ICAEW Accreditation Scheme

Electronic Working Papers Systems Evaluation

MyWorkpapers Ltd

MyWorkpapers V2.13

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Date completed: May 2019

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Sections 16 and 17 contain additional questions for SaaS providers
The ICAEW recommend that potential users undertake relevant financial and suitability due diligence on software and service providers.

1 Summary

1.1 Introduction

The suitability of Electronic Working Papers software for any specific 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, Electronic Working Papers software should:

- Be capable of providing the document creation and processing functions for which it was designed.
- Provide capture and collation of relevant data via a secure method.
- Provide facilities to ensure the completeness, accuracy, confidentiality and continued integrity of the document creation functions.
- If used for an audit, provide evidence that the audit was performed in accordance with the appropriate auditing standards, and provides features to support reviewing, approving and cross-referencing work done together with providing functionality to support communication between the various parties to the audit.
- Be effectively supported and maintained.

It is also desirable that an Electronic Working Papers system 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 MyWorkpapers against a set of criteria developed by the ICAEW to ensure that the software meets the requirements of electronic data collection and accounts processing software, as laid down in the summary.

2.2 Approach and Work performed
In order to effectively evaluate MyWorkpapers, a specialist from MyWorkpapers Ltd completed the detailed questionnaire and provided it to the evaluator to examine. The evaluator in conjunction with the operation of the various aspects of the software assisted by a member of the supplier'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 MyWorkpapers Ltd staff in order to clarify certain points. In the event of disagreement between

MyWorkpapers Ltd and the evaluator, the evaluator's decision was taken as final and the response changed accordingly.

MyWorkpapers version 2.13 was used throughout the evaluation.

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

2.3   Data collection
This evaluation covers the software and not the methods employed by the Software House to store and manage the data it collects, nor the method by which it is delivered and/or contracted for. Potential users need to satisfy themselves on security and any data protection issues of the data being collected, held and managed on their behalf by the Software House.

2.4   Software/hardware utilised
The review was carried out using a laptop running Windows 10 Pro with 16.0 GB RAM and an Intel Core i7-7660U processor.

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
MyWorkpapers is a system which connects to bookkeeping systems to pull data into its platform and the accounting firm staff then complete workpapers, checklists and reconciliations before producing financial reports.

Specifically, the MyWorkpapers service is used by accountants to have a systemised and consistent process to completing working papers on all assignments.

The MyWorkpapers Service is comprised of securely delivered, electronic data and MyWorkpapers - software that enables practices to process document information and produce customised reports/documents for their clients.

3.2   Supplier background
MyWorkpapers Ltd is International software company focussed on cloud accountancy software

3.3   Product background and Suitability for user
MyWorkpapers was formed in 2009 in Australia, and is now used internationally, with offices in America, Australia, UK and Germany.

MyWorkpapers Ltd is a subscription-based product, pricing being based on the number of files created.

MyWorkpapers is an easy to use software application that accounting practices use to ensure compliance, standardised processes and keep active records of workpaper files in a cloud solution

A comprehensive, context-sensitive Help Guide is provided in the software.

Practices can use MyWorkpapers to produce a range of financial and legal documents as well as analytical reporting.

3.4   Typical implementation
MyWorkpapers is suitable for accounting and auditing firms of all sizes that wish to complete year end preparation or audits for their clients. MyWorkpapers may be run on browsers connecting to the MyWorkpapers via an Internet connection.

3.5   Vertical applications
There are direct links with cloud packages such as Xero, Quickbooks, etc. and direct output links to IRIS, Forbes etc. There are also csv input and output files which can be generated to enable links to pretty well any financial accounting product. Mapping can be applied to csv imports to ease the transfer of data.

3.6   Software and hardware specifications

3.6.1   Development environment
LAMP Stack (a standard opensource development model comprising Linux operating system, Apache web server, MySQL database and PHP web code)

3.6.2   Server platforms
Rackspace / Google cloud. UK data is hosted by Rackspace UK based in Slough.

3.6.3   Databases
My SQL

3.6.4   Operating software
Windows

3.6.5   Protocols
The protocols and/or communication standards used are HTTP, HTTPS, POP3, SMTP and SQL Server protocols.

3.6.6   Minimum client PC specification
Any modern web browser – Chrome/Firefox/Edge are preferred. IE10 and above can be used.

3.6.7   Support and maintenance
MyWorkpapers is supported directly by the MyWorkpapers Ltd Support Team via a Freephone number during business hours 8.30 – 5.30, Monday to Friday. Email assistance is also available during that time. Additional help can be found in the MyWorkpapers Help Guide; context sensitive help is available through the software. There is also an online help centre and training videos (LMS).

3.7   Software installation and support
The MyWorkpapers does not require specific installation as it runs in a standard Internet Browser.

Support is available during normal business hours as above via a Freephone number and is provided as part of the subscription charge. For any complex issues that cannot be resolved over the phone the Support Team use TeamViewer to access the practice's installation and provide whatever assistance is required. An onboarding and implementation service is also provided.

3.8   Partner network and related accreditation process
MyWorkpapers Ltd markets directly to the accounting profession and has no sales partners or resellers in the UK.

3.9   Limitations
MyWorkpapers is aimed at accounting practices. It is not a bookkeeping, financial reporting or tax filing system. It allows users to complete year end preparation or audits for their clients online

There are a number of limitations in the product which while not adversely impacting upon this evaluation may be of importance to certain organisations. It is important that any organisation contemplating the purchase of software 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 organisations with certain specific requirements:

- The system does not enforce password changes
- The system does not "remember" previous passwords
- There is no audit trail to capture changes to clauses
- There is limited data validation of imported data
- Workflow processes cannot control other workflows
- There are no sub-folder options (but a workaround methodology can be used)
- Tasks cannot be set as mandatory for completion
- All sections need a Completed radio button ticked even if 100% complete otherwise
- It is not possible to set specific task "action by" dates
- It is not possible to set to whom the next workflow stage should be sent once one workflow has been completed
- It is not possible to amend styles, layouts or fonts in the output reports

- Output cannot be marked as Draft/Final etc.
- Program code will not be put into escrow
- There are no details of backup and recovery in the terms and conditions
- There is no service level agreement offered regarding service availability

4   Evaluation conclusion

There were no areas in the evaluation that gave concern. MyWorkpapers version 2.13 is a well-designed package that will be supported direct by MyWorkpapers Ltd.

In terms of the functionality that is present in the current version and the target market for this product, the product has been adequately specified. It is easy to use and flexible in its approach.

Disclaimer
Any organisation considering the purchase of MyWorkpapers version 2.13 should consider their requirements in the light of proposals from MyWorkpapers Ltd and potential suppliers of other similarly specified products. Whilst the contents of this document are presented in good faith, neither ICAEW, RSM UK nor the Evaluator can accept liability for actions taken as a result of comments made herein.

Functional requirements questionnaire
Product MyWorkpapers version 2.13

Question	Supplier Response	Evaluator's Comment

5   Security and continuity of processing

	Question	Supplier Response	Evaluator's Comment
5.1	What security features are included to control access to the software?	Firm username User username User Password	Confirmed
5.2	Can access to software application functions be managed so users can only see and access those functions they are authorised to access?	Yes	Confirmed
5.3	Is this access to the software managed by: 5.3.1 Individual user profiles? 5.3.2 User groups based on their job roles?	User groups based on their job roles	Confirmed
5.4	Passwords 5.4.1 Is access to the software controlled by password? 5.4.2 Please state the basis of control available (e.g., role based, etc).	5.4.1 – Yes 5.4.2 – User based	Confirmed Confirmed
	5.4.3 Does the software allow for each user to have separate log on (user ids)? If No:- 5.4.3.1 How does the software track user activity?	Yes	Confirmed
	5.4.4 Is each user required to have a personal password?	Yes	Confirmed
	5.4.5 Are passwords one-way encrypted? [i.e. is it impossible for anyone, including the system administrator to see other user's passwords in the software?]	Yes	Confirmed
	5.4.6 Are passwords masked when entered by any user logging in?	Yes	Confirmed

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Question	Supplier Response	Evaluator's Comment
5.4.7 Is password complexity available? If Yes:- 5.4.7.1 Please specify [e.g. No of digits, requirement for special characters, numeric, upper/lower case etc.]	Yes: -Is at least 13 characters long -Has at least one uppercase letter -Has at least one lowercase letter -Has at least one number -Has at least one special letter -New password and password confirmation match	Confirmed
5.4.8 Is there a facility to enforce password changes after a chosen period of time?	No	Confirmed
5.4.9 Is there a facility to specify a minimum age for passwords (e.g. 1 day)?	No	Confirmed
5.4.10 How many previous passwords are retained by the system to limit users recycling passwords (e.g. 24 or 32)?	0	Confirmed
5.4.11 Please state how security allows for access to be specified separately for:- 5.4.11.1 Read? 5.4.11.2 Read and write? 5.4.11.3 Delete and amend?	All specified in the Roles and Permissions template	Confirmed
5.5 Does the software require higher or specific levels of user access for changes to sensitive data and for any data imports/exports?	Yes	Confirmed
5.6 Please specify the specific security procedures (by passwords or warnings) over the: - 5.6.1 Update of template/library text? 5.6.2 Deletion of text? 5.6.3 Archiving of documents?	If the user does not have permission to complete any of the mentioned steps the option will be greyed out and a message advising that there are insufficient privileges to complete the task is displayed	Confirmed
5.7 Audit trail 5.7.1 Does the software have a detailed audit trail?	Staff activity is tracked and can be reported on. However, the "audit trail" in relation to accounting software is not really relevant to this type of product.	Confirmed

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Question		Supplier Response	Evaluator's Comment
5.7.2	Is it impossible to turn off, amend or delete the audit trail?	N/A	N/A
5.7.3	Does the software allocate a system generated sequential unique reference number to each [transaction] operation undertaken?	No	N/A
5.7.3.1	Is this stamped with a user id?	1. No	
5.7.3.2	Is this unique reference number presented to the user at time of input?	2. No	
5.7.3.3	Is this unique reference number available to view, by the end user and by way of a report?	3. No	
5.7.3.4	Is the reference date and time stamped?	4. No	
5.7.4	Are all master file changes recorded in the audit trail? If Yes:-	No N/A	N/A
5.7.4.1	Does each change have a system generated reference allocated?		
5.7.4.2	Are the originator and authoriser identified?		
5.7.4.3	Is the change date and time stamped?		
5.7.5	Are all standing data changes recorded in the audit trail? If Yes: -	No	N/A
5.7.5.1	Does each change have a system-generated reference allocated?		
5.7.5.2	Are the originator and authoriser identified?		
5.7.5.3	Is the change date and time stamped?		
5.7.6	Is all input data included within the audit trail, including amendments, deletions, etc?	No	N/A

Functional requirements questionnaire
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Question		Supplier Response	Evaluator's Comment
5.7.7	Are all imported /interfaced transactions allocated a software generated sequential reference number?	No	N/A
5.7.8	How are these transactions differentiated within the audit trail?	N/A	N/A
5.8	Are software messages clear?	Yes	Confirmed
5.9	Are user responses properly structured to ensure that erroneous key strikes do not lead to inappropriate actions?	Yes	Confirmed
5.10	Is there a software log which details:- 5.10.1 Error messages? 5.10.2 Security violations?	Not visible to end user – stored in backend database	Accepted
5.11	What are the procedures for handling dates? (e.g. 2-digit years, 4 digit years). 5.11.1 In the case of two digits what is the break point for the century? 5.11.2 Are dates handled consistently throughout the software?	Options available as to display 1. N/A – as only option currently is up to 2029 chosen from a dropdown list 2. Yes	Confirmed Confirmed Confirmed

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Question	Supplier Response	Evaluator's Comment

6 Data Collection and Processing

	Question	Supplier Response	Evaluator's Comment
6.1	Can data be uploaded from: 6.1.1 HMRC? 6.1.2 Banks? 6.1.3 Building societies? 6.1.4 Other organisations? Please specify all currently available.	The product is specifically designed to link to accounting software products. No data would need to be uploaded from HMRC or other organisations. Trial Balance data can be imported via any of the following solutions: • Xero • QuickBooks Online • IRIS Accounts Production • FORBES Accounts Journals can be Imported via IRIS Accounts Production. CSV files can be imported from any accounting product though.	Confirmed
6.2	If so, then how is the data collected by the Software House from each of the above?	Via API, CSV Import from the accounting packages.	Confirmed
6.3	Does the system require the use of any technologies that <u>may</u> be considered as a security risk? e.g. ActiveX, JavaScript, Cookies.	No	Accepted
6.4	Can multiple users access the importable files? If Yes:- 6.4.1 Does each have an individual user id and password?	Yes Yes	Confirmed Confirmed
6.5	What controls are provided to ensure the integrity of data in storage at the Software House and during transmission?	Host provided and encrypted during transit	Accepted

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	Question	Supplier Response	Evaluator's Comment
6.6	What controls are provided to ensure the confidentiality of data in storage at the Software House and during transmission?	Host provided and password access	Accepted
6.7	Are users automatically logged off after a pre-set time if not using the system?	Yes - if no activity in browser for 30 minutes, the user is logged out.	Confirmed
6.8	In what format is the data required to be made able for import?	Software house specific for direct import via API or a CSV file	Confirmed
6.9	Is the data imported validated by the application software before documents are updated?	No- so a trial balance that did not actually balance could be imported, but it would be obvious in the software reports.	Confirmed
6.10	Is there a facility for alerting users that data is available for import?	No – it is imported as required	Confirmed
6.11	What controls are in place to ensure the accuracy and completeness of data from imports? 6.11.1 How is a duplication of data prevented / highlighted? 6.11.2 How are missing entries highlighted?	Trial Balance import: User is presented with full screen of data before importing – allowing them to check and review. • User is given the options on how to identify and handle duplicate entries • Missing entries are not highlighted	Confirmed
6.12	How is the user notified that the import of data has been successfully completed?	Trial Balance: User receives an in-product confirmation screen	Confirmed
6.13	State the controls in place (system and manual) to ensure the user and the Software House are authorised to collect data on behalf of the client.	User must enter username and password for uploading organisation e.g. in Xero need to enter login and password to link.	Confirmed

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Question	Supplier Response	Evaluator's Comment
6.14 What are the implications of the Data Protection Act / GDPR over information held by:- 6.14.1 The user? 6.14.2 The Software House?	1. As per law users will have all rights 2. Have engaged consultants to overview GDPR implications and this has resulted in updates to the privacy policy and user agreement and a number of other documents	Accepted Accepted
6.15 What is the system's availability percentage?	99.99% (based on Rackspace Service level agreement)	Accepted
6.16 Is the service available 24x7 or are there downtime periods for maintenance?	We have scheduled downtime periods for maintenance / upgrades – generally at weekends	Accepted
6.17 Software House 6.17.1 What security controls are in place over: - Systems? - Server? - Applications? - Data?	Rackspace, as the Host, has secure physical controls. These are shown in https://www.rackspace.com/en-gb/managed-hosting/service-levels	Accepted
6.17.2 Is there a system log which details:- - Error messages? - Security violations? - User access? - User activity? Is this available to the user?	 Yes Yes Yes Yes No	Accepted

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Question	Supplier Response	Evaluator's Comment
6.17.3 What are the implications if the Software House ceases to exist?	Data can be extracted at any time by end user, including downloading a complete file and its attachments into a PDF document. Commercial reality applies if for any reason the company became insolvent, i.e. an administrator would take control of the business until a buyer was sourced. MyWorkpapers has no bank debt and no external funding. The likelihood of this happening is limited. Even though the data is in an SQL database, the files would not be able to be retrieved without internal administrator access to the platform. The client would be relying on 1) a future acquirer or 2) backing up client files into PDF.	Accepted
6.17.4 Is the customer made aware of maintenance periods in advance?	Yes – via email and banner displayed in the application	Accepted
6.17.5 Is a system log maintained by the Software House that details user activity, error messages and security violations into their own systems?	Yes	Accepted

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Question	Supplier Response	Evaluator's Comment
6.17.6 Are security procedures regularly independently reviewed? Please indicate the nature and frequency of reviews and the nature of the independent reviewer.	Yes – independent penetration testing is used. Annually.	Accepted

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Question	Supplier Response	Evaluator's Comment

7   Input of data and selection of options

	Question	Supplier Response	Evaluator's Comment
7.1	Is input controlled by self-explanatory menu options?	Yes	Confirmed
7.2	Are these menus context-specific?	Yes	Confirmed
7.3	Does the software provide input validation checks such as date and amount range reasonableness and validity checks?	There is pre-set data validation for some areas, but they still are open and are limited, such as CSV balances balance. The reviewer of a job file will check work is done correctly, and for the right period, and sign off in the application accordingly. See also 7.4 and 16.23.	Confirmed
7.4	What control features are within the software to ensure completeness and accuracy of manual data input?	Journal entries will flag red if they do not balance and error messages where appropriate	Confirmed
7.5	Is the user prevented from avoiding these controls?	Yes	Confirmed
7.6	Are input errors highlighted? If Yes are they: - 7.6.1 Rejected and reported on screen? 7.6.2 Rejected and error reports generated? 7.6.3 Accepted after reporting on screen?	Yes Rejected and reported on screen	Confirmed

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	Question	Supplier Response	Evaluator's Comment

8   File maintenance

	Question	Supplier Response	Evaluator's Comment

8.1	How many records can the system handle:-
	8.1.1 Customer's users?
	          (i.e. Accountant's staff)
	8.1.2 Customer's clients?
	          (i.e. Accountant's clients)
	8.1.3 Working paper files per client?
	          (i.e. Engagements/audits per client)
	8.1.4 Years per client?
	          (i.e. Years of audits per client)
		Unlimited	Accepted

8.2	What import facilities are available, e.g. is it possible to import a specific table of data via csv file or similar, e.g. Accounting data?	Trial Balance can be imported via CSV and there are also direct API links	Confirmed
8.3	Is it possible to integrate the software to a project, case management, accounting or accounts production package? If Yes: 8.3.1 Please list the ones currently available.	We have API integrations with QBO, Xero and IRIS Others are in development	Confirmed
8.4	How does the software guard against/warn about, duplicate user/client/document names on set up?	Duplicate users cannot be created (i.e. with same email). A duplicate client name can be created, but this is deliberate as it may be necessary in certain circumstances. There is a dropdown to choose from when creating a name which helps to avoid this if not required.	Confirmed
8.5	Are menus:- 8.5.1 Application specific? 8.5.2 User specific?	8.5.1 – Yes 8.5.2 – Yes	Confirmed Confirmed

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	Question	Supplier Response	Evaluator's Comment
8.6	Are there any constraints over the deletion of clients and/or their documents?	Deleted Workpapers are held within a recycle bin (each engagement file has its own recycle bin), deleting clients and engagements files will require a user (with appropriate permissions) to type in the word 'DELETE' It does **not** delete transactions from input products or output products	Confirmed
8.7	Detail the drill down/around functionality is available within the software?	Hierarchical Workpaper Indexes and folders with % complete indicator. No drilldown to source product information – need to go to source product for that purpose.	Confirmed
8.8	Is the creation or amendment of master and standing data (e.g. look-up codes) controlled by menu options and security procedures?	Can be restricted on a role basis (permissions). However, this is not relevant in this type of product.	Confirmed
8.9	Can reports be invoked which identify all the fields which have been modified?	No	Confirmed
8.10	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?	N/A	N/A
8.11	What controls are within the software over changes to parameters and tables, e.g. reporting, password protection, etc?	Controls can be managed on a role by role basis (permissions)	Confirmed

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	Question	Supplier Response	Evaluator's Comment
8.12	Does the software allow selective archiving of old data on a user-defined basis?	Yes	Confirmed
8.13	What controls are in place over the handling of archived data?	Archived engagement files are read-only	Confirmed
8.14	Can archived data be used for reporting purposes?	Yes	Confirmed
8.15	Does the software allow for the restoration of archived data without affecting the current data?	Yes, the MyWorkpapers Support Team can restore archived data from the MyWorkpapers application at any level (or any form/folder). A PDF backup can be added to a new file (of the client) and referenced to in the application. Likewise, financial information can be re-imported from external source API or CSV without the loss of current work.	Accepted

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Question	**Supplier Response**	**Evaluator's Comment**

9 Global and client configuration/setup

9.1 Does the system provide for the setup and maintenance of the details of the Accountants/firm using the software and valid users within that firm?	Yes	Confirmed
[See section 5 in relation to the permissions matrix and user passwords]		
9.2 What are the restrictions on more than one user working on the same client or client engagement (audit) at the same time?	No restrictions	Accepted
9.3 Can a user of the system have multiple windows open at the same time on a single client audit/engagement?	Yes	Confirmed
9.4 Does the system make use of global lists, e.g. Postcodes, VAT codes, lists of banks/building societies? If so, specify what is provided.	No	Confirmed
9.5 Does the system provide for the setup and maintenance of a firm's client details (client profiles)?	Yes	Confirmed
9.6 Can the system record client notes, exemptions, etc as required?	Yes	Confirmed
9.7 Does the system allow the entry of supplementary information? If yes:	Yes	Confirmed
9.7.1 Can this be uploaded and held against the client?	1. Yes	Confirmed
9.8 Does the system automatically populate information from the client profile into associated engagement/audit files (working paper sets) during creation??	Yes	Confirmed

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	Question	**Supplier Response**	**Evaluator's Comment**
9.9	Does the system allow clients to be linked? If yes: 9.9.1 Can the system automatically copy information from an associated client record when required? 9.9.2 Can this be manually overridden?	Not directly linked but it is possible to copy information from one client to another	Confirmed
9.10	Can this linking be extended to assist in the creation of mirror documents where client parties are directly related?	Documents created in one entity can be copied to another at any time	Confirmed
9.11	Does the system allow all engagement files and documents created for a client to be: 9.11.1 Shown as a list on-screen. 9.11.2 The details viewed on-screen. 9.11.3 Details to be printed out.	Yes	Confirmed
9.12	Does the system incorporate dashboard functionality such that the following information is presented to the user on their "home page" when they login to the system: 9.12.1 Activities on all projects that the user is involved in 9.12.2 File progress/completion 9.12.3 Review points outstanding.	Yes, we have 5 widgets on the dashboard. 1. Activity feed 2. Your files (Pie Chart) (a quick overview of the progress of all files you're (the user) is assigned to) 3. Review points 4. Recent files 5. Key Document Completion	Confirmed

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	Question	Supplier Response	Evaluator's Comment

10 Engagement/audit files and libraries

	Question	Supplier Response	Evaluator's Comment
10.1	Does the system provide a simple view showing all the audit files created for a client?	Yes	Confirmed
10.2	Subject to permissions can the user expand any of these audit files on-screen to show the index and folders within each audit?	Yes	Confirmed
10.3	Does the system provide a straightforward way to search for audits, with search parameters such as: client, audit, year, date-range?	Yes	Confirmed
10.4	Is it possible to choose to set up a new engagement/audit for a client by copying forward all/parts of the details from the previous year?	Via Roll forward procedure	Confirmed
10.5	When setting up the engagement/audit file is it possible to enter: 10.5.1 Start and end dates 10.5.2 Staff on the audit (assigning individuals to roles) 10.5.3 Audit office 10.5.4 Previous balances and fees 10.5.5 Audit currency 10.5.6 Additional information (inc results totals)	 1. Yes 2. Yes 3. Yes 4. Yes 5. Yes 6. Yes	Confirmed

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	Question	**Supplier Response**	**Evaluator's Comment**
10.6	Does the system provide a selection of audit library templates or content packs for use on an engagement? If so provide details of the packs available and the accounting regulations covered (e,g, IFRS)	We provide Mercia audit content for the following entity types: • Limited Companies (FRS 102/IFRS) • LLP • SAR (Solicitors Accounts Rules) • Pension Schemes • Charities (inc. & uninc.) • Academies We also offer Mercia non-audit content for the following: • Limited companies (FRS 102(1A)/FRS 105) • Unincorporated Businesses	Confirmed

10.7	Please explain the fundamental components of the library templates, e.g.:
	10.7.1 Working papers:
	    - Index
	    - Folders
	
	10.7.2 Workflow tasks and actions
	10.7.3 Other.
		10.7.1 – The Workpaper index shows all the folders associated to that file. These folders house all the workpapers. The folders can then be expanded to display all workpapers
		
		10.7.2
		Workflow tasks are a manageable library of firm based Tasks for both Firm users and clients to cover all tasks required from beginning to end of the client engagement
			Confirmed

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Question	Supplier Response	Evaluator's Comment
10.8 Does the system provide the ability for the firm using the software to maintain the template library and make changes to its structure, workflow, actions, text, etc or is this function undertaken solely by the supplier?	We provide the user/firm the ability to tailor the content (template, statuses, workflow etc.)	Confirmed
10.9 Is there the ability to suppress parts of the library structure, workflow, and text? If so can this be done by: 10.9.1 Audit type 10.9.2 Client type 10.9.3 On a per-client basis 10.9.4 For specific folders 10.9.5 Is there a manual override? 10.9.6 Can all this be done by the user or is it a supplier-only function?	Yes: 10.9.1 Yes 10.9.2 Yes 10.9.3 Yes 10.9.4 Yes 10.9.5 Optional 10.9.6 Both	Confirmed
10.10 Can custom libraries be added for specific situations? If so, state what is available.	Yes Customer can create their own library and ordering of docs. All doc types can be created	Confirmed
10.11 Can the inbuilt workflow in the library enable/disable specific options / workflow steps depending on answers provided to questions in another separate part of the workflow (i.e. another folder)?	Yes – using the customiser	Confirmed
10.12 Does the system provide the ability to archive engagements/audits?	Yes	Confirmed
10.13 Does the system provide the ability to delete engagements/audits?	Yes	Confirmed

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Question	Supplier Response	Evaluator's Comment
10.14 Does the system provide a facility for auto-saving changes to engagements/audits during a user's editing session? 10.14.1 Can the frequency of these auto-saves be manually set? 10.14.2 Can the user initiate a save manually? 10.14.3 Can a user roll back to a previous saved version?	Yes, as the system is cloud-based it saves in real-time. 10.14.1 – N/A 10.14.2 – N/A 10.14.3 – No	Confirmed
10.15 Can the inbuilt workflow in a library enable/disable parts of the library structure elsewhere in the library?	No	Confirmed
10.16 Can a library be marked with a status that determines whether it is available for use, e.g. draft, released, archived?	Yes, each user-built template can be set to either draft, released or archived	Confirmed
10.17 Does the system provide the facility for off-line working, i.e. downloading engagements or sets of working papers for editing away from the office/while doing fieldwork? 10.17.1 If so, please explain how this operates.	We have a 'Check out' feature which allows users to check out a document (supporting doc or schedule – This isn't available on any of the programmes/checklists), this will leave a note on the Workpaper index notifying other members of the team that this has been checked out to prevent others from working on the doc, the user can then check the doc back in once they've completed their work.	Confirmed

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Question	Supplier Response	Evaluator's Comment

11 Working papers and Workflows

	Question	Supplier Response	Evaluator's Comment
11.1	Please explain the components within a set of working papers, e.g. - Index - Folders and sub-folders - Workflow - Actions/steps.	The Workpaper index shows all the folders associated to that file. These folders house all the workpapers. The folders can then be expanded to display all workpapers. There is no sub folder option Workflow tasks are a manageable library of firm-based Tasks for both Firm users and clients to cover all tasks required from beginning to end of the client engagement	Confirmed
11.2	Can documents from third party systems be attached within a set of working papers. If so, please explain how this is undertaken.	Files can be dragged and dropped to upload into the system	Confirmed
11.3	Can attached documents be opened, edited and re-saved within the system? If so:	This can be done via the Office Online API	Confirmed
	11.3.1 Does the system provide version control functionality?	Yes	Confirmed
	11.3.2 Can multiple versions be retained within the folders?	Yes	Confirmed
	11.3.3 Is it possible to roll-back to a previous version and re-save this as the current version?	Yes	Confirmed

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Question	Supplier Response	Evaluator's Comment
11.4 Does the working paper library come with a pre-defined index to the sections within the library? If so: 11.4.1 Give an example of the top level of a standard index, e.g. Planning, execution, review, re-plan. 11.4.2 Can this index be edited by the user's firm?	Yes: 11.4.1 Reports and Completion Planning Financials 11.4.2 Yes	Confirmed
11.5 Can folders and sub-folders be added to and deleted from the index within a set of working papers?	Yes, folders can be added, however, we do not currently allow sub-folders. A workaround is a common prefix and user defined suffix e.g. Z1, Z2 etc	Confirmed
11.6 Does the system enable folders and sub-folders to be moved within the working paper index ("grafting the audit tree")? If so: 11.6.1 Does the index update automatically? 11.6.2 Is this function graphical, i.e. drag-and-drop?	Yes Yes Drag-and-drop	Confirmed
11.7 From within a folder can a list of workflow steps (actions/tasks) be: 11.7.1 Added? 11.7.2 Amended? 11.7.3 Hidden/unhidden? 11.7.4 Deleted?	 Yes Yes Yes Yes	Confirmed
11.8 Explain how the system enables task dependencies to operate?	Dependent on figures in import e.g. if no Stock then stock workflow will not display – but can be added if necessary	Confirmed

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Question	Supplier Response	Evaluator's Comment
11.9 Can tasks/actions be of various types? If yes, state the types supported: 11.9.1 Selection or multi-selection? 11.9.2 Yes/no option? 11.9.3 Check boxes? 11.9.4 Radio buttons? 11.9.5 Text or numeric entry? 11.9.6 Date or date range entry? 11.9.7 Tabular data? 11.9.8 Free-form notes? 11.9.9 Other, please specify	Selection or multi-selection? Yes Yes/no option? Yes Check boxes? Yes Radio buttons? Yes Text or numeric entry? Yes Date or date range entry? Yes Tabular data? No Free-form notes? Yes	Confirmed
11.10 Can actions be marked as mandatory?	No	Confirmed
11.11 Does the system automatically mark a list of actions as complete when all mandatory tasks within that list have been completed?	No – see 11.10	Confirmed
11.12 Does the system automatically mark a folder as complete when all lists of actions within that folder have been completed?	No – deliberately set to need a Completed box to be ticked	Confirmed
11.13 Is it possible to flag specific actions as items of "audit evidence" and monitor their status separately?	Yes – by specific text and creation of a specific review point section	Confirmed
11.14 Is it possible to mark lists of actions with levels of "audit risk"? If so: 11.14.1 Please indicate the levels available, e.g. Insignificant, quite significant, significant, very significant, critical; or rating of 1 to 5.	Yes High/Medium/Low and Significant is another option	Confirmed
11.15 Is it possible to report on the progress of list of actions with specific levels of audit risk?	Yes	Confirmed

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	Question	Supplier Response	Evaluator's Comment
11.16	Does the system provide an overview of the completion progress/status of actions and folders within a set of working papers?	Yes	Confirmed
11.17	Does the system provide multi-user access control, i.e. locking down folders / documents / actions / parts of the workflow when another user is editing them? 11.17.1 If so, please explain how this operates.	Yes All workpapers can be worked on at the same time. Supporting documents can be locked using the 'Check out' feature which allows users to check out a document which will leave a note on the Workpaper index notifying other members of the team that this has been checked out to prevent others from working on the doc, the user can then check the doc back in once they've completed their work.	Confirmed
11.18	Does the system provide e-mail integration, so that information requests to clients can be made directly from within the software and email replies saved back within the system? 11.18.1 If yes, then please list the email systems supported.	The application integrates with the user's native email application (i.e. Exchange/Outlook) to push its messaging. It works with all email systems	Confirmed
11.19	Does the system provide a hierarchy of tasks/actions? If so, does this include: 11.19.1 Dependencies? 11.19.2 Approvals and sign-offs? 11.19.3 Task completion status? 11.19.4 Task assignment?	Yes Specific tasks can be assigned using the review points and client queries feature	Confirmed

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	Question	Supplier Response	Evaluator's Comment
11.20	Can this workflow be viewed graphically? If so: 11.20.1 Can the hierarchy be edited from within this view?	Not graphical All review points and client queries can be viewed in a single list and edited from this page	Confirmed
11.21	Can a task have a status linked to workflow, e.g. Complete, incomplete, complete with issues, unable to complete?	Yes – resolved / cleared, % complete	Confirmed
11.22	Does the system allow different group of users to be assigned to tasks at different statuses?	Can be by individual and by group by selecting the individuals in that group	Confirmed
11.23	If a task has issues can further information be added to define how to clear the task? If so, does this include: 11.23.1 Defining what is to be done to resolve the issue? 11.23.2 The assignment of staff? 11.23.3 Setting action dates? 11.23.4 Defining where in the workflow the task should return to when completed? 11.23.5 Categorising issues?	Yes Yes Yes No No Yes	Confirmed
11.24	Does the system allow authorised users to make comments and assign additional tasks during the workflow? If so, can these be: 11.24.1 Edited? 11.24.2 Deleted? 11.24.3 Made mandatory?	Yes Yes Yes No	Confirmed
11.25	Does the system allow different actions in different parts of the working paper library to be cross-referenced? If so, explain how this operates.	Yes, you can reference relevant workpapers. A hyperlink will automatically be created that will open the associated Workpaper	

Question	Supplier Response	Evaluator's Comment
11.26 Can tasks be filtered? If so, can this be done by a combination of: 11.26.1 Client? 11.26.2 Engagement? 11.26.3 Specific task? 11.26.4 Assigned staff? 11.26.5 Task status? 11.26.6 Other?	Yes Yes No No Yes Yes	Confirmed
11.27 Can issues be filtered? If so, can this be done by a combination of: 11.27.1 Client? 11.27.2 Engagement? 11.27.3 Task? 11.27.4 Specific issue? 11.27.5 Assigned staff? 11.27.6 Other?	Yes Yes Yes Yes Yes Yes	Confirmed
11.28 Can search/filter parameters be saved on a per user basis?	Yes	Confirmed
11.29 Does the system allow the entry of 'side-tables of data? Is so: 11.29.1 Do these calculate? 11.29.2 Can they be printed? 11.29.3 Can data be imported, e.g. Excel or simple cut/paste?	Yes – Any file can be saved into a section. Excel files will obviously calculate!	Confirmed
11.30 Does the system provide validation of user inputs? If so: 11.30.1 Please detail the validation types provided.	Yes – in journal entries – In other areas there are dropdown options from a which a choice needs to be made	Confirmed
11.31 Does the system allow subsequent amendment of individual entries, without the need to walkthrough completed sections of questions?	Yes	Confirmed

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Question	Supplier Response	Evaluator's Comment
11.32 Does the system provide an audit trail of answers and changes to tasks/actions and issues?	Activity log records actions	Confirmed
11.33 Does the system retain data entries (answers), even if the workflow has changed and a specific task is no longer available to be answered because it is no longer visible? 11.33.1 Can data entered still affect the workflow elsewhere? 11.33.2 If the question is subsequently enabled will the previous answer be displayed?	Yes	Confirmed
11.34 Does the system provide functionality for an end-of engagement review of the working papers to be undertaken?	Yes	Confirmed
11.35 Can this review generate a workflow that requires follow-up actions, which are captured within the working papers?	Yes – additional review points can be created	Confirmed
11.36 Does the system provide 'completion' functionality that records the completion and sign-off of the engagement?	Yes	Confirmed
11.37 Can a completed set of working papers be 'rolled forward' for the next year?	Yes	Confirmed

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Question	**Supplier Response**	**Evaluator's Comment**

12 Trial balance integration

12.1 Does the system allow the entry of accounting trial balance data to provide lead schedules?	Yes	Confirmed
12.2 If so, can this be imported from: 12.2.1 A third-party accounting system? 12.2.2 A third-party accounts preparation system? 12.2.3 A spreadsheet? 12.2.4 A delimited (CSV) file?	Yes Yes Yes Yes	Confirmed
12.3 Does the system provide "wizard" functionality for the import of the trail balance data?	Yes	Confirmed
12.4 Does the system provide functionality to enable the import template to be mapped to the trial balance being imported?	Yes	Confirmed
12.5 If so, can this mapping be saved on a per-client basis?	Yes	Confirmed
12.6 Does the system allow for accounts with a zero balance to be removed or supressed?	Yes	Confirmed
12.7 Can notes be made against each of the trial balance lines imported?	Yes	Confirmed
12.8 Does the system provide validation of user input? 12.8.1 If so please detail the validation types provided.	System provides a confirmation screen to display what information will be imported via csv upload and notification when import complete	Confirmed

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	Question	Supplier Response	Evaluator's Comment
12.9	Does the system provide 'journal' functionality to enable amendments to be made to the trial balance? If so: 12.9.1 Can these be reported on? 12.9.2 Is there an audit trail of all journals entered?	Yes • Yes • Yes	Confirmed

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Question	**Supplier Response**	**Evaluator's Comment**

13 Reporting / generation of document packs

Question	Supplier Response	Evaluator's Comment
13.1 Does the system allow for user-customisable document formatting? 13.1.1 Font? 13.1.2 Paragraph style? 13.1.3 Page format? 13.1.4 Signing boxes? 13.1.5 Other, please specify	No	Confirmed
13.2 Does the system allow graphics and/or client logos to be incorporated in the page formatting?	Yes – Word document headers and footers	Confirmed
13.3 Does the system create the output document based on the working paper structure (folders) and the workflow task structure?	Yes	Confirmed
13.4 Can the user preview the document being created in real-time as they respond to the tasks in the workflow?	No	Confirmed
13.5 Does the system support dual screen functionality, such that the document being created can be shown on a display separate from the one being used to complete the tasks?	Yes – via multi tab browser windows	Confirmed
13.6 Does the system provide a standard reporting pack of documents for a set of working papers to be produced? If so: 13.6.1 Please describe the documents available? 13.6.2 Can these be grouped into a client 'pack'?	Yes All documents of an engagement can be exported into a single .zip file Yes	Confirmed

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	Question	Supplier Response	Evaluator's Comment
13.7	Can default user (company) text and/or logos be applied to packs? If so, is this to:		Confirmed
	13.7.1 The complete pack?	Yes – via a Word document	
	13.7.2 Specific documents within a pack?	If word documents – yes	
13.8	On a per-pack basis can the user amend the constituent documents':		Confirmed
	13.8.1 Sort order?	Yes	
	13.8.2 Page orientation?	No	
	13.8.3 Watermark?	No	
	13.8.4 Other, please specify?		
13.9	Can packs be produced at any time, even if an engagement/audit (set of working papers) has not yet been completed? If so:	Yes	Confirmed
	13.9.1 Are the documents marked as draft in some way (e.g. using a watermark)?	The documents show the sign offs – so it will be clearly shown that it is not complete	
13.10	Can different versions of the same pack be produced, e.g.draft, final, other (specify)? If so:	Yes – by naming the file accordingly.	Confirmed
	13.10.1 Are the documents marked as draft in some way (e.g. using a watermark)?	No	
13.11	Can the system produce a re-print of an old pack even if changes have subsequently been made which would change the contents of the latest version?	Yes	Confirmed

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Question	Supplier Response	Evaluator's Comment
13.12 Can the packs be produced in different formats? If so, are the following supported: 13.12.1 PDF? 13.12.2 MS Word (DOCX) format? 13.12.3 Rich text (RTF)? 13.12.4 MS Excel (XLSX)? 13.12.5 Other, please specify?	Yes Zip file stores all files in their original formats	Confirmed
13.13 Can production of specific documents be in the exact format required by statutory authorities, e.g. HMRC? 13.13.1 If so state what formats are supported.	No-the product is designed to send data back to final accounts software for interaction with Companies House, HMRC etc. It is not designed to produce "statutory" documents	Confirmed
13.14 Can the system support distribution of document packs via email?	Yes – zip file can be emailed	Confirmed
13.15 Are all documents and reports adequately titled and dated? e.g. report name, user organisation, client name, date, page numbers.	Internally generated documents e.g. work programs all have client name, year end etc. Externally created documents e.g. Excel files uploaded, are dependent on the end user.	Confirmed
13.16 Do the reports provide totals where applicable?	Yes	Confirmed
13.17 Is it clear when a document or report has ended (e.g. totals or end markers)?	Yes	Confirmed
13.18 Is a report writer provided as part of the software? If so please provide details of: 13.18.1 The level of knowledge required to use it (beginner, user, expert). 13.18.2 The level of customisation provided.	No – not relevant to this type of package – any specific documents required can be created in Word/Excel and added into the packs	Confirmed

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Question	**Supplier Response**	**Evaluator's Comment**
13.19 Does the system provide a client portal to enable the exchange of document between the accounting firm and their client[s]?	Yes	Confirmed

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Question	Supplier Response	Evaluator's Comment

14 User Documentation

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

	Question	Supplier Response	Evaluator's Comment
14.1	Is the manual clearly laid out and understandable?	Yes	Confirmed
14.2	Is the manual comprehensive and accurate?	Yes	Confirmed
14.3	Is there an index to the manual?	Yes	Confirmed
14.4	Is it easy to locate specific topics in the manual when required?	Yes	Confirmed
14.5	Is it easy to follow through all procedures in the manual?	Yes	Confirmed
14.6	Does the manual include: 14.6.1 A tutorial section? 14.6.2 A guide to basic functions? 14.6.3 Pictures of screens? 14.6.4 Completed examples included in the manual? 14.6.5 Specific "error correction" procedures?	14.6.1 – Yes 14.6.2 – Yes 14.6.3 – Yes 14.6.4 – Yes 14.6.5 – No N/A	Confirmed
14.7	Does the documentation clearly specify the actions to be taken by users at each important stage of processing?	Yes	Confirmed
14.8	Are help screens available relating to the task in hand? (context sensitive help).	Yes	Confirmed
14.9	Do they provide on-line instructions on how to use particular features of the software?	Yes	Confirmed
14.10	Can they be edited or prepared by the user?	No	Confirmed

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Question	Supplier Response	Evaluator's Comment

15   Support and Maintenance

Question	Supplier Response	Evaluator's Comment

15.1   How is the software supplied?
   15.1.1   Direct from Software House?
   15.1.2   Via Value Added Reseller?
	15.1.1 - Yes
	
	15.1.2 - No
		Confirmed

15.2 What is the basis of charging for use of the software; e.g. is it based upon number of users or number of concurrent users?	It is based on number of files processed during the annual period	Confirmed

15.3   Who provides support for the software?
   15.3.1   Direct by Software House?
   15.3.2   By a VAR?
	15.3.1 – Yes
	15.3.2 – No
		Confirmed

15.4 In the event of any dispute between Supplier and VAR how can the situation be resolved?	N/A	N/A

15.5   How is the software supported?
Please note all methods available: -
   15.5.1   Via the Internet
   15.5.2   Telephone?
   15.5.3   Other – specify.
	Via the internet and telephone	Confirmed

15.6 Please explain how support is charged for and whether bug-fixes are included in this?	Support isn't charged and bug fixes are included	Confirmed
15.7 How often are general software enhancements provided, and are these free of charge to users with support contracts?	Every 1-3 months, These are free to our customers	Accepted

15.8   Is "hot line" support available to assist with immediate problems?
If so:
   15.8.1   Is there an additional cost?
   15.8.2   At what times is this support available?
	Yes
	
	15.8.1 – No
	15.8.2 – 8:30am – 5:30pm
		Confirmed

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Question	Supplier Response	Evaluator's Comment

15.9 Who provides training:
    15.9.1 Direct by Software House?
    15.9.2 From a VAR?
	15.9.1 – Yes
	15.9.2 – No
		Confirmed

15.10 Is a warranty offered in respect of specification of the software?	We do offer a 30 day money back guarantee and compensation to the value of what they have paid.	Accepted
15.11 Will the software supplier make the program source code available to the user, either directly or by deposit with a third party (Escrow)?	No	Accepted
15.12 Are there any unduly restrictive conditions in the licence for the software?	No	Accepted

Question	Supplier Response	Evaluator's Comment

Additional questions for SaaS providers

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

16 Security and continuity of processing - SaaS

		Supplier Response	Evaluator's Comment
16.1	Are different levels of security provided to control access to the product/service?	Yes	Confirmed
16.2	What forms of user authentication are supported e.g. user names, passwords certificates, tokens etc?	Firm username User username User Password	Confirmed
16.3	What is the proposed product/service availability percentage?	99.99%	Accepted
16.4	Is the service available 24x7 or are there downtime periods for maintenance?	We have scheduled downtime periods for maintenance / upgrades	Accepted
16.5	Is a service level agreement offered regarding service availability?	No	Accepted
16.6	Is the customer made aware of maintenance periods in advance?	Yes	Confirmed
16.7	Does the product/service require the use of any technologies that may be considered as a security risk? e.g. ActiveX, JavaScript, Cookies. If so: 16.7.1 Describe how the user can mitigate this risk.	No	Accepted

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	Question	Supplier Response	Evaluator's Comment
16.8	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	N/A
16.9	Is data for different customers/companies kept:- 16.9.1 On separate servers? 16.9.2 In different databases? 16.9.3 In separate database tables? 16.9.4 In a database with data for other customers and companies using identification codes with each record?	1. No 2. Yes 3. Yes 4. No	Accepted
16.10	How is it ensured that data for different customers and companies is reliably identifiable and only accessed by authorised users for each customer/company?	Firm usernames Separate Databases per customer	Accepted
16.11	Are there any situations where users from one customer/company can work with data from another customer/company?	No	Accepted
16.12	What are the implications of the Data Protection Act over information held by the service provider?	Have engaged consultants to overview GDPR implications which has resulted in an update to the privacy policy and user agreement and a number of other documents. User agreement (copyright): https://www.myworkpapers.com/gb/user-agreement/ Privacy Policy: https://www.myworkpapers.com/gb/privacy-policy/	Accepted

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Question	Supplier Response	Evaluator's Comment
16.13 Does the service provider confirm to their customers that the service provided is compliant with GDPR principles?	Yes – in privacy policy on website and user prompted on every file created to accept user terms	Confirmed
16.14 Does the application software:- 16.14.1 Require any client software to be installed on the user's computer?	16.14.1 - No	Confirmed
16.14.2 Work entirely within Internet Browser software on the user's computer?	16.14.2 - Yes	Confirmed
16.15 Are communications between the user's computer and the software service encrypted:- 16.15.1 User log in data only 16.15.2 All data exchanged between user client and software service?	Yes 1. Yes 2. Yes	Accepted

Question	Supplier Response	Evaluator's Comment
16.16 What security steps are taken to prevent and detect intrusion attempts?		
16.16.1 Is firewall hardware and software used to protect the live systems from unauthorised access?	1. Host provider	Accepted
16.16.2 Which monitoring software is used to create alerts when intrusion attempts are suspected?	2. Cloudflare & Rackspace Intrusion detection	Accepted
16.16.3 Are designated staff responsible for receiving and urgently responding to these alerts?	3. Yes	Accepted
16.16.4 Have clear procedures been established for identifying and responding to security incidents?	4. Yes	Accepted
16.16.5 Is all security sensitive software, such as operating systems and databases, kept up to date with the latest software patches? Please indicate how regularly updates are applied.	5. Yes, ongoing	Accepted
16.16.6 List procedures and software tools in place to prevent or detect and eliminate interference from malicious code, such as viruses?	6. Virus detection on uploading files	Accepted
16.17 Is a system log maintained by the service provider that details: 16.17.1 User access 16.17.2 User activity 16.17.3 Error messages 16.17.4 Security violations?	Yes to all	Accepted
16.18 Is this log available to the customer?	No	Accepted

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	Question	Supplier Response	Evaluator's Comment
16.19	Have there been any successful unauthorised access attempts been made during the last year? If Yes: 16.19.1 What was the effect on the business and users? 16.19.2 What steps are in place to prevent this happening in future?	No	Accepted
16.20	Is penetration testing regularly carried out by (please indicate frequency of tests): 16.20.1 Staff specialising in this field? 16.20.2 External specialists? 16.20.3 Are procedures in place to ensure that any weaknesses found by penetration testing are addressed quickly? 16.20.4 If penetration testing by a specialist is not performed regularly, please indicate the main procedures in place to identify weaknesses?	Yes, annually and with major releases 1. Yes 2. Yes 3. Yes 4. N/A	Accepted
16.21	Are security procedures regularly reviewed? Please indicate frequency of reviews.	GDPR company retained for this purpose	Accepted
16.22	Are users automatically logged off after a pre-set time not using the system? 16.22.1 Can the time period be changed? 16.22.2 Can any information be viewed without being logged in, including after logging off, if so what information?	Yes 1. Yes 2. No	Confirmed Confirmed

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Question	Supplier Response	Evaluator's Comment
16.23 Data validation 16.23.1 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?	1. User data is validated to ensure in the correct format to allow import and individual credentials need to be input into e.g. Xero or QBO to link files	Accepted
16.23.2 To what extent is data input by users validated by routines running on the server before data files are updated?	2. See above	Accepted
16.23.3 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?	3. - Yes - Yes	Accepted
16.23.4 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?	4. Yes, they are run through validation and Anti-Virus scanner before update.	Accepted
16.24 Are system messages clear?	Yes	Confirmed
16.25 Are user responses properly structured to ensure that erroneous input does not lead to inappropriate actions?	Yes	Confirmed

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Question	Supplier Response	Evaluator's Comment
16.26 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	
16.26.1 Are alerts sent to technical support staff when incidents occur to enable data update problems to be investigated and resolved?	1. Yes	Accepted
16.26.2 Are messages provided to users clearly explaining whether the data entry or file upload has been processed successfully or not?	2. All validation errors are shown to the user. Successful data entries are shown where functionally required.	Accepted

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Question	Supplier Response	Evaluator's Comment
16.27 Explain the procedures in place to ensure the security of customer data held by the service provider, in particular:-		
16.27.1 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 systems?	1. Access credentials only provided to senior and trusted staff	Accepted
16.27.2 Is there sufficient segregation of duties preventing system developers from accessing and changing live applications and data files?	2. Yes	Accepted
16.27.3 Are there sufficient review and approval procedures covering system operations staff when emergency changes need to be made to live applications and data?	3. Yes	Accepted
16.27.4 Is an audit trail always maintained of these emergency changes?	4. Yes	Accepted
16.27.5 What procedures are in place when members of staff leave to ensure that their system access is stopped?	5. Credentials deleted / removed	Accepted
16.28 What are the physical controls over the:- 16.28.1 Premises? 16.28.2 Fileservers? 16.28.3 Communications equipment?	Host provided https://www.rackspace.com/en-gb/compliance

This link has reference to Physical Security, Environmental controls, Network infrastructure, Human Resources and Operations Security | Accepted |
| | | |

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	Question	Supplier Response	Evaluator's Comment
16.29	Is Internet communication traffic monitored to identify potential problems before they happen?	Hosted provided Logs are provided and reviewed. There is no live monitoring by MyWorkPapers staff.	Accepted
16.30	What procedures are in place to prevent a break in Internet Connection (at the server, client or in between) from causing data corruption?	The application saves as you work on it, i.e. there is no save button and work / typing / input is saved as you work instantaneously. The likely hood of lost input is minimal, if at all.	Accepted
16.31	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?	No	Confirmed

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Question	Supplier Response	Evaluator's Comment
16.32 Backups by service provider:		
16.32.1 Explain the backup procedures applied by the service provider including:	1. Backup procedure includes server, client files and database.	Accepted
16.32.2 Are backup procedures automatic?	2. Yes	Accepted
16.32.3 What is backed up and how frequently?	3. Database (daily), Client files (daily)	Accepted
16.32.4 The backup media used for the main backups?	4. Cloud storage and offsite hard drives.	Accepted
16.32.5 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.	5. 3 months cloud storage files and database.	Accepted
16.32.6 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?	6. Cloud storage service and offsite secure storage	Accepted
16.32.7 How frequently backups are tested?	7. Monthly	Accepted

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Question	Supplier Response	Evaluator's Comment
16.33 Backups by users: 16.33.1 Is it possible for users to download a backup of their own data?	1. Yes	Confirmed
16.33.2 If so, is the downloaded data in a format which can be viewed with relative ease in other software, e.g. spreadsheets?	2. Yes, all programmes are in PDF format, supporting documents are exported in their source format	Confirmed
16.33.3 Is the user forced or prompted to backup at certain intervals?	3. No	Confirmed
16.33.4 Can the intervals be customised?	4. N/A	N/A
16.33.5 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.	5. N/A	N/A
16.33.6 Are there facilities to test recovery with user managed backups?	6. N/A	N/A

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Question	Supplier Response	Evaluator's Comment
16.34 Are contingency plans in place to enable a quick recovery from:		
16.34.1 Database or application software corruption?	1. Yes	Accepted
16.34.2 Hardware failure or theft?	2. N/A – Host provided	Accepted
16.34.3 Fire, flood and other disasters?	3. N/A – Host provided	Accepted
16.34.4 Communication failures?	4. N/A – Host provided	Accepted
16.34.5 How often are these plans tested?	5. Regularly – at least quarterly	
16.34.6 What is the longest period of time envisaged that service may not be available?	6. 1 business day	Accepted
16.34.7 Are contingency plans documented?	7. Yes	Accepted
16.34.8 How often are these plans reviewed and updated?	8. Annual reviews are conducted in conjunction with external consultants on retainer with our company as required, in addition to standard annual reviews	Accepted
16.34.9 If transaction records are dated and time stamped are the times used local to the user or based on where the server is located?	9. By server date and time	Accepted

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Question	Supplier Response	Evaluator's Comment
16.35 Application change management:- 16.35.1 Do application changes automatically apply to all customers and users?	1. Yes	Accepted
16.35.2 Are users able to test beta versions of the application before new versions go into live use?	2. Yes	Accepted
16.35.3 Are users given notice before application changes are applied to the live system?	3. Yes	Accepted
16.35.4 Are there sufficient internal testing and approval procedures applied by the service provider before all application changes are put into live use?	4. Yes	Accepted
16.35.5 Are users informed when they next login of the application changes that have gone into live use?	5. No	Accepted
16.35.6 Are sufficient application and data backups maintained to enable a roll back to an earlier version if recent application changes cause problems?	6. Yes	Accepted
16.36 Reliance on key staff: What steps have been taken to avoid undue reliance on individual members of staff?	Cross training of key functions and documented processes and procedures available in shared locations	Accepted
16.37 What protection is in place to enable users to be 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?	Notice would be given to enable a backup to zip files of all data.	Accepted

Question	Supplier Response	Evaluator's Comment
16.38 Do these arrangements include: -		
16.38.1 Standby arrangements for another organisation to continue providing the full service?	No	Accepted
16.38.2 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?	Yes	Accepted
16.38.3 Up to date copy of system documentation, source code, scripts, database schema and procedures lodged with a third party under an Escrow agreement?	No	Accepted
16.39 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?	Hosting is by Rackspace – a T1 hosting provider - and covered by their Service Level Guarantee.	Accepted
16.39.1 If so how long does the arrangement allow?	Hosting contracts are month by month. We would take as long as we want and then give one months' notice to cancel.	
16.40 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?	No	Accepted

Question	Supplier Response	Evaluator's Comment
16.41 Are there any licence or trading agreements which would become invalid should the service provider go into administration or cease trading? 16.41.1 If so what steps have been taken to protect customers from the impact of this situation arising?	There are licences with third party content providers, but the end users could still use the majority of the content in a different format e.g. paper based.	Accepted
16.42 What payment options are available for using the software / service?	Credit Card, Funds Transfer/EFT via Stripe	Confirmed
16.43 Where online subscription is used, are the forms used to set-up or renew a subscription clear and straightforward to use?	N/A	N/A
16.44 Where online payment is used, what type of security is used to protect sensitive information?	Only Via Stripe – which has a rigorous compliance regime; see https://stripe.com/docs/security	Accepted
16.45 Where online subscription / payment is used, is an invoice provided to the customer and, if so, in what format?	Emailed as a PDF – with link to Stripe or direct payment to bank	Accepted
16.46 When subscriptions (if applicable) need to be renewed, what advance notice is provided and what is the time limit for renewal?	60 day alert to say renewal invoice will be issued	Accepted
	30 days renewal invoice is issued	Accepted
	14 days reminder if renewal invoice has not been actioned/paid	Accepted
	7 days final reminder (and task set for phone call)	Accepted

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	Question	Supplier Response	Evaluator's Comment
16.47	Is there a procedure for late renewal and is there a time limit after which subscriptions cannot be renewed?	A renewal can be reinstated at any time after lapsing, if the plan is no longer available, a similar subscription will be offered	Accepted
16.48	How soon after creating or renewing a subscription (if applicable) can the system / service be used?	Immediately	Accepted
16.49	What notifications / confirmations are provided to the customer regarding subscriptions and payments?	Email confirmation is provided to confirm payment Tax invoice is provided	Accepted
16.50	To what extent are users able to access their questionnaires, documents and other data if: 16.50.1 They miss one or two payments? 16.50.2 They cease being customers?	Read-only – as per terms and conditions	Accepted

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Question	Supplier Response	Evaluator's Comment

17 Reports extra questions for Saas

17.1 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	Confirmed
17.2 Is access to the reporting facilities and data these use controlled by the same procedures as access to the main financial applications? 17.2.1 If it is different explain the user access control facilities available to ensure information is only viewed by users with appropriate authority?	Yes	Confirmed
17.3 In what electronic formats are reports produced:- 17.3.1 PDF? 17.3.2 MS Word (DOCX) format? 17.3.3 Rich text (RTF)? 17.3.4 MS Excel (XLSX)? 17.3.5 CSV file? 17.3.6 As HTML for viewing in a web browser? 17.3.7 Other, please specify?	1. PDF – Yes 2. MS Word – No (unless source document was in Word format) 3. RTF – No 4. XLSX – Yes 5. CSV – Yes 6. HTML - No	Confirmed

	Question	Supplier Response	Evaluator's Comment
17.4	Are report documents stored on the Supplier's server or on the user's computer?	Suppliers server	
	17.4.1 If report documents are stored on the server are they secure to ensure only users with appropriate authority can get access?	1. Yes	Accepted
	17.4.2 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?	2. No	Confirmed
17.5	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:-	Yes for preview of document/excel files. Temp files are created on the MS server and removed when closed.	Accepted
	17.5.1 Is there any protection against other users viewing the report or data on which it is based?	1. Yes access only to logged in client specific users.	
	17.5.2 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?	2. No date of production on the displayed report when printed but the files in the zip will have a last modified date	Confirmed
17.6	Are communications between the browser and the server encrypted for any report related communications?	Yes	Accepted

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Question	**Supplier Response**	**Evaluator's Comment**
17.7 If reports are produced dynamically each time the user views them can historical reports be reproduced at any time? 17.7.1 Indicate any reports that are not available after a period of time has elapsed, e.g. events such as period end or records have been purged/deleted.	N/A	N/A
17.8 Can reports viewable in a browser be navigated dynamically by users? For example: - 17.8.1 Enabling drill down to more detailed information (Please state the extent of drill down/across functionality available). 17.8.2 Altering which columns and rows of data are displayed. 17.8.3 Choosing time periods. 17.8.4 Specifying selection criteria.	Yes 1. In P+L, Balance sheet and lead schedule summary reports users can expand to show all data affecting relevant balances 2. No 3. No 4. No	Accepted
17.9 Can report data be reliably copied and pasted direct from browser viewable reports to an MS Excel spreadsheet retaining any table layout?	Not files as PDF – but files exported in Excel format can be opened in that application. There is no sensible reason to want to open a PDF file in Excel	Accepted
17.10 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?	No – if a customer is attempting to download a large report they will be advised when the report is ready to be downloaded	Accepted