.17 Can returned goods be processed to produce credit notes? | N/A but credit notes can be produced from invoices. | Confirmed |
| 13.18 Are these referenced to the original order/invoice? | N/A | |
| 13.19 Will the product accept orders from the Web? If Yes:- 13.19.1 How are web orders integrated with the sales order processing ledgers? 13.19.2 What control features are available for checking web orders before processing? | No orders via the web. N/A N/A | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|------------------------------|---------------------|
| 14 Purchase Order Processing | | |
| 14.1 Does the software generate suggested orders? | No purchase order processing | Confirmed |
| 14.2 Can orders be generated by the user? | No | Confirmed |
| 14.3 Is the software easy and efficient to use, i.e. scroll backwards and forwards in the product file, tagging more than one item per order? | N/A | |
| 14.4 Can more than one supplier be allocated to each product? | N/A | |
| 14.5 Does the software hold details of substitute products if applicable? | N/A | |
| 14.6 Based on automatic and manual order generation (above) does the software produce a list of proposed purchase orders, if so, can these be easily amended? | N/A | |
| 14.7 Is stock availability updated for stock on order? | N/A | |
| 14.8 Can the software handle partially completed orders and returns? | N/A | |
| 14.9 Are receipts checked to orders and discrepancies reported? | N/A | |
| 14.10 Are purchase invoices checked to purchase orders, confirmed receipts and discrepancies reported? | N/A | |
| 14.11 Are the following reports available: | | |
| 14.11.1 Purchase Orders raised | N/A | |

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| Question | Supplier Response | Evaluator's Comment |
|--|-------------------|---------------------|
| (analysis)? 14.11.2 Purchase Orders not received? | N/A | |
| 14.11.3 Goods received discrepancies? | N/A | |
| 14.11.4 Invoice to goods received discrepancies? | N/A | |
| 14.11.5 Goods received not invoiced? | N/A | |
| | | |
| 14.12 Can the software handle "back to back" ordering? | N/A | |

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| Question | Supplier Response | Evaluator's Comment |
|--|--|---------------------|
| 15 Stock Control | | |
| 15.1 What information is held in respect of stock (and are there any limits):- | No stock control only a stock list. | Confirmed |
| 15.1.1 Item numbers/ description? | Number 30 alpha/numeric Description 50 alpha/numeric | Confirmed |
| 15.1.2 Location(s)? | No | Confirmed |
| 15.1.3 Quantity, (available, allocated, on order)? | No | Confirmed |
| 15.1.4 Minimum and maximum stock levels? | No | Confirmed |
| 15.1.5 Reorder lead times? | No | Confirmed |
| 15.1.6 Supplier(s)? | No | Confirmed |
| 15.1.7 Prices/cost/ discount details? | Cost price and 3 sales prices | Confirmed |
| 15.1.8 Batch/serial number? | No | Confirmed |
| 15.1.9 Weights etc? | No | Confirmed |
| 15.1.10 Other – please specify? | VAT rates, stock group and notes. Can also hold service rates. | Confirmed |
| 15.2 How is stock updated? | | |
| 15.2.1 Dispatch of goods? | N/A | |
| 15.2.2 Receipt of goods? | N/A | |
| 15.2.3 Adjustments? | N/A | |
| 15.2.4 Transfers between locations? | N/A | |
| 15.3 Is negative physical stock allowed? | N/A | |
| 15.4 Can the software handle “sale or return” stock? | N/A | |
| 15.5 Can the software handle variations to a standard pack of products? | N/A | |
| 15.6 What methods of stock valuations are allowed? | | |
| 15.6.1 Average | N/A | |

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| Question | | Supplier Response | Evaluator's Comment |
|----------|--|--|---------------------|
| 15.6.2 | FIFO | N/A | |
| 15.6.3 | LIFO | N/A | |
| 15.6.4 | Standard cost | N/A | |
| 15.6.5 | Other – please specify | N/A | |
| 15.7 | How can stock enquiries be made, i.e. by product code, short name/supplier etc. | Stock descriptions referenced by stock code. | Confirmed |
| 15.8 | Does the software track orders and enable enquiries by date, e.g. list of all stock due on a particular day; stock to be dispatched on a set date? | N/A | |
| 15.9 | Does the software facilitate the regular counting/ inspection of physical stock (e.g. by producing random/defined stock check lists)? | N/A | |
| 15.10 | Can the software handle more complex situations such as: | | |
| 15.10.1 | Bill of materials | N/A | |
| 15.10.2 | Links to CAD/CAM systems | N/A | |
| 15.10.3 | Job costings to collate and value WIP. | N/A | |
| | | | |

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| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

16 User Documentation

This section applies to any of: online, hardcopy or other (e.g. WWW) documentation – specify which are applicable.

| | | | |
|--------|--|--|-----------|
| 16.1 | Is the manual clearly laid out and understandable? | Yes – Online accessed directly from with the Service | Confirmed |
| 16.2 | Is the manual comprehensive and accurate? | Yes | Confirmed |
| 16.3 | Is there an index to the manual? | Yes and search capability | Confirmed |
| 16.4 | Is it easy to locate specific topics in the manual when required? | Yes | Confirmed |
| 16.5 | Is it easy to follow through all procedures in the manual? | Yes | Confirmed |
| 16.6 | Does the manual include: | | |
| 16.6.1 | A tutorial section? | Yes with videos | Confirmed |
| 16.6.2 | A guide to basic functions? | Yes | Confirmed |
| 16.6.3 | Pictures of screens? | Yes | Confirmed |
| 16.6.4 | Completed examples included in the manual? | Yes | Confirmed |
| 16.6.5 | Specific “error correction” procedures? | Yes | Confirmed |
| 16.6.6 | VAT information? | Yes | Confirmed |
| 16.7 | Does the documentation clearly specify the actions to be taken by users at each important stage of processing? | Yes | Confirmed |
| 16.8 | Are help screens available relating to the task in hand? (context sensitive help). | Yes | Confirmed |
| 16.9 | Do they provide on-line instructions on how to use particular features of the software? | Yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|-------------------|---------------------|
| 16.10 Can they be edited or prepared by the user? | No | Confirmed |
| 16.11 Will the Software House make the detailed program documentation (e.g. file definitions for third party links) available to the user, either directly or by deposit with a third party? | API – yes | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| 17 Efficiency | | |
| 17.1 Are the various functions of the software menu-driven, or otherwise easy to initiate? | Yes | Confirmed |
| 17.2 Is there a good response time in the initiation of functions? | Yes, depending on internet connection. | Confirmed |
| 17.3 Is data entry easily repeated if similar to previous entry? | Copy function for transactions. | Confirmed |
| 17.4 Does the software prevent access to a record while it is being updated? | No – 'latest save wins' | Confirmed |
| 17.5 Is there locking at file or record level? | No locking | Confirmed |
| 17.6 Does the software allow for the running of reports whilst records are being updated? | Yes | Confirmed |
| 17.7 Does the software retain a log of file updates until the next occasion on which the relevant information is reported or the relevant file used in a regular control procedure? | No | Confirmed |
| 17.8 Can regular reports be easily duplicated if required? | Yes | Confirmed |
| 17.9 Does the software warn the user when space is becoming short? | N/A | |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|---------------------|
| 18 Integration and www facilities | | |
| 18.1 Are the different accounting modules integrated? | Yes | Confirmed |
| 18.2 Are they integrated on real time basis or batch basis? | Real time | Confirmed |
| 18.3 Can the integration of batches be by batch, weekly or monthly? | No batches except for opening balances | Confirmed |
| 18.4 Is the ledger updating process satisfactorily controlled by the production of control reports? | Yes, daybooks | Confirmed |
| 18.5 What operating systems does the software run under? | Browser based, recent versions of Google Chrome, Internet Explorer, Mozilla Firefox & Apple Safari supported | Confirmed |
| 18.6 Which databases can be used? | N/A | |
| 18.7 Can more than one software function be performed concurrently? | Yes | Confirmed |
| 18.8 Can the software be linked to other packages e.g. word processing, graphics, financial modelling, to provide alternative display and reporting facilities? | Yes, for example, CSV output can be used in Excel and add on partners use the API to link with their various online apps. | Confirmed |
| 18.9 Can definable links to spreadsheets be created? | Yes – these are via API links to add on partners. | Confirmed |
| 18.10 Does the software integrate with any web trading software? | | |
| 18.10.1 External or | No | Confirmed |
| 18.10.2 Suppliers own? | No | Confirmed |
| 18.11 Note which other business application software that can be linked to the software: | | |
| 18.11.1 Payroll? | Yes – Sage One Payroll | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| | Or any other Partner service if required | |
| 18.11.2 Time/fees? | Yes via API Partner | Confirmed |
| 18.11.3 MRP? | Yes via API Partner | Confirmed |
| 18.11.4 Fixed assets? | Yes via API Partner | Confirmed |
| 18.11.5 Document management software? | Yes via API Partner | Confirmed |
| 18.11.6 Job costing? | Yes via API Partner | Confirmed |
| 18.11.7 CIS? | Yes via API Partner | Confirmed |
| 18.11.8 Other – please specify? | See Partner list on Website | As stated |
| | | |
| 18.12 Is the software compatible with XML standards? If so in what respect? (input/ output/ other)? | Yes, for VAT return. | Confirmed |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|--|--|---------------------|
| 19 Support and maintenance | | |
| 19.1 How is the software sold: | | |
| 19.1.1 Direct from Software House? | Yes | Confirmed |
| 19.1.2 Via Value Added Reseller (VAR)? | Yes, mainly accountants and education sources. | Confirmed |
| 19.2 How is the product supported:- | | |
| 19.2.1 Direct by Software House? | Yes | Confirmed |
| 19.2.2 By VAR? | No | Confirmed |
| 19.3 Is the software sold based upon number of users or number of concurrent users? | Neither - unlimited users no additional costs. The software is sold per business and can be used by unlimited users. | Confirmed |
| 19.4 Do VARs have to go through an accreditation process? | No | Confirmed |
| If Yes:- | | |
| 19.4.1 Please note the process. | N/A | |
| If No:- | | |
| 19.4.2 Please explain how organisations are chosen to be VAR? | Accountants Club Partners | Confirmed |
| 19.5 In the event of a dispute between Supplier and VAR how can the situation be resolved? | N/A | |
| 19.6 Detail the types of cover available. | Free 24/7 email/telephone support | Confirmed |
| 19.7 Please note all method of support available :- | | |
| 19.7.1 Telephone. | Yes | Confirmed |
| 19.7.2 Internet. | Yes | Confirmed |
| 19.7.3 Other – specify. | Email / Chat | Confirmed |
| 19.8 Please provide an indicative cost of cover and what is included. | Free | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| 19.9 How often are general software enhancements provided? | Every 2 weeks update | Confirmed |
| 19.10 Will they be given free of charge? | Yes | Confirmed |
| 19.11 How are enhancements and bug fixes provided to customers? | In application messages stating which updates have been applied. | Confirmed |
| 19.12 Is "hot line" support to assist with immediate problem solving available? | Yes | Confirmed |
| 19.13 If so, is there an additional cost involved? | No | Confirmed |
| 19.14 At what times will this support be available? | 24hours/7 days per week/ 365 days per year | Confirmed |
| 19.15 Who provides training: 19.15.1 Software House? 19.15.2 VAR? | Sage have produced a series of on-line webinars to enable users to become familiar with the key features of Sage One. | Confirmed |
| 19.16 Is hardware and maintenance provided by: 19.16.1 Software House? 19.16.2 VAR? | N/A N/A | |
| 19.17 Is a warranty offered in respect of specification of the software? | No | Confirmed |
| 19.18 Will the software supplier/dealer make the program source code available to the user, either directly or by deposit with a third party (Escrow)? | N/A | Confirmed |
| 19.19 Are there any unduly restrictive conditions in the license for the software? | No | Confirmed |

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| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

Additional questions for SaaS providers

The following SaaS sections do not form part of the accreditation and are for information only.

The ICAEW recommend that potential users undertake relevant financial and suitability due diligence on software and service providers.

20 Security and continuity of processing – SaaS (FOR INFORMATION ONLY)

| | | | |
|------|---|---|-----------|
| 20.1 | Are different levels of security provided to control access to the product/service? | Yes | As stated |
| 20.2 | What forms of user authentication are supported e.g. user names, passwords certificates, tokens etc? | User names, Password, Authentication email Tokens | As stated |
| 20.3 | What is the proposed product/service availability percentage? | Sage agreements do not contain a service availability target | As stated |
| 20.4 | Is the service available 24x7 or are there downtime periods for maintenance? | The service is highly available but Sage do indeed take the service down for maintenance. From time to time they may temporarily suspend access to Sage One, for maintenance, repairs or other reasons. Sage claim they will try to do this outside normal business hours and provide advance notice but this might not always be possible. | As stated |
| 20.5 | Is a service level agreement offered regarding service availability? | No | As stated |
| 20.6 | Is the customer made aware of maintenance periods in advance? | Yes | As stated |
| 20.7 | Does the product/service require the use of any technologies that may be considered as a security risk? e.g. ActiveX, JavaScript, | JavaScript is required. | As stated |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---|
| <p>Cookies.</p> <p>If so, describe how the user can mitigate this risk.</p> | <p>Cookies are used for session identification only, no sensitive data is stored in the cookie.</p> | <p>As stated</p> |
| 20.8 Where the product/service relies upon downloading and running an executable program, has that program been secured with a digital certificate to verify the source and integrity of the program? | N/A | |
| <p>20.9 Is data for different customers/companies kept:-</p> <p>20.9.1 On separate servers?</p> <p>20.9.2 In different databases?</p> <p>20.9.3 In separate database tables?</p> <p>20.9.4 In a database with data for other customers and companies using identification codes with each record?</p> | <p>No</p> <p>No</p> <p>No</p> <p>Yes</p> | <p>As stated</p> <p>As stated</p> <p>As stated</p> <p>As stated</p> |
| 20.10 How is it ensured that data for different customers and companies is reliably identifiable and only accessed by authorised users for each customer/company? | Relevant tables are keyed by unique identifier for each customer. The application uses this to select only the appropriate records | As stated |
| 20.11 Are there any situations where users from one customer/company can work with data from another customer/company? | Not without the consent of the customer. i.e. a customer may consent for an accountant to see their data | As stated |
| 20.12 What are the implications of the Data Protection Act over information held by the service provider? | Sage are a Data Processor for customers information and a data controller for the CRM data the customers enter when they register | As stated |

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| Question | Supplier Response | Evaluator's Comment |
|--|--|---|
| | Sage comply with their obligations under the Data Protection Act. | As stated |
| 20.13 Does the application software:- 20.13.1 Require any client software to be installed on the user's computer? 20.13.2 Work entirely within Internet Browser software on the user's computer? | No Yes | As stated As stated |
| 20.14 Are communications between the user's computer and the software service encrypted:- 20.14.1 User log in data only? 20.14.2 All data exchanged between user client and software service? | No All data | As stated As stated |
| 20.15 What security steps are taken to prevent and detect intrusion attempts? 20.15.1 Is firewall hardware and software used to protect the live systems from unauthorised access? 20.15.2 Which monitoring software is used to create alerts when intrusion attempts are suspected? 20.15.3 Are designated staff responsible for receiving and urgently responding to these alerts? 20.15.4 Have clear procedures been established for identifying and responding to security incidents? 20.15.5 Is all security sensitive software, such as operating systems and databases, kept up to date with the latest software | Sage do not provide details of specific software or hardware security solutions that are in use in the Sage One service. As above Yes, Sage have a 24x7 on-call team dedicated to Sage One Yes, Sage have a documented procedure for security incident management. Yes, servers are patched regularly. | As stated As stated As stated As stated As stated |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---|
| <p>patches? Please indicate how regularly updates are applied.</p> <p>20.15.6 List procedures and software tools in place to prevent or detect and eliminate interference from malicious code, such as viruses?</p> | <p>Sage do not provide details of specific software or hardware security solutions that are in use in the Sage One service.</p> | <p>As stated</p> |
| <p>20.16 Is a system log maintained by the service provider that details</p> <p>20.16.1 User access</p> <p>20.16.2 User activity</p> <p>20.16.3 Error messages</p> <p>20.16.4 Security violations?</p> | <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> | <p>As stated</p> <p>As stated</p> <p>As stated</p> <p>As stated</p> |
| <p>20.17 Is this log available to the customer?</p> | <p>No</p> | <p>As stated</p> |
| <p>20.18 Have been any successful unauthorised access attempts been made during the last year?</p> <p>If Yes:-</p> <p>20.18.1 What was the effect on the business and users?</p> <p>20.18.2 What steps are in place to prevent this happening in future?</p> | <p>No</p> <p>N/A</p> <p>N/A</p> | <p>As stated</p> |
| <p>20.19 Is penetration testing regularly carried out by (please indicate frequency of tests):-</p> <p>20.19.1 Staff specialising in this field?</p> <p>20.19.2 External specialists?</p> <p>20.19.3 Are procedures in place to ensure that any weaknesses found by penetration testing are addressed quickly?</p> <p>20.19.4 If penetration testing by a specialist is not performed regularly, please indicate</p> | <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>N/A</p> | <p>As stated</p> <p>As stated</p> <p>As stated</p> |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| the main procedures in place to identify weaknesses? | | |
| 20.20 Are security procedures regularly reviewed? Please indicate frequency of reviews. | Yes and at least annually | As stated |
| 20.21 Are users automatically logged off after a preset time not using the system? | | As stated |
| 20.21.1 Can the time period be changed? | No | As stated |
| 20.21.2 Can any information be viewed without being logged in, including after logging off, if so what information? | Only information downloaded such as reports. | As stated |
| 20.22 Data validation | | |
| 20.22.1 To what extent is data input by users validated by scripts or routines in the browser, or other client software, before transmission to the server? | User input is validated on the client but this validation is not relied upon by the server for correctness. | As stated |
| 20.22.2 To what extent is data input by users validated by routines running on the server before data files are updated? | Input is validated on the server to prevent processing of malicious or malformed input | As stated |
| 20.22.3 Does the above validation ensure that data entered in all input boxes: - Cannot be longer than a maximum length? - Cannot contain unaccepted characters such as semi-colons etc? | Yes | As stated |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|---------------------|
| 20.22.4 Are any data files, such as budgets or price updates, imported by users validated by routines running on the server before main data files are updated? | Yes, all batch import systems are verified before they are written to the main database. | As stated |
| 20.23 Are system messages clear? | Yes | As stated |
| 20.24 are user responses properly structured to ensure that erroneous input does not lead to inappropriate actions? | Yes | As stated |
| 20.25 Are all data entries or file insertions and updates controlled to ensure that should part of a data entry fail the whole transaction fails? | Yes | As stated |
| 20.25.1 Are alerts sent to technical support staff when incidents occur to enable data update problems to be investigated and resolved? | Yes | As stated |
| 20.25.2 Are messages provided to users clearly explaining whether the data entry or file upload has been processed successfully or not? | Yes | As stated |
| 20.26 Explain the procedures in place to ensure the security of customer data held by the service provider, in particular:- | | |
| 20.26.1 Procedures to prevent unauthorised access from staff, or contractors, working for the service provider or any other people with access to the service provider's internal | All systems are security controlled and many benefit from Two Factor Authorisation. All credentials are securely stored and managed. A starters/leavers policy is in place. | As stated |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---|
| <p>systems?</p> <p>20.26.2 Is there sufficient segregation of duties preventing system developers from accessing and changing live applications and data files?</p> <p>20.26.3 Are there sufficient review and approval procedures covering system operations staff when emergency changes need to be made to live applications and data?</p> <p>20.26.4 Is an audit trail always maintained of these emergency changes?</p> <p>20.26.5 What procedures are in place when members of staff leave to ensure that their system access is stopped?</p> | <p>Developers have no access to live data or systems. All requests must be made in writing and will be actioned by the dedicated operations team.</p> <p>There is a published EMERGENCY CHANGE procedure and corresponding RFC form which includes a peer review and sign off from a service manager.</p> <p>Yes</p> <p>A starters / leavers procedure is in place to ensure access is removed and shared credentials or keys are rotated.</p> | <p>As stated</p> <p>As stated</p> <p>As stated</p> <p>As stated</p> |
| <p>20.27 What are the physical controls over the:-</p> <p>20.27.1 Premises?</p> <p>20.27.2 Fileservers?</p> <p>20.27.3 Communications equipment?</p> | <p>Sage One is hosted in data centres with relevant certifications covering physical access controls including ISO27001</p> | <p>As stated</p> |
| <p>20.28 Is Internet communication traffic monitored to identify potential problems before they happen?</p> | | <p>As stated</p> |
| <p>20.29 What procedures are in place to prevent a break in Internet Connection (at the server, client or in between) from causing data corruption?</p> | <p>All commits are transaction based and will be automatically rolled back in the event of interruption.</p> | <p>As stated</p> |

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|--|---|---------------------|
| 20.30 Is there a clear indication in the software or accompanying documentation of the extent to which the customer or the service provider is responsible for backups and recovery? | Sage advise customers about their obligation to retain records such as the original invoices. However, as it is an online accounting system, the main emphasis is Sage One backing up accounting data. This is done every hour. Customers can also download data in the form of CSV reports e.g. trail balance, audit trails. | As stated |
| 20.31 Backups by service provider | | |
| 20.31.1 Explain the backup procedures applied by the service provider including: | Customer data has a backup taken every hour. | As stated |
| 20.31.2 Are backup procedures automatic? | Yes, they are fully automatic. | As stated |
| 20.31.3 What is backed up and how frequently? | The backup is a snapshot of the entire DB server file system. | As stated |
| 20.31.4 The backup media used for the main backups? | Backups are stored in highly resilient, cloud based storage. | As stated |
| 20.31.5 Are backups kept for a sufficient time in case problems, such as data corruption, are not identified until a while later? Please indicate how long backups are kept before they are overwritten. | Sage keep a number of versions of these snapshots up to a total history of 30 days at which point they are removed. | As stated |
| 20.31.6 Where backups are located and whether there are always at least two up to date backups stored at a different location to the service provider's main server location? | The snapshots are held in two geographically distant locations | As stated |
| 20.31.7 How frequently backups are tested? | Backups are tested at least weekly | As stated |
| 20.32 Backups by users | | |
| 20.32.1 Is it possible for users to download a backup of their own data? | No | As stated |

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|---|--|---------------------|
| 20.32.2 If so, is the downloaded data in a format which can be viewed with relative ease in other software such as PC based spreadsheets or databases? | N/A | |
| 20.32.3 Is the user forced or prompted to backup at certain intervals? | N/A | |
| 20.32.4 Can the intervals be customised? | N/A | |
| 20.32.5 If sole responsibility for backups rests with users, explain the system, documentation and training support available to ensure that adequate backups are taken and can be used for recovery. | N/A | |
| 20.32.6 Are there facilities to test recovery with user managed backups? | N/A | |
| 20.33 Are contingency plans in place to enable a quick recovery from:- | | |
| 20.33.1 Database or application software corruption? | Yes, Sage have robust procedures in place for recovery from physical hardware or network failure and environmental disasters. | As stated |
| 20.33.2 Hardware failure or theft? | As above | As stated |
| 20.33.3 Fire, flood and other disasters? | As above | As stated |
| 20.33.4 Communication failures? | As above | As stated |
| 20.33.5 How often are these plans tested? | These plans are tested daily. Sage manage server usage with AWS (Amazon). Server usage is monitored continuously and if demand increases above set tolerances then the resources from AWS are scaled up or if demand is reduced then scaled out or down. | As stated |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|---------------------|
| 20.33.6 What is the longest period of time envisaged that service may not be available? | Sage work to best endeavours standard for service availability | As stated |
| 20.33.7 Are contingency plans documented? | Yes | As stated |
| 20.33.8 How often are these plans reviewed and updated? | After any incident and prior to all internal audits | As stated |
| 20.33.9 If transaction records are dated and time stamped are the times used local to the user or based on where the server is located? | Based on UTC (Coordinated Universal Time) | As stated |
| | | |
| 20.34 Application change management:- | | |
| 20.34.1 Do application changes automatically apply to all customers and users? | Yes | As stated |
| 20.34.2 Are users able to test beta versions of the application before new versions go into live use? | No | As stated |
| 20.34.3 Are users given notice before application changes are applied to the live system? | Sage publish a schedule on their blog which contains the date / time of any maintenance periods | As stated |
| 20.34.4 Are there sufficient internal testing and approval procedures applied by the service provider before all application changes are put into live use? | Sage have a robust QA procedure and a large dedicated test team | As stated |
| 20.34.5 Are users informed when they next login of the application changes that have gone into live use? | No | As stated |
| 20.34.6 Are sufficient application and data backups maintained to enable a roll back to an earlier version if recent application changes cause problems? | Yes | As stated |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|--|---|---------------------|
| 20.35 Reliance on key staff | | |
| 20.35.1 What steps been taken to avoid undue reliance on individual members of staff? | Operational procedures are documented and Sage have a team of several people, all trained to manage the system. | As stated |
| 20.35.2 Are there any individual members of staff whose leaving or illness would significantly reduce, or even stop, the service provider's ability to provide a full and reliable service to customers? | No | As stated |
| | | |
| 20.36 What protection is in place to enable users to able to access their accounting and other data if the service provider should experience serious difficulties, cease trading or decide to stop providing the service? | None | As stated |
| | | |
| 20.37 Do these arrangements include:- | | |
| 20.37.1 Standby arrangements for another organisation to continue providing the full service? | No | As stated |
| 20.37.2 Minimal arrangements to at least enable customers to access their data for a sufficient period of time to extract data copies, produce reports and make alternative arrangements? | No | As stated |
| 20.37.3 Up to date copy of system documentation, source code, scripts, database schema and procedures lodged with a third party under an Escrow agreement? | No | As stated |
| | | |

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| Question | Supplier Response | Evaluator's Comment |
|---|--|---------------------|
| <p>20.38 If the system is hosted by another party are there arrangements in place for this third party to continue providing a hosting service in the short term to allow time for customers to negotiate their own arrangements?</p> <p>20.38.1 If so how long does the arrangement allow?</p> | <p>The hosting is managed by Sage experts using AWS (Amazon) servers. If AWS were to remove their servers Sage would be able to move to an alternative supplier of servers.</p> <p>N/A</p> | As stated |
| <p>20.39 Is there a user group or committee in existence with sufficient information and understanding to take the lead in setting up arrangements, should the service provider cease trading or decide to stop providing the service?</p> | <p>As Sage manage the hosting should AWS to cease to provide the servers the expertise is available to set up with an alternative supplier.</p> | As stated |
| <p>20.40 Are there any licence or trading agreements which would become invalid should the service provider go into administration or cease trading?</p> <p>20.40.1 If so what steps have been taken to protect customers from the impact of this situation arising?</p> | <p>No</p> <p>N/A</p> | As stated |
| <p>20.41 What payment options are available for using the software / service?</p> | <p>Monthly subscription, via Direct Debit.</p> | As stated |
| <p>20.42 Where online subscription is used, are the forms used to set-up or renew a subscription clear and straightforward to use?</p> | <p>Yes, Direct Debit form and clear messaging. Terms and Conditions available to view.</p> | As stated |
| <p>20.43 Where online payment is used, what type of security is used to protect sensitive information?</p> | <p>No online payment. Direct Debit is completed and used to take payment via bank account.</p> | As stated |
| <p>20.44 Where online subscription / payment is used, is an invoice provided to the customer and, if so,</p> | <p>Monthly invoice PDF provided, and accessible on the customer's online account.</p> | As stated |

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| Question | Supplier Response | Evaluator's Comment |
|---|---|----------------------------|
| in what format? | | |
| 20.45 When subscriptions (if applicable) need to be renewed, what advance notice is provided and what is the time limit for renewal? | No renewal. After initial 30 free trial, customer enters Direct Debit details and monthly payment is taken until they choose to cancel. | As stated |
| 20.46 Is there a procedure for late renewal and is there a time limit after which subscriptions cannot be renewed? | No renewal. | As stated |
| 20.47 How soon after creating or renewing a subscription (if applicable) can the system / service be used? | Immediately after sign up, and once 30 day trial expires, immediately after entering Direct Debit details. | As stated |
| 20.48 What notifications / confirmations are provided to the customer regarding subscriptions and payments? | Terms and Conditions on sign up advised that after 30 days the user will be required to enter Direct Debit details to continue using the service. Customer is notified when 30 day trial expires and prompted to enter Direct Debit details. | As stated |
| 20.49 To what extent are users able to access their accounting and other data if:- 20.49.1 They miss one or two payments? 20.49.2 They cease being customers? | Usually access is blocked but this is carried out on a case by case basis and is not automatically done. When blocked, customer cannot access data, but access can be granted by Customer Services if required by customer to get information out. Account is terminated. No access is available. Termination can only be carried out by Customer Services on request of the customer, and they advise any customer terminating that they must get any data/reports they require out of the service. | As stated As stated |

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| Question | Supplier Response | Evaluator's Comment |
|----------|-------------------|---------------------|
|----------|-------------------|---------------------|

21 Reports extra questions for Saas (FOR INFORMATION ONLY)

| | | | |
|------|--|--|---|
| 21.1 | Are reports produced from the same software as the financial applications or is separate reporting software used? | Same | As stated |
| 21.2 | Does any application software (i.e. other than a web browser or PDF reader) need to be installed on the user's computer in order to prepare or view the reports? | No | As stated |
| 21.3 | Is access to the reporting facilities and data these use controlled by the same procedures as access to the main financial applications? 21.3.1 If it is different explain the user access control facilities available to ensure information is only viewed by users with appropriate authority? | Yes N/A | As stated |
| 21.4 | In what electronic formats are reports produced:- 21.4.1 PDF? 21.4.2 XML? 21.4.3 MS Excel spreadsheet? 21.4.4 CSV file? 21.4.5 As html for viewing in a web browser? | Yes Yes for VAT 100 Not specifically Yes Yes | As stated As stated As stated As stated As stated |
| 21.5 | Are report documents stored on the web server or on the user's computer? 21.5.1 If report documents are stored on the web server are they secure to ensure only users with appropriate authority can get access? | Both Yes | As stated As stated |

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| Question | Supplier Response | Evaluator's Comment |
|--|--------------------------|----------------------------|
| 21.5.2 If reports can be downloaded to the user's computer are there adequate warnings about the possible dangers of other computers users being able to view the reports and the need to store the documents in a secure storage location? | No | As stated |
| 21.6 For documents viewable in a browser is any data stored on the user's computer in a web browser cache or temporary file (when viewing the report presented for the browser or for any simplified print layout style options)? If Yes:- 21.6.1 Is there any protection against other users viewing the report or data on which it is based? 21.6.2 Is it clear on the reports when they were produced and the date of the data on which they are based, so the user can tell whether they are viewing out of date information? | No N/A N/A | As stated |
| 21.7 Are communications between the browser and the server encrypted for any report related communications? | Yes | As stated |
| 21.8 If reports are produced dynamically each time the user views them can historical reports be reproduced at any time? 21.8.1 Indicate any reports that are not available after a period of time has elapsed, e.g. events such as period | Yes None | As stated As stated |

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| Question | | Supplier Response | Evaluator’s Comment | |
|--|--|-----------------------------|---------------------|--|
| end or records have been purged/deleted. | | | | |
| | | | | |
| 21.9 | Can reports viewable in a browser be navigated dynamically by users? For example:- | | | |
| 21.9.1 | Enabling drill down to more detailed information (Please state the extent of drill down/across functionality available). | Yes | As stated | |
| 21.9.2 | Altering which columns and rows of data are displayed. | Limited | As stated | |
| 21.9.3 | Choosing time periods. | Yes | As stated | |
| 21.9.4 | Specifying selection criteria. | Yes | As stated | |
| | | | | |
| 21.10 | Can report data be reliably copied and pasted direct from browser viewable reports to an MS Excel spreadsheet retaining any table layout? | To Excel via CSV files | As stated | |
| | | | | |
| 21.11 | If reports are incomplete, for instance due to a poor Internet connection, is sufficient information provided to enable the user to notice that some of the report is missing? | All or nothing is reported. | As stated | |