Ref	Requirement	
	<u>HEADER</u>	
	ICAEW Technical Accreditation Scheme "Data Audit & Analysis" Software Evaluation	
	MindBridge Analytics Inc.	
	MindBridge	
	February 2020	
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	GLOBAL REQUIREMENTS:	
<u>3</u>	Access and Security	
<u>4</u>	Data processing and reporting	
<u>5</u>	Usability	
<u>6</u>	Hosted and SaaS operation (if applicable)	
	SPECIFIC REQUIREMENTS:	
<u>7</u>	Data audit and analysis	

Ref	Requirement	Response	Reviewer Comments
1.	INTRODUCTION AND PROLOGUE	Кезропзе	neviewer comments
	MINOSOCIION AND I NOLOGOL		
Introductio	n .		
1.01	The suitability of software for each particular user will always be		
1.01	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		
1.00	suppliers should also be considered at the onset.		
1.02	Fundamentally, good software should:		
	1. Be capable of supporting the functions for which it was designed.		
	2. Provide facilities to ensure the completeness, accuracy,		
	confidentiality and continued integrity of these functions.		
	3. Be effectively supported and maintained.		
	It is also desirable that good software should:		
	5. Be easy to learn, understand and operate.		
	5. Make best practical use of available resources.		
	6. Accommodate limited changes to reflect specific user		
	requirements.		
	It is essential, when software is implemented, for appropriate		
	support and training to be available.		
	11		
Approach t	o Evaluation		
1.03	The objective is to evaluate a product 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.		
1.04	In order to effectively evaluate the software, a product specialist		
	from the vendor completed the detailed questionnaire and		
	provided it to the ICAEW to examine. The ICAEW's Scheme		
	Technical Manager then reviewed the operation of the various		
	aspects of the software assisted by a member of the vendor's		
	technical staff and checked the answers to confirm their validity.		
	The questions were individually reviewed and commented on and		
	the majority of assessments were confirmed.		
	the majority of assessments were committed.		
1.05	The Technical Manager discussed the assessment with a member of		
1.00	the vendor's staff in order to clarify any points requiring further		
	information. In the event of disagreement between the supplier		
	and the Technical Manager, the Technical Manager's decision was		
	taken as final and the response changed accordingly.		
1.06	The latest version of the software was used throughout the		
1.00	evaluation.		
1.07	When the evaluation had been completed, a draft copy was sent to		
1.07	the ICAEW Scheme Manager for review before completion of the		
Drologues 8	final report.		
	Matters to consider before purchase	MindDridgolo Ai Auditor in a coffee and all the annual and a	
1.08	General Overview:	MindBridge's Ai Auditor is a software platform used to	
		enable auditors to gain reasonable assurance,	
		supplemented by AI and Machine Learning. Ai	
		Auditor's cloud based system provides comprehensive	
		data exploration tools, and can be used by auditors,	
		accountants, and business advisors to improve the	
		service that they provide to their clients.	
1.09	Supplier background:	Headquartered in Ottawa, Canada, MindBridge has	
		been used by over 250 audit firms worldwide to	
		provide better service to their clients.	
1.10	Product background and suitability for the user:	Developed as an anomaly detection tool, MindBridge	
		helps its customers understand the transactional	
		flows and performance of businesses. Ai Auditor's first	
		core analysis was bringing insights from general ledger	
		data sets, but recently Ai Auditor has added to its	
		range of analytics and datasets, including accounts	
		payable and accounts receivable analysis.	
1.11	Add-on modules:	Ai Auditor has no add-on modules.	
1.12	Typical implementation [size]:	Ai Auditor is implemented at a variety of sizes, from	
		small single practice firms to some of the largest firms	
		in the UK.	
1.13	Vertical applications:	There are no vertical applications.	
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1.	INTRODUCTION AND PROLOGUE		
1.14	Server platform and database:	As Ai Auditor is hosted by MindBridge, and provided	
		as a service, the client does not require any server	
		platform or database technology.	
1.15	Client specification required:	MindBridge directly tests on all of the most recent	
		versions of Chrome, Firefox, and IE11, and	
		recommend that our clients use the most up to date	
		versions of each of these. MindBridge does not,	
		however, have a minimum specifications list, and	
		ensures basic useability on a wide variety of browsers	
		and versions.	
1.16	Partner network:	MindBridge has active partners in Benelux, Germany,	
		and USA for certain verticals. MindBridge is also	
		growing its partner network to enable support in a	
		wide variety of markets.	

Response  2. ISSES AND CONCLUSION  Highlighted limitations  2.01 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 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 husteness with certain positionenss.  2.02. The following weakness/omissions were identified:  1 There is no native integration with Microsoft's AD, but this can be undertaken by Mindbridge as part of the implementation.  5 full details of changes to standing data do not appear in the audit log, but Mindbridge breakup the customer environment on a daily basis and can restore this for a customer environment on a daily basis and can restore this for a customer environment on a daily basis and can restore this for a customer environment on customicable branding, the use of function keys, user-defined fields, workflows, or the ability to amend the Jayoust of forms.  Mindbridge does not offer ESCROW for the software, but this is not unusual for a SaaS service.  Mindbridge does not offer ESCROW for the software, but this is not unusual for a SaaS service.  Mindbridge does not offer ESCROW for the software, but this is not unusual for a SaaS service.  There is no fixed Sta with regard to uptime within the terms of use and customers are not necessarily made aware in advance of upgrades to the software.  The system only has direct integration with QuickBooks online and Sage Intacct.  Once a template containing a custom account grouping is used, it cannot be updated. However, the user can create a new template based on the original and make changes to that.  There is no taged the overall audit/engagement progress within the application.  Standard analysis types for POs and GRNs are not provided.  The system does not provide a client po	Reviewer Comments
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portware supplier of its dealers and potential suppliers of other	
similarly specified products. Whilst the contents of this document	
are presented in good faith, neither ICAEW, nor the ICAEW's	
Technical Manager (RSM UK Consulting LLP nor any party	
nominated by the ICAEW to perform this role on the ICAEW's	
behalf) will accept liability for actions taken as a result of comments	
made herein. The decision to purchase software resides entirely	
with the organisation.	

Ref	Requirement	Response	Reviewer Comments
3.	ACCESS AND SECURITY	The sport of the s	neviewer comments
Access con			
3.01	What security features are included to control access to the application?	Application access control includes;  Role based access  Privileged Access Management  Individual user accounts  Password enforcement requirements	Confirmed. Roles of App Admin, Organisation Creator and User, as below.
3.02	Can access to functions be managed via a permissions matrix so users can only see (in menus and other links) and access those areas they are authorised to access?	Application lockout settings     Access and permissions are controlled at the user level. There are three user roles:	Confirmed
	areas they are authorised to access:	1) <b>App Admin</b> has full access to all organisations and engagements in an Ai Auditor tenant, as well as the Admin area. App Admins can change any tenant settings at any time. App admins are also responsible for inviting new users into the system.	
		2) <b>Organization Creator</b> can't access the Admin settings area, see other users, or change their system role. They can, however, create organisations and engagements in the tenant and add pre-existing users into their organizations.	
		3) <b>User</b> can only view the organisations and engagements they've been invited to by an Organization Creator or App Admin. Users can't edit settings, but can add tasks and annotations to an	
3.03	Is this access to the application managed by: Individual user profiles? - User groups or job roles?	Access to the application is managed by individual user profiles	Confirmed
3.04	Can a report be produced detailing all current users, their user groups if relevant, and their authority levels and/or access rights?	Internal to MindBridge: yes. Customers: No specific report, however the App Admin can see all the users and their role in the system through the software.	Confirmed
3.05	If menus can be tailored does the system limit the display of menu options to those for which permission has been granted for each user?	User roles impact user interface elements. Depending on the role you have, you may get different options in the product.	Confirmed
3.06	Does security allow for access to be limited to: - Read only? - Read/write? - Read/amend/delete?	Depending on the user role, different security access are available for a feature in the product. E.g. a 'user' can only view the organisation, whereas an 'organization creator' can create an organisation.	Confirmed
3.07	If data can be accessed by separate reporting facilities, such as ODBC or an external report writer, is the user access security control applied?	Separate reporting interfaces cannot connect to the application data.	Noted
3.08	Does the software require higher or specific levels of user access for: - Access to administrator functions? - Changes to sensitive data, such as customer credit limits?	Yes, only the 'app admin' role has access to the Admin area in the product. App admins can change any tenant settings, invite new users into the system, create libraries through the admin portal.	Confirmed
3.09	Does the system require specific security roles for: - Opening/closing accounting periods (if appropriate)? - Deleting transactions? - Archiving transactions? - Importing transactions from external systems?	Only users with the 'organization creator' or 'app admin' role can create engagements and define the engagement's periods. They can also delete or archive engagements. MindBridge as a platform does not record transactions, so opening/closing accounting periods, transaction deletion and archiving are not appropriate in this context. The platform primary purpose is to analyse data provided by a client for the purposes of audit, so once a user has access to an audit engagement they can 'import transactions from external systems'	Confirmed
3.10	Does the system security integrate with Microsoft's Active Directory or other tools that provide a single sign-on?	Authentication and administrative access rights within hosts in the service environments are controlled using an active directory. Microsoft and Google are supported.	
3.11	Does the system provide 2-factor authentication (2FA)?	Ai Auditor supports 2FA through the Google authenticator app.	Confirmed as an option in account security. This is the only 2FA option.
3.12	Does the system allow access restriction to be defined based on a customer's IP address(es)?	Ai Auditor does not support IP restriction.	Noted

Ref	Requirement	Response	Reviewer Comments
3.	ACCESS AND SECURITY		
Passwords a	and access logs		
3.13	Is access to the software controlled by password?	All users are required to provide valid username and	Confirmed
		password to use the product.	- 6
3.14	Does each user have a separate log on (user id)?	Each user requires a separate log on.	Confirmed
5.15	If there is no password facility please state how confidentiality and accessibility control is maintained within the software?	N/A	-
3.16	Are passwords masked for any user logging in?	Yes.	Confirmed
3.17	Is password complexity available and enforced?	Yes.	Confirmed
		Min/max age, minimum length, password history size,	
		and whether to require complex passwords are	
		configurable by MindBridge for a particular email	
2.10	How many provious passwords are retained?	domain.	Noted
3.18	How many previous passwords are retained?  Are passwords encrypted?	Five Data at rest is encrypted using AES-256. Data	Noted Noted
3.13	Are passwords entrypted:	encryption is applied at the volume level using an	Noted
		environment specific key managed by MindBridge.	
3.20	Are users automatically logged off after a pre-set time not using the		Noted
	system?	system will logout a user after 8 hours of inactivity.	
	- Can the time period be changed?	This setting is not user configurable. No information	
		can be viewed without logging in.	
2.24	after logging off, if so what information?		C (; )
3.21	How does the software track user activity?		Confirmed
		behaviour through the Activity Report.  This report answers the 'who, what, when, where and	
		how' of all the user activities in Ai Auditor.	
Deletion of	transactions	now of all the user activities in Al Additor.	
3.22	Is it possible to delete a transaction?	No. Users can't delete transactions through Ai	Noted. No option to delete
			transaction log.
			Note that transactions are
			not processed through the
			software; it just identify
			anomalies in the dataset.
2.22	If an about how and allowing a controlled by the control	21/2	
3.23	If so, then how are deletions controlled by the system?  Are deleted transactions retained in the audit trail (see below) and	N/A	-
3.24	denoted as such?	IN/A	-
Audit trails	acrioted as such;		
3.25	Does the system have an audit trail (log) which records all changes	Yes	Confirmed
	to transactions in the system?		
3.26	Does this log also record any system error messages and/or any	Yes, but the user does not have access to this.	Noted
	security violations?		
3.27	Is it possible to turn off or delete the audit trail?	No	Noted. No option to delete
3.28	Does the software allocate a system generated sequential unique	Yes, but not always shown on audit reports.	transaction log. Noted
3.20	reference number to each transaction in the audit log, date and	res, but not always shown on addit reports.	Noteu
	time stamp it and record the user id?		
3.29	Are all master file changes recorded in the audit trail?	Every change to a piece of data is logged, standing and	Noted. Activity report
		transactional data.	shows that a change has
			happened but not what
			has changed; Mindbridge
			can see this information if
2.22	And insuranted finterfered to a section of the St. 11. 11. 11. 11. 11.	Vec wated as Himporties accorded	required.
3.30	Are imported /interfaced transactions detailed in the audit trail?	Yes, noted as "ingestion events".	Confirmed
3.31	If yes, then how are imported/interfaced transactions differentiated	Event type, user and timestamp.	Confirmed
""	within the audit trail?		
Compliance			
3.32	Does the system operate in a way that is compliant with data	From May 2018 the General Data Protection	Noted
	protection legislation including GDPR? How does the system	Regulation (GDPR) came into effect in the European	
	facilitate this?	Union. Mindbridge is committed to helping its	
		customers comply with the GDPR.	
		Antic direction and transport to the state of the state o	
		MindBridge online services and MindBridge	
		operations are GDPR compliant. MindBridge online services are business to business services. Two	
		classes of personal data are processed by our services:	
		Data about the users of the MindBridge services	
		including user profiles and logs of user activity. For	
		this data, MindBridge acts as a controller.	
		User data (or data loaded into the tool by our	
		subscribers). For this data, MindBridge acts as a	
		processor.	

Ref	Requirement	Response	Reviewer Comments
3.	ACCESS AND SECURITY		
3.33	Describe your use of sub-processors if any?	We rely on our cloud hosting provider as a	Noted
		subprocessor of data.	
ckup and	d recovery		
3.34	Is there a clear indication in the software or manuals as to how the	Back-up and recovery is handled automatically	Noted
	data is backed-up and recovered?	through our operations team. This is not documented	
		for external consumption but more information can	
		be provided to clients on an as-needed basis	
3.35	Are backup procedures automatic?	Block-level backups are taken at least once daily.	Noted
		Backups are stored with the cloud provider and are	
		encrypted using their storage service encryption. We	
		retain a number of backups up to 30 days old.	
3.36	How often are backups taken and to what point can restores be	See above. Restores can only be done through the	Noted
	done?	MindBridge operations team.	
3.37	Is the user forced or prompted to back-up at certain intervals and if	No	Noted.
	so can these be customised?	s and if No I	Parameters are kept with
			any analysis run and saved
			If a new analysis is
			produced this is kept in
			addition to the previous
			version.
3.38	How does the software facilitate recovery procedures in the event	The application is hosted in redundant environments	Noted
	of software failure? (E.g. roll back to the last completed	and supported via frequent point in time back-ups. In	
	transaction).	the event of a customer failure the operations team is	
		notified and the impacted customer's analyses can be	
		re-run. Transactions aren't posted through the	
		application so there are no concerns around data loss	
		during an outage.	
3.39	If software failure occurs part way through a batch or transaction,	Whilst we do not have a concept of batch transactions	Noted
	will the operator have to re-input the batch or only the transaction	in the way that an ERP system does, we do have the	
	being input at the time of the failure?	ability to rerun analyses without reingesting data	
		when an analysis should fail for whatever reason.	
3.40	What features are available within the software to help track down	Error code notifications; documentation (knowledge	Noted
	processing problems?	base); and in-person support where required	

Ref	Requirement	Response	Reviewer Comments
4.	DATA PROCESSING AND REPORTING		
•	alidation of transactions		
4.01	Is data input controlled by self-explanatory menu options?	Yes, users are guided through the data ingestion	Confimed.
		process via an intuitive user interface with supporting	However, note that there
		information & options on-screen, and direct access to	is no direct input of
		support content throughout the import process	transactions. These are
			imported from a third-
			party finance system and then the software checks
			for anomalies.
4.02	Are these menus user/role-specific?	Yes, all users with the ability to create new	See 4.01
		engagements access the same functionality	
4.03	Can the creation or amendment of standing data (e.g. customer	The data import process is entirely using a data import	See 4.01
	account details) be undertaken using menu options or dialogue	screen that requires no configuration to import data.	
	boxes as opposed to requiring system configuration?		
4.04	Does the software provide input validation checks such as:	Users can review account mapping, data quality /	Confirmed. Analysis
	- [account] code validation?	validation checks and configure settings such as	function has a series of
	- reasonableness limits?	materiality thresholds before analysis. Post analysis	balance checks.
4.05	- validity checks?  What control features are within the software to ensure	balance checks are available. Pre-analysis data integrity checks, post-analysis	Confirmed. System has a
7.03	completeness and accuracy of data input?	completeness reports, and system generated financial	series of TB and GL
	The state of the s	statements can be compared against the client's	balance check functions
		supplied trial balances.	(with on-screen reports).
4.06	How does the software ensure uniqueness of the input	Pre-analysis transaction specific integrity checks are	Confirmed. One of the
	transactions? (i.e. to avoid duplicate transactions)	conducted; MindBridge Analysis includes	control points is a
		identification of duplicates.	duplicate check.
	Is data input by users validated by scripts or routines in the	N/A, users do not enter information into the system	Noted. Data is validated by
	browser, or other client software, before transmission to the	that is then placed back into the clients system.	the server.
4.00	server?	Due and the data into mite the design of a most of a	NI-L-I
4.08	Is data input by users validated by routines running on the server before data files are updated?	Pre-analysis data integrity checks are performed on client data before an analysis is run. Materiality is	Noted
	before data files are updated:	input by user but not validated.	
4.09	Does the above validation ensure that data entered in all input	The system will provide error messages if it detects a	Confirmed. The input
1.05	boxes:	bad character in an uploaded file that prevents an	boxes provide restrictions
	- Cannot be longer than a maximum length?	analysis or causes an analysis to be terminated. There	as to the data that can be
	- Cannot contain unaccepted characters such as semi-colons etc?	are no other instances where rules-based data input	input and text lengths.
		validation would be appropriate in the tool.	
			0 0 1
4.10	Are input errors highlighted?	Yes, either through pre-analysis warnings/errors or	Confimed
		errors that occur during the analysis; these relate to	
4.11	If Yes are they:	issues in uploaded files for analysis. Yes, errors are generated on screen. Specific error	Confimed. Error messages
	- Rejected and error report generated on-screen?	messages can also be viewed from with a file import	on-screen.
	- Rejected and error reports generated?	summary screen by the user.	
	- Accepted and posted to a temporary account/area?	, ,	
4.12	Are responses to erroneous data input clear so that they do not	Yes, when possible. E.g. ambiguous date fields receive	Confimed
	lead to inappropriate actions?	specific messaging and unsupported file formats are	
		identified.	
4.13	Does the software have an automatic facility to	N/A. The system does not automatically adjust	Noted.
	correct/reverse/delete transactions?	transactional information. E.g. the system won't	However, note that
		automatically reverse or correct transactions	transactions are not
			processed through the
			software; it just identify anomalies in the dataset.
4.14	If yes, are these logged in the audit trail?	N/A	-
	Are all data entries or file insertions and updates controlled to	The system has required columns depending on the	Confirmed. An analysis will
	ensure that should part of a data entry fail the whole transaction	analysis type that will prevent an analysis from being	either complete or not;
	fails?	performed if data is missing. As MindBridge is not a	there is no part-pass.
		system of record, there is no transaction entry that	
		would require a control such as this to be in place.	
4.10	Are played contito technical support stoff when incidents possess	Voc. arrar lags are generated and resistant by	Noted
	Are alerts sent to technical support staff when incidents occur to	Yes, error logs are generated and reviewed by members of the technical support staff.	Noted
	enable data update problems to be investigated and resolved?	members of the technical support Staff.	
4.17	Are messages provided to users clearly explaining whether the data	Yes, success and failure messages are provided in the	Confimed
	entry or file upload has been processed successfully or not?	user interface.	
	, 11, 11, 11, 11, 11, 11, 11, 11, 11, 1		
	export of data		
import and		NI/A NASS ADDITION OF THE CONTRACT OF THE CONT	Natad
	For import/batch functions does the software allow for control	N/A; MindBridge analysis explicitly considers whether	Noted
4.18	totals, and if so must this balance before transactions are	transactions balance, and highlights where this is not	Noted
4.18	totals, and if so must this balance before transactions are posted/updated?	transactions balance, and highlights where this is not the case to the user.	
4.18	totals, and if so must this balance before transactions are	transactions balance, and highlights where this is not	Confirmed. See 4.13 above

- Dof	Doguiroment	Decrease	Daviouer Comments
Ref	Requirement	Response	Reviewer Comments
4.	DATA PROCESSING AND REPORTING		
4.20	Is there an additional charge made for storage of uploaded files?	N/A	-
	- If yes, please indicate the cost.		
4.21	Can data be imported into the system from multiple types of files,	Yes, XLSX, CSV and delimited text files are supported	Confirmed
	e.g. XLS, text, CSV?	for import.	
4.22		As data is imported, it goes through a variety of steps	Confirmed. Part of the
	happens to any import which fails?	and parses to determine appropriate file type and	integrity checks in
		structure. If an import fails, the user receives an error	"snapshot of your data".
		message or warning in-app.	
4.23	Are imported /interfaced transactions detailed in the audit trail?	All transactions present in the data file are imported	Confirmed
	[See also 3.27]	into the system, however only selected/sampled	
		transactions will appear in the audit plan (audit trail).	
4.24	Can data be exported from all areas of the system to multiple	Data can be exported from the system into .xlsx	Confirmed
	formats e.g. XLS, CSV, PDF, text; if so specify which formats are	format from a number of visualizations and data	
	supported?	tables.	
Data proces	sing		
4.25	Does the software ensure that menu options or programs are	N/A	There are a series of steps
	executed in the correct sequence (e.g. outstanding transactions are		that must be followed in
	processed before month end is run)?		order, e.g. the
	<u> </u>		validation/analysis.
4.26	Does the software provide automatic recalculation, where	N/A	-
	appropriate, of data input? (e.g. VAT)		
4.27	Is a month/period-end routine required to be undertaken?	N/A	-
4.28	Is it possible to delete accounts if the balance if Nil but transactions	•	Noted
	have been recorded against the code?		
4.29	Are there any other constraints over the deletion of accounts?	N/A. Accounts are not deleted in the system.	Noted
4.30	,	No limitations	Noted
	within:-		
	- Ledgers?		
	- Stock?		
	- Currencies?		
4.31	How does the software guard against/warn about duplicate account	MindBridge is not a system of record, so does not 'set	Noted. Mindbridge will
4.51	numbers on set up?	up' accounts. When data is imported, accounts that	check for duplicates.
	Trumbers on see up:	do not have the identical number, name and format	check for duplicates.
		will appear as a unique account.	
4.32	How does the software enable the traceability [from, to and	Source documents uploaded into the system are	Confirmed. Source
4.52	through the accounting records] of any source document or	visible on the engagement page. Transaction that are	transactions used can be
	interfaced transaction?	selected for testing can be exported from the system	seen within the audit plan.
4.33	What drill down around functionality is available within the	for testing by audit team members.	Confirmed. Can drill
4.33	What drill down/around functionality is available within the	9 ,	
	software?	and where is risk), to account level insights (account	through to the transaction.
		balance + risk), to transactional level analysis to	
4.24	Anna dhanna na na antan chiada i dan atifa a Haba a fi abba chiada na banna ha an	individual entry details	Cf:
4.34	Are there reports which identify all the fields which have been	Yes, whilst entry detail information cannot be	Confirmed
	modified?	modified, any analysis settings, i.e. control point	
		weightings for risk-scoring that are user configurable	
		are accessible through downloadable reports	
	less a la de la dela de		
4.35	If the software uses a lot of standing information which changes	No, MindBridge does not make use of a lot of standing	Confirmed
		information. There is a limited amount of changes	
	be effected through the use of parameters or tables?	which can be input into the system, which is done	
_		through the user interface.	
Report writ			- A :
4.36	Does the system have an in-built report generator or is a third-party		Confirmed
	solution used (if so please specify)?	however the user can use filters on the main data	
		table as well as ratios.	
4.37	Is the report writer based on a standard SQL-type approach and is	The system has an easy to use filter builder using	Confirmed. Query builder
	it flexible and easy to use?	dropdown menus. Reports are most commonly one-	is simple to use and
		button-to-download.	flexible, with an export to
			Excel or CSV.
4.38	Can the report generator operate over the financial and operational	N/A	-
	aspects of the system, e.g. combining service metrics with financial		
	information?		
4.39	Is a comprehensive data dictionary provided to aid field selection?	Users are required to validate fields imported into the	Confirmed. The data
		system, and therefore have sight of the data	mapping is undertaken by
		definitions used. Data is presented in a denormalised	the user. Detail of the
		format so a data dictionary is less useful. Detailed	dataset mappings and
			import process is covered
		fields the MindBridge product requires in order to	in the Mindbridge
		perform its analysis.	knowledge base.
		perioriii its alialysis.	KITOWIEURE DASE.
L	ı		

Ref	Requirement	Response	Reviewer Comments
4.	DATA PROCESSING AND REPORTING		
4.40	Does the system provide a library of reports and templates which	Yes, a library of reports and ratios is available. In	Confirmed
	can be amended, saved and re-run?	addition, filters used on the data table can be saved	
		for future use.	
4.41	Can users create their own reports?	Users and Organization Creators can create and save	Confirmed
	If so, what are the controls on users doing this?	new filters and ratios within their organisations/	
		engagements. However, they cannot share them	
		across the entire tenant.	
		App admins can create and save filters and ratios for	
		use across the entire tenant.	
4.42	Can users create saved searches /filters / queries?	Yes, this is available using the filter builder.	Confirmed
4.43	Can regular reports be added to user menus in the appropriate area	App admins have the ability to save filters and ratios	Confirmed, can save as
	of the system?	for use in other analysis. Users can create reports only	library filters.
		for a specific analysis.	
4.44	Does the system support the production of on demand (interactive)	Users can generate reports/ratios at any time,	Confirmed
	and scheduled batch reports?	however no scheduling functionality exists today.	

Ref	Requirement	Response	Reviewer Comments
5.	USABILITY		
Ease of use			
5.01	Does the solution provide a multi-language user interface?	No, MindBridge currently only offers a single language option (i.e. US - English), though French-language options will be available in 2020.	Confirmed
5.02	Does the system allow for customizable branding and UI (e.g.	No, the system does not offer any customisable	Confirmed
	corporate colour palate, upload company logo, etc)?	branding options.	
5.03	Are the various functions of the software menu-driven, or	Yes, the main navigation systems and controls for	Confirmed
	otherwise easy to initiate?	most sub-level interactions are menu-based (e.g.	
		hamburger menu, dropdown menus) or are easily	
		initiated by users (e.g. toggle buttons, range selectors).	
5.04	Does the system have a similar look and feel and overall and	Yes, design and front-end development practices at	Confirmed
	consistency between screens and modules?	MindBridge leverage an internal component library to	
		ensure consistency of presentation across the product	
F 0F	Is the constant and and an extract an extract an extract an extract an extract and an extract	interface.	C F:
5.05	Is there a standard and consistent meaning to function keys in all sections?	No, the system does not enable use of any function keys or keyboard shortcuts.	Confirmed
5.06	Is data entry easily repeated if similar to previous entry?	Yes, however, there are very few user interactions	Confirmed
3.00	and control coon, repeated in similar to previous citary.	supported by the tool that require repetitive inputs	
		from the user. In the case of the filter builder, where a	
		user is able to enter a string of filter conditions that	
		may be similar to one another, terms are listed in	
		drop down menus. Bulk input options are also	
		available when entering user emails into the system for provision of access.	
5.07	Does the software prevent access to a record while it is being		Confirmed. An analysis
	updated?	settings for an engagement that might impact the	shows a message
			indicating that data has
			changed and the analysis
		to the user until the analysis is re-run. However, in	must be re-run.
		order to re-run analysis, the underlying files must be re-uploaded into the system, at which time the	
		previous analysis will become archived.	
5.08	Is there locking at file or record level?	, ,	Confirmed. If an analysis is
		individual file, analysis, engagement, or organisation (listed in order from most to least granular) from any	run on a dataset where an
			analysis is already running, a second (separate)
			analysis is created and
		- ,	results saved.
F 00	Donath and the second s	No. 4h	C f:
5.09	Does the software allow for the running of reports whilst records are being updated?	No, the configuration of the system is such that any updates to files require the user to re-run an analysis.	Confirmed
	are being updated:	Once the analysis is re-run, any results and reports	
		previously generated by the system can no longer be	
		accessed. New reports are available once the analysis	
		has been completed.	
5.10	Can timestamps or user comments be added to transactions?	Yes, the data table allows users to add tasks to	Confirmed. Tasks and comments can be added to
			the results of an analysis,
		task was created).	but not the source
		,	transactions.
5.11	Is there the ability to store preferences and default values on a per-	Yes. Users with App Admin permissions can establish	Confirmed
	user basis. e.g. department/team/user?	custom libraries, which are templates for filters,	
		ratios, and control points. Within an analysis, users with the appropriate access permissions can save	
		filters at the organisation or library levels.	
5.12	Does the system have the ability to provide user-defined fields with		Confirmed
5.13	associated validation of data input?  Can the system provide user with reminders and notifications e.g.	user-defined fields. Partially. Users are notified of updates occurring	Confirmed. The software
5.15	workflows?		does not provide
		the system does not currently offer functionality for	workflows and alerts.
		users to set reminders.	
5.14	Describe the tools and features available for a power user to make	Power users can buid out custom analysis settings,	Confirmed. The software
	configuration changes such as amending a workflow.	ratios and account groupings that can then be re-used	· ·
5.15	If the system provides workflows, does it have functionality to	by other users of the system N/A	workflows and alerts.
3.13	substitute/delegate authorisations?		
5.16	Is there the ability for users to define and configure layouts of	N/A. MindBridge does not support functionality that	Confirmed
	letters and forms?	allows users to configure letters or forms.	
5.17	Can users save the parameters of searches?	Yes, filters and search parameters are saved.	Confirmed

Ref 5.	Requirement USABILITY	Response	Reviewer Comments
5.18	Does the system have a "universal search" option, allowing a search	No, search capabilities are module specific, allowing a	Confirmed
	to be undertaken over all modules of the system?	user only to search through terms pertaining to a particular set of entities (e.g. transactions).	
5.19	Can the system store menu option 'favourites' on a per user basis?	No, the system has not integrated any favouriting features.	Confirmed
5.20	Can a user open multiple windows accessing the same or different modules of the system?	Yes, a user can open multiple windows for both same and different modules. However changes are not actively pushed to the application by the server, so content on a page displayed in multiple windows will only be updated when a pull request is initiated in a specific window.	Confirmed. A refresh would be required for updates to populate between windows.
5.21	Can more than one software function be performed concurrently?	Yes, more than one function can be performed concurrently. E.g. users may view one analysis while another is processing.	Confirmed
User docur	nentation and training	another is processing.	
5.22	Is a manual provided which is clear, informative, accurate and current?	Yes, all customers have access to our knowledge base, which acts as a manual of educational and informational documents.  In addition, we provide:  - Training documentation  - Product walkthroughs	Confimed. There is an extensive knowledge base.
5.23	Is the manual provided as:	- Tooltips (in tool context-sensitive help) Web-interface and in-tool access.	Confirmed
3.23	- hard copy - on CD - by download - via a web-interface?	web-interface and in-tool access.	Committee
5.24	Does the manual include:  - An index or search facility?  - A guide to basic functions of the software?  - Pictures of screens and layouts?  - Examples?  - A tutorial section?  - Details of any error messages and their meanings?	Yes, the following are available: - Index & search facility - Educational and informational articles for basic functions of the software - Videos reviewing basic functionality of the tool - Pictures & screenshots - Articles of error codes, FAQs etc Case studies (tutorial)	Noted
		In addition, MindBridge has invested in a Learning Management System (LMS). The LMS will include: - Personalized learning paths - On-demand courses - Testing/ knowledge checks - Additional assignment functionality	
5.25	Is context-sensitive help should be available within the system?	Yes, key action items in tool have "tooltips" which a user can select to receive context-sensitive help on the action they are performing.  Additionally, our tool includes product walkthroughs and specific notifications based on page the is on or	Noted
5.26	Is the manual and/or help editable by the user (subject to the permissions matrix)?	function the user is performing.  Our knowledge base is not editable by the user.  However, instructors have the opportunity to tailor training material to suit the needs of the audience for any instructor-led training course.	Noted
5.27	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 (ESCROW)?	All customers have access to our knowledge base of	Noted. This is not unusual for a SaaS service.
5.28	Please detail the training options available?	Training is a key component of our service offerings. We offer both virtual training and in-person training as required. Virtual Training Material: - Onboarding & implementation - Virtual foundational and release training - Live & on-demand customer webinars - Access to library of educational resources  Instructor-led Training: In-Person intensive training (6-8 hour in-person training sessions)	Noted

5.30 Who provides training: Support and maintenance 5.30 De tree from the software sold:	Ref	Requirement	Response	Reviewer Comments
Support and maintenance  5 30 I years the software house?  Vis a Value Added Receiver (VAR) or integrator?  5 31 Deck from the software house?  1 Deck from the software house?  Vis a Value Added Receiver (VAR) or integrator?  5 31 Deck from the software house?  Vis a Value Added Receiver (VAR) or integrator?  5 32 Deck from the software house?  Vis a Value Added Receiver (VAR) or integrator?  5 34 Deck from the software house?  Vis a Value Added Receiver (VAR) or integrator?  5 35 Deck from the software house?  Vis a Value Added Receiver (VAR) or integrator?  5 36 Deck from the software house?  Vis a Value Added Receiver (VAR) or integrator?  5 37 Deck from the software house?  Vis a Value Added Receiver (VAR) or integrator?  5 38 Deck from the software house is a continual to the software house in the software house in the software house in the software house in the software house is a continual to the software house in the softwar	<b>5.</b> 5.29	Who provides training:	Training is provided by our internal team of Customer	Noted
Support and maintenance  5.30 Nov is the product supported:  - Direct from the software house?  - Via a Value Added Reseller (VAR) or integrator?  - Via a Valu				
Source the software outs				
Direct from the software house?   See also 1.16. Mindring has sache partners in Benelux, Germany, and USA for certain verticals, Mindring has also younged its partner entwork to enable supported.   See also 1.16. Mindring has not younged its partner entwork to enable support from the software house?   Via a Value Added Reseller (VAR) or Integrator?   Via a Value Added Reseller (VAR) or Integrator.   Via a Value Added Value Value Added Value Value Added Value Value Added Value Value Value Added Value Val			MindDridge At Auditor and he had through either	Natad Mindhuidea and
See also J. E. Mindfirlige has acrieve partners in genelax, Germany, and USA for certain verticals. Mindfirlige has a log proving its partner network to enables support. In a wide waiter for dimarkets.  I how is the product supported:  Direct from the software house?  - Via a Value Added Reseller (VAR) or integrator?  Via a Value Added Reseller (VAR) or integrator value or inte	5.30			
Salidade				
Sall   How is the product supported:   Mindfeldige Al Auditor can be supported by either the   Sall   Sal		, , ,		training.
Solid   How is the product supported:				Resellers in the UK are not
- Direct from the software house?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Sac a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Integrator?  - Via a Value Added Reseller (VAR) or Value Added Reseller (VAR) or Value Added	5 31	How is the product supported:		
-Via a Value Added Reseller (VAR) or Integrator?  VAR or Integrator). It is our Intention to formally certify VARs and the their local time zones which may not currently be covered directly by Mindfindige as part of our commitment to further enhance our Costomer Support Service function.  5.32 Do VARs have to go through an accreditation process?  5.33 Is the software sold based upon number of named users or a number of concurrent users?  5.34 Is the software sold based upon number of named users or a number of concurrent users?  5.35 The supplier should detail the support cover options available, covering:  The hours provided?  - Associated costs?  - The global regions covered?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated costs and the support requests and how these can be viewed/managed?  - Associated within premier Solutions are further defended and described at high product the support regions and support and product technical issues support.  - Level 3 support consists of fervice enablement (provisioning of the service) and training Level 3 support consists of fervice and the support r	3.51			3.30
in app support directly, and in their local time zones which may not currently be covered directly by Mindfindge as part of our commitment to further enhance our Customer Support Service function.  5.32 Do VARs have to go through an accreditation process?  5.33 Is the software sool based upon number of named users or a number of concurrent users?  5.34 The supplier should detail the support cover options available, covering:  The hours provided?  - Associated costs?  - The global regions covered?  5.35 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.36 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.37 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.38 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.39 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.30 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.30 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.30 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.31 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.32 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.33 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.34 The supplier of the process by which customers raise support requests and how these can be viewed/managed?  5.35 Detail the process by which customers raise support requests and how these can be viewed/managed?  5.36 Detail the process by which customers raise support requests and how these contacts of product by the customer support customer requests and how the product between consists of		- Via a Value Added Reseller (VAR) or Integrator?		
which may not currently be covered directly by Mindisfridge as part of our commitment to further enhance our Customer Support Service function.  5.3.2 Do VARs have to go through an accreditation process?  5.3.3 is the software sold based upon number of named users or a number of concurrent users?  All Auditors is a licensed subscription service and pricing is based on either; number of engagements or data processing volume. Both offer the benefit is not how the service is data processing volume. Both offer the benefit is not how the service is usered in a customer financial analysis, for a unique entity, that may have general ledger, AP and AR files associated with it, not to exceed a 12-month period.  5.3.4 The supplier should detail the support cover options available, covering:  - The hours provided?  - Associated costs?  - The global regions covered?  - Level 3 Support consists of fish tine customer support unapproduct technical issues support.  - Level 3 Support consists of product bug fixes, onepoing maintenance of Infrastructure, product and new product Teatures  - Customer Success Premier Solutions are further defined and described at https://www.mindorlige.ai/products/ai-auditor/premier-solutions/including additional subjoort and product technical issues support.  - Level 3 Support consists of fixel line customer support unapproduct features.  - Customer Success Premier Solutions are further defined and described at https://www.mindorlige.ai/products/ai-auditor/premier-Solutions/ including additional solutions/ai-auditor/premier-Solutions/ including additional solutions/ai-auditor/premier-Solutions are further defined and described at https://www.mindorlige.ai/products/ai-auditor/premier-Solutions/ including additional solutions/ai-auditor/premier-Solutions/ including additional solutions/ai-auditor/premier-Solutions/ including additional solutions/ai-auditor/premier-Solutions/ai-auditor/premier-Solutions/ai-au				
MindBridge as part of our commitment to further enhance our Customer Support Service function.  5.32 Do VARs have to go through an accreditation process? 1 Is the software sold based upon number of named users or a number of concurrent users? 2 A Alkuditor is a licensed subscription service and princing is based on either; number of engagements or data processing volume. Both offer the benefit of volume discounts and unlimited user access. An engagement is a customer financial analysis, for a unique entity, that may have general ledger, As of the number of users as the data processing volume. Both offer the benefit of volume discounts and unlimited user access. An engagement is a customer financial analysis, for a unique entity, that may have general ledger, As of the control of the service and training, covering:  - The hours provided? - Associated costs? - The global regions covered? - Associated costs? - The global regions covered? - Associated onstall a product the functional states support Level 3 Support consists of fast line customer support (usability of product) Level 3 Support consists of product bug fixes, ongoing maintenance of infrastructure, product and new product features.  - Customer Success Premier Solutions are further defined and described at https://www.mindbridge.alproducts/al-auditor/premier-solutions/ including additional straining analogement of the service) and training Level 3 Support consists of service enablement (provisioning of the service) and training Level 3 Support consists of service mablement of the service and training Level 3 Support consists of service scalable and the product before a product technical issues support Level 3 Support consists of service enablement of the service and training Level 3 Support consists of service enablement of the service and training Level 3 Support consists of service enablement of the service and training Level 3 Support consists of service enablement of the service of the service of the service of the service o				
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S.33   Is the software sold based upon number of named users or a number of concurrent users?				
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requests such as MindBridge Service outages; and (b) during Business Hours for all other support requests.  "Business Hours" means Monday through Friday from			and web-based interface (a) twenty-four (24) hours	"
during Business Hours for all other support requests.  "Business Hours" means Monday through Friday from			per day seven (7) days a week for emergency support	
"Business Hours" means Monday through Friday from				
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			, , ,	

Ref	Requirement	Response	Reviewer Comments
5.	USABILITY	тезропас	Neviewer comments
5.36	Please note the methods of support available:	Options available include:	See 5.35
3.50	- Telephone?	- Internet Chat	3.55
	- Internet chat?	- Email	
	- Remote access to customer workstation?	- Voice calls/ Video Calls	
	- Other, please specify?	- Ticketing	
	- Other, please specify:	- In-person meetings (as required) All	
		of the above methods of support are available to end	
		clients per their preference. Explicit written	
		permission must always be granted prior to delivering	
		support in the form of remote access to a client's	
5.37	Do you offer service credits for failure to meet performance around	tenant No, service credits are not included in our standard	Noted
3.37	SLA and uptime (if applicable)	contracts.	
5.38	What is your escalation path for tickets which have not been	In the event of an emergency support incident or	Noted. Mindbridge has a
	resolved within a reasonable time?	other exceptional circumstances, the Subscriber	weekly triage process to
		•	address any outstanding
		one of either senior identified individuals within	bugs and support tickets.
		Customer Support, or the Business Prime within their	augo and support tiences.
		SLA.	
5.39	How often are general software enhancements provided?	General software enhancements are provided on a	Noted. Hot-fixes are done
		monthly basis. More robust functionality releases	as required. No formal
		occur every 2-3 months.	release schedule but
		occur ever, 2 o monuno	changes in the first quarter
			are minimised.
5.40	Will they be given free of charge?	All enhancements are pushed to active subscription	Noted
		holding client tenants.	
5.41	How are enhancements and bug fixes provided to customers?	MindBridge performs Scheduled Maintenance outside	Noted.
		of normal Monday to Friday business hours EST,	In the background.
		unless an emergency occurs.	
5.42	Is "hot line" support to assist with immediate problem solving	Currently, clients leverage their identified escalation	Noted.
	available?	contacts for any urgent support needs.	
5.43	If so, is there an additional cost involved?		Noted.
	, ,	support.	
5.44	At what times will this support be available?	Office hours, 9 a.m. to 5 p.m. Eastern Standard Time	Noted.
		and Greenwich Mean Time, excluding UK bank	
		holidays.	
5.45	Is hardware and maintenance provided by:	All maintenance is provided directly by the vendor.	Noted. All maintenance to
	- Software House?		the platform is undertaken
	- VAR?		by Mindbridge.
			End user hardware /
			software maintenance is
			the user's responsibility.
			the user's responsibility.
5.46	Are there specific restrictive conditions in the license for the	Select resellers offer a restricted version of the	Noted. Not applicable to
	software?	software however it is clearly stated.	the UK.
Integration	and www facilities		
5.47	Are the different modules of the system fully integrated (i.e. no set-	Yes, all analysis modules are available from a single	Confirmed
	up effort required in order to use the various modules together)?	interface and can be enabled by the user without any	
		custom setup.	
5.48	Are they integrated on real time basis or batch basis?	N/A, the analysis modules each require different data	Confirmed. The
		types and do not have interdependencies that require	
		ongoing synchronisation.	integrated.
5.49	Can the software be linked to other packages e.g. word processing,	The software can export visualizations, raw data or	Confirmed
	graphics, financial modelling, to provide alternative display and	formatted reports into spreadsheet format so that	
	reporting facilities?	other packages can be used. MindBridge does not	
		provide a direct outward link to other software.	
5.50	Can definable links to spreadsheets be created?	No, all data used within the application must be	Confirmed
	·	loaded into the application and any results that are	
		exported from the system no longer have any live	
		connection back to the source analysis	
5.51	Does the system provide secure document storage capability:	The product currently only stores structured data	Noted. The solution only
	If so, please give examples of the document types saved and what	sources.	stores the data that it
	transactions these might relate to.		uses. It is not a document
			management repository.
5.52	Can documents be scanned into a secure repository?	No	Confirmed
5.53	Does the system provide data migration tools for transactional and	For Inbound data yes, the application provides tooling	Confirmed. Data is
	master data sets (e.g. employees customers, suppliers, journals,	to support required transformations as well as	ingested and Excel/CSV
	invoices).	extensive documentation around supported data	utputs of analytic results
	,	structures. Data analysed in the MindBridge tool can	are available.
		be exported for investigation purposes and use in	
		other analysis tools, but outbound migration of	
		master data is not natively supported.	
		master data is not natively supported.	
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Ref	Requirement	Response	<b>Reviewer Comments</b>
5.	USABILITY		
5.54	What connection mechanisms does the software have and what breadth of functionality in terms of: - operations (add, update, delete)? and - what transactions/data it can access? E.g. if webservices APIs available, then can customers connect to whatever software they wish?	,	Noted. Connectivity is purely in terms of data transfer from Intacct or Quickbooks.
5.55	Is the software compatible with XML standards? If so in what respect? (input/ output/ other)?	No	Noted
5.56	Does the system support mobile working?	The application is browser based and although not stated as formal conformance point, it does work on some modern device browsers.	Noted. Screen size may be a limitation; it isn't really suitable for mobile browsers.

Ref	Requirement	Response	Reviewer Comments
6.	SAAS/HOSTED OPERATION		
	s and customer data		
6.01	Whose data centres are used and where are these located:  - If hosted where data centre controlled by a third-party?  - If SaaS where the software vendor will be in control?	The application is hosted within Microsoft Azure data centres.  Data centres are currently deployed in multiple geographies including USA, Canada, Netherlands and Ireland.	Noted
6.02	Does the customer get a choice of the jurisdiction in which their data resides?	Customers may choose a jurisdiction where their data resides based on the following;  • EU customers are served from Ireland and Netherlands.  • USA customers leverage the USA data centre.  • Canadian or customers from other countries are	Noted
6.03	What certification(s) do you hold relating to your data centres and your business operations?	hosted in the Canadian data centre.  MindBridge - SOC 2 Type 2: Security, Confidentiality, Privacy, Processing Integrity & Availability.  Microsoft Azure - ISO 27001, ISO 27017, ISO 27018, SOC 2 Type 2, CSA STAR Certification, +more	Noted
6.04	ls an SSAE16 (System and Organisation Controls) report available?	Yes. Our SOC 2 Type 2 is available upon request under NDA.	Noted
6.05	What are the physical controls over the: The premises? - Fileservers? - Communications equipment?	physical controls are provided by Microsoft Azure.	Noted
6.06	Is the space in this/these data centre(s) shared with any other companies?	Yes. Azure is a public cloud. https://azure.microsoft.com/en-us/overview	Noted. Azure supports multiple clients. The environment is provided by Microsoft.
6.07	Is data for different customers/companies kept: On separate servers? - In different databases? - In separate database tables? - In a database with data for other customers and companies using logical security to partition customers' data?	Each customer is provided with their own database.	Noted. Each customer operates in their own separate container.
6.08	How is it ensured that data for different customers and companies is reliably identifiable and only accessed by authorised users for each customer/company?	Each customer's data is stored in its own database and the application server enforces tenant isolation for all requests. There is full isolation between different customers data in the system and no data can be copied from one customer environment to another.	Noted
6.09	What controls are in place to prevent users from one customer/company accessing data from another customer/company by accident or by design?	All application access passes through an application server that enforces tenant isolation based on the user's tenant membership. Customers can optionally enable restrictions on which email domains are allowed to be added to their tenant as users.	Noted
6.10	How is [Internet] communication traffic monitored to identify potential problems before they happen: - From a performance perspective? - From a security standpoint?	Detailed application and system logs are captured, and the operations team is alerted to any critical events through visual alarms in the office. Additional external penetration tests are performed every 6 months.	Noted. Mindbridge reported that there are dashboards showing key KPIs for each customer environment.
6.11	What procedures are in place to prevent a break in Internet Connection (at the server, client or in between) from causing data corruption?	Monitoring software is used to identify and evaluate ongoing system performance, capacity, security threats, changing resource utilization needs and unusual system activity.  Additionally, edit checks are in place to prevent incomplete or incorrect data from being entered into the system. The analysis is a multi-step process in which customers provide the file, then provide context on the meaning of various columns, and so on. Progress is saved between each step. If the Internet connection is interrupted during the initial upload, the subsequent steps will not run.	Noted
6.12	Are communications between the user's computer and the software service encrypted:  - User login data only?  - All data exchanged between user client and software service?	All data is encrypted (HTTPS).	Confirmed. The browser connection is secured.

Ref	Requirement	Response	Reviewer Comments
6.	SAAS/HOSTED OPERATION		Johnson
6.13	How is data transmitted to you from customers and from you to	For in-application data transfer, all connections are	Noted
	your customers encrypted?	encrypted (HTTPS).	
	· ·	In the event that customers need to send data directly	
		to Mindbridge this is done via via third party secure	
		file share services, either provided by MindBridge or	
		chosen by the customer.	
6.14	Is data on your servers encrypted at rest?	All data at rest is encrypted at the disk level using	Noted
		Azure's storage service encryption.	
6.15	What level of encryption is used?	AES-256 encryption is used for all data at rest	Noted
6.16	Is a staging environment provided that is an exact replica of		Noted. This not included as
	production; which can be used for testing purposes?	production; which can be used for testing purposes, is only provided to customers on a case-by-case basis	standard.
		only provided to customers on a case-by-case basis	
6.17	Is a test environment provided to test configuration changes?	A test environment to test configuration changes are	Noted. There is a limited
	If so, is there an additional charge for this?		testing platform provided
		,	within each customer's
			environment.
Access to cu	ustomer data		
6.18	What are the implications of the Data Protection Act over	Customer data is managed, processed, and stored in	Noted.
	, , , , ,	accordance with relevant data protection laws and	Potential customers should
	vendor mitigate these?		ensure that they are
		_	operating in accordance
			with data protection and
			GDPR principles.
		provider and reviewing attestation reports over	
6.19	Are you subject to any legal or regulatory requirements obliging you	services provided by the provider.  MindBridge will retain customers' personal	Noted
0.25	to retain a copy of customer data?	information for as long as it remains necessary for the	
		identified purpose or as required by law, which may	
		extend beyond the termination of the entity's	
		relationship with customers. Data that is no longer	
		required for business purposes is rendered	
		unreadable.	
6.20	Who will be able to access or see customer data?	•	Noted
		These named users must be granted specific access by	
		the administrators on the customer's side. This access	
		can be revoked at any stage, and can be managed [by	
		the customer] such that MindBridge [support]	
		employees will only see the data that is relevant to	
		the work they are doing.	
		Mindbridge senior management have the ultimate	
		access to all data on their platform but this is subject to internal controls and auditing	
6.21	Explain the procedures to prevent unauthorised access from staff,	Logical Access 1) Internal - Access is restricted via role	Noted
	or contractors, working for the service provider or any other people	based security privileges defined within the access	
	with access to the service provider's internal systems.	control system. 2) External - Access is restricted to a	
		valid user ID and password. Invalid login attempts are	
		configured to be logged. 3) Physical Access -	
		MindBridge offices are controlled by key card readers.	
		Access beyond reception areas are through access	
		card systems. Visitors must sign in and be escorted at	
6.22	Evaluin the release management procedures in place and the	all times.	Noted Mindhridge
0.22	Explain the release management procedures in place and the associated segregation of duties ?	Priorities for major releases are defined by our Product Management team in conjunction with	Noted. Mindbridge reported that JIRA,
	associated segregation of duties:	-	Confluence and Zendesk
		, ,	are all used.
		managed through an agile development process. Each	are an asea.
		change is directed to one of several target source	
		control branches depending on its urgency. Changes	
		are peer reviewed before being merged to a target	
		branch. Changes are manually re-tested by a QA	
		specialist, team lead, or peer. A larger release is	
		promoted through successive branches to the release	
		candidate branch. Automated regression tests run	
		regularly on each branch, and must be in a passing	
		state on the release candidate branch before the	
		release is tagged for deployment. Members of the	
		operations team tag the release and deploy it to	
		production servers.	
6.23	Is there sufficient segregation of duties preventing system	Each code change goes through peer review.	Noted
	developers from accessing and changing live applications and data	Deployment of changes to production can only be	
		triggered by authorized operations personnel.	
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Ref 6.	Requirement SAAS/HOSTED OPERATION	Response	Reviewer Comments
6.24	Explain the review and approval procedures covering system operations staff when emergency changes need to be made to live applications and data?	Changes are made using configuration management tools that keep a trail of changes via source control. Changes are associated with a ticket.	Noted
6.25	Is an audit trail always maintained of these emergency changes?	Database, operating system, and infrastructure changes are made using configuration management	Noted
		tools. Audit trails are maintained in ticketing systems and source control systems for these tools.	
6.26	What procedures are in place when members of staff leave to ensure that their system access is stopped?	The HR management system automatically assigns offboarding tasks to remove access from various systems.	Noted. Mindbridge noted that there is integrated authorisation across their back office tools meaning that access can be simply granted and revoked as needed.
Platform an	d service levels		
6.25	What operating systems does the software run under?	Linux	Noted
6.26	Which databases can be used (Hosted) or are used (SaaS)?	Customer data is stored within MongoDB as part of the SaaS application. Data storage mechanisms are transparent to the end user and may change time to time	Noted
6.27	What forms of user authentication are supported e.g. user names, passwords certificates, tokens etc.?	Accounts are accessed via username and password or via SSO mechanisms	Confirmed
6.28	What is the proposed product/service availability percentage?	98.50%	Noted
6.29	What percentage availability has been achieved over the past 12 months?	99.98%	Confirmed 99.99% achieved during the period 01/11/2019 to 25/02/2020.
6.30	Is a service level agreement ("SLA") offered regarding: - Service availability? - Data recovery?	MindBridge uses commercially reasonable efforts to respond to all Sev 1 incidents within 1 hour.	Noted. The terms of use can be found at: https://www.mindbridge.a
6.31	Is the service available 24x7 or are there downtime periods for maintenance?	The second secon	i/terms-of-use/ Noted. The terms of use can be found at: https://www.mindbridge.a i/terms-of-use/
6.32	Is the customer made aware of maintenance periods in advance?	No	Noted
6.33	Does the application software: Require any client software to be installed on the user's computer? - Work entirely within Internet Browser software on the user's computer?	The application works entirely within the browser.	Confirmed
6.34	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	-
6.35	may be considered as a security risk, e.g. ActiveX, JavaScript, Cookies?	Ai Auditor is a modern single-page web application and makes use of JavaScript and limited use of cookies for session state.	Noted
Platform sec	If so, describe how the user can mitigate this risk.		
6.36	What security steps are taken to prevent and detect intrusion attempts?	Detailed application and system logs are collected from all environments and piped to a common repository where both manual and automated processes are used to monitor the service for security issues. Additionally, external penetration testing is performed every 6 months.	Noted. This is part of Mindbridge's SOC 2 compliance.
6.37	Is firewall hardware and software used to protect the live systems from unauthorised access?	The cloud provider's firewall rule technology is used to limit access to the system.	Noted
6.38	Which monitoring software is used to create alerts when intrusion attempts are suspected?	We use a number of monitoring applications centered around the Elasticsearch stack.	Noted
6.39	Are designated staff responsible for receiving and urgently responding to these alerts?	Yes, all security incidents are handled by our Dev Operations team and escalated to our CISO	Noted

SASA/MOSTRO PETATON  And description procedures been established for identifying and responding to security incidents?  All despite to descript, incidents through resolution and second a	Ref	Requirement	Response	Reviewer Comments
Secretary procedures been established for identifying and established to security incidents?		·		noticwel comments
responding to securify incidents?    managing security incidents through production and electrons learned. All steps to identify, assess, contain, endicate, and restore are documented in the process. Customers are nethed of any incident that result in a notice of any incident that the customer. It is all security sensitive software, such as operating systems and distallables, key to 0 date with the lasts of these patches? Please applied weekly for internet-facing series and billions and please and			MindBridge has a formal process for identifying and	Noted
lessons fearmed. All steps to identify, assess, contain, eradicate, and restore are documented in the process. Customers are notifical only incidents that result in a notificate data breach, originate from the customer, or many and adaptases, keep up to date with the latest software patches? Please indicate how regularly updates are applied. 4. Us the procedures and poferance tools in place to prevent or detect and eliminate interference from malicious code, such as viruse? 4. Us the procedures and poferance tools in place to prevent or detect. 4. Us the processors. 4. Uses a considered of the processors of executions and distribution of the processors. 4. Uses access? 4. Uses access? 4. Uses access? 4. Uses access? 5. Security violations? 5. What stems are in place to prevent the hoppening uspin. 6.44 Is with the processor of				
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Soc 2, Type 2   Period of Time October 1, 2018 to November 1, 2019   Security. Confidentiality, Privacy, Processing Integrity & Availability Audited by Independent third party auditors.	6.49		Procedures are reviewed annually.	Noted.
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another company?  service during the contract period.		,	, , , , , , , , , , , , , , , , , , , ,	
		another company:	service during the contract period.	<u> </u>

Ref	Requirement	Response	Reviewer Comments
6.	SAAS/HOSTED OPERATION	nesponse	neviewer comments
6.77	What provisions are in place to protect the customer's use of the	MindBridge is a scalable platform which uses cloud	See 6.69 above
0.77	service and risk profile in the event of you acquiring another	technology to provide its service. If our customer base	Jee 0.03 above
	company, or suddenly increasing your customer base?	increases, the platform scales out to utilise additional	
		cloud resource to meet demand. When we acquire	
		another company, we perform rigorous due diligence	
		to ensure the integrity of MindBridge's brand and	
		protect our customer base.	
6.78	What provisions are in place to protect the customer's level of	MindBridge has invested and continues to invest in a	See 6.69 above
0.76	service and risk profile in the event of you divesting functions?	wide variety of tools to facilitate and automate	See 0.03 above
	service and risk profile in the event of you divesting functions:	support services for its client base. As MindBridge	
		continues to scale, these support tools will ensure the	
		protection of the high-level of quality and response	
		times that MindBridge provides its clients.	
		Additionally, all completed analysis results from the	
		MindBridge application can be exported for long-term	
		record keeping outside of the application	
6.79	What is your communication policy on keeping customers updated	As described in Section 181 of MindBridge's Terms of	Noted
0.75	with any business changing events?	Use, notices that we give you may be provided in any	
	with any business changing events.	number of ways, including, but not limited to, by	
		contacting you at the email address or phone number	
		that you provide in your registration data and/or	
		through notices posted in the dashboard area of your	
		account on the website or elsewhere on the website.	
		When we post notices on the website, we post them	
		in the area of the website suitable to the notice. It is	
		your responsibility to periodically review the website	
		for notices.	
		Tot Hotices.	
6.80	What other measures are in place to protect your customers in the	The MindBridge application is designed as tool to	Noted. See also 6.69
	event of bankruptcy?	augment the capabilities of its users by providing in-	
		depth analysis of financial records. Results of the	
		analysis can be exported and retained by the users.	
		The source data used for the analysis remains solely	
		with the end user.	
Platform ch	nange management		
6.81	Do application changes automatically apply to all customers and	Yes, all customers receive application updates at the	Noted
	users?	same time.	
6.82	Are users able to test beta versions of the application before new	Yes, on a case-by-case basis customers may be	Noted
	versions go into live use?	engaged to access an early preview of new features.	
6.83	Are users given notice before application changes are applied to the		Noted
	live system?	coming functional updates via email, blog or in-app	
		notification.	
6.84	Are changes delivered into the live environment "switched off" to	No, new capabilities are turned on by default for all	Noted
	enable users to test them before enabling them for their	users. Feature flagged enhancements can be rolled	
	environment?	out for customer testing in specific scenarios. UAT	
		testing is available for customers as required.	
	Anathana aufficiant internal in the	Manager have an inter-time of the control of the co	NI - +I
6.85	Are there sufficient internal testing and approval procedures	Yes, we have an internal testing process for all	Noted
	applied by the service provider before all application changes are	releases.	
C 0C	put into live use?	Please see response to 5.22	Natad
6.86	Explain the release management procedures in place and the	Please see response to 6.22.	Noted
£ 07	associated segregation of duties?	Ves the application supports notifications including	Confirmed
6.87	Are users informed when they next login of the application changes	Yes, the application supports notifications including	Committee
	that have gone into live use?	'guided-tour' type capabilities for major changes.	
6.00	Typically how much offert in man hours is required from the	No customer offert is required for warrades in the	Confirmed Mindbaides -1-
6.88	Typically how much effort, in man-hours, is required from the	No customer effort is required for upgrades in the	Confirmed. Mindbridge do
6.89	customer during upgrades? What level of testing do you deem appropriate for a client when the	SaaS application.	any upgrades. Noted
0.09	system is upgraded? Please consider user acceptance, integration,	ivo testing expectations are passed onto the client.	INOTEU
6.90	performance testing.  Are sufficient application and data backups maintained to enable a	Yes, each version of the application is tagged and data	Noted
0.30	roll back to an earlier version if recent application changes cause	backups are performed at least daily.	Noteu
	problems?	backaps are performed at least ually.	
Subscription	1.		
6.91	What payment options are available for using the software /	Billing is handled outside of the application via	Noted. Mindbridge send
0.51	service?	standard business processes.	invoices and customers
	JCI VICC:	standard business processes.	
6.92	Where online payment is used, what type of security is used to	N/A	pay by BACS.
0.32	protect sensitive information?		
6.93	Where online subscription / payment is used, is an invoice provided	N/A	_
0.33	to the customer and, if so, in what format?		
	to the customer and, it so, in what format!		l

Ref 6.	Requirement SAAS/HOSTED OPERATION	Response	Reviewer Comments
6.94	When subscriptions need to be renewed, what advance notice is	Ai Auditor is a licensed subscription service and	Noted
	provided and what is the time limit for renewal?	pricing is based on either; number of engagements or	
		data processing volume. MindBridge will work with a	
		customer to procure more as they near completion of	
6.95	Is there a procedure for late renewal and is there a time limit after	their allotted contract or usage. No	Noted
0.93	which subscriptions cannot be renewed?	NO	Noteu
6.96	How soon after creating or renewing a subscription (if applicable) can the system / service be used?	The system can be active moments after a new purchase.	Noted
6.97	What notifications / confirmations are provided to the customer	Payment and usage management is handled outside	Noted. Mindbridge state
	regarding subscriptions and payments?	of the application by our Customer Success, Account	that this is usually around
		Management and Finance teams.	90 days before renewal is due.
6.98	To what extent are users able to access their accounting and other	If customers do not make their first or second	Noted
	data if:	payment, we open a dialogue in order to recover	
	- They miss one or two payments?	payment whilst leaving their tenant up and running. When a firm ceases to be a customer, we shut down	
	- They cease being customers?	their tenant and they are unable to access their data.	
		If necessary, we can provide a backup of data from	
		their tenant on shutdown.	
6.99	, 5	6 months.	Noted. The custioer has 6
	obtain a copy of their data from you?		months to request thet data from Mindbridge.
6.100	At the end of the contract term, how is a customer's data destroyed	Data is destroyed upon request.	Noted
6.101	(if appropriate) and will that destruction be certified? What is your processes regarding disposal of end-of-life and failed	Server hardware disposal is securely managed by the	Noted
	hardware devices that were used to operate your service?	cloud provider. Workstation hard disks are encrypted	
		and are sanitized before disposal.	
SaaS/Hoste			
6.102	Are reports produced from the same software as the financial applications or is separate reporting software used?	Any reports provided by the application are generated purely by the application without dependency on any	Confirmed
	applications of is separate reporting software useu:	external software	
6.103	Does any application software (i.e. other than a web browser or	Some of the reports provided by the application	Confirmed
	PDF reader) need to be installed on the user's computer in order to	require a .xlsx compatible application to view.	
6.104	prepare or view the reports? What browser versions are support:	Chrome and Internet Explorer 11.	Noted. Others may work
0.104	- On desktop/laptop (PC, Mac, Linux)?	Cinome and internet explorer 11.	but are not explicitly
	- On Tablets?		supported.
	- On mobiles?		
6.105	Is access to the reporting facilities and data controlled by the same procedures as access to the main application?	Yes	Confirmed
6.106	If it's different, explain the user access control facilities available to	N/A	-
	ensure information is only viewed by users with appropriate		
6.107	authority? In what electronic formats are reports produced:-	Downloadable reports are produced in MS Excel	Confirmed
0.107	- PDF?	and/or CSV formats. The application also renders	Commined
	- XML?	visualizations and data tables in the browser.	
	- MS Excel spreadsheet?		
	- CSV file?		
	- As html for viewing in a web browser? - Other, please specify?		
6.108	Are report documents stored on the web server or on the user's	Reports are stored temporarily on the server so the	Confirmed
	computer?	user can download them. The files are only available	
	If stored on the web server, are they secure to ensure only users	to users authorised to access to the relevant	
6.109	with appropriate authority can get access?  If reports can be downloaded to the user's computer are there	engagement. The MindBridge application makes it obvious to the	Confirmed
3.103	adequate warnings about the possible dangers of other computers	user that they are downloading data to their local	
	users being able to view the reports and the need to store the	machine	
6.445	documents in a secure storage location?	Decree the in house	NI-4J
6.110	For documents viewable in a browser is any data stored on the	Because the in-browser content is dynamically fetched	inoted
	user's computer in a web browser cache or temporary file? If Yes: - Is there any protection against other users viewing the report or	by the JavaScript frontend application, it will not be stored in the browser cache.	
	data on which it is based?		
	- 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?		
6.111	Are communications between the browser and the server	Yes (HTTPS)	Confirmed
	encrypted for any report related communications?		
6.112	If reports are produced dynamically each time the user views them can historical reports be reproduced at any time?	No	Confirmed
	Tean mistorical reports be reproduced at any tillier	<u>I</u>	<u> </u>

Ref	Requirement	Response	<b>Reviewer Comments</b>
6.	SAAS/HOSTED OPERATION		
6.113	Can reports viewable in a browser be navigated dynamically by	Yes, dashboards in the application include drill-down	Confirmed
	users? For example:	to data tables. Users can select columns and apply	
	- Enabling drill down to more detailed information?	filters including time periods and other columns.	
	- Altering which columns and rows of data are displayed.		
	- Choosing time periods?		
	- Specifying selection criteria?		
6.114	Can report data be reliably copied and pasted direct from browser	Not using copy and paste, but the user can select	Confirmed
	viewable reports to an MS Excel spreadsheet retaining any table	items to export from a data table to Excel or CSV	
	layout?	format.	
6.115	If reports are incomplete, for instance due to a poor Internet	Yes. In-browser data tables will not render unless a	Noted
	connection, is sufficient information provided to enable the user to	complete page of results is received. The table	
	notice that some of the report is missing?	displays the total number of results.	

Ref	Requirement	Response	Reviewer Comments
7.	DATA AUDIT AND ANALYSIS	Response	neviewer comments
Global setup			
7.01	Does the system provide for the setup and maintenance of the details of the firm using the software and valid users within that firm?	Yes, tenant level information may be set by administrators including user access and permissions.	Confirmed
7.02	Does the system integrate to accounting/financial packages? If so, please list which ones are supported and explain the method of integration (e.g. dedicated connector, webservices, etc):	Yes, the system has a direct connector for quickbooks online and intacct. Both can be access through direct connectors.	Confirmed
7.03	Does the software directly integrate with on-line software/services? If yes, please list the packages/services in the categories below and explain the method of integration (e.g. dedicated connector, webservices, etc):  - Accounting software (e.g. Sage, QB, Xero)?  - HR and/or Payroll software?  - Practice management software?  - Tax software?  - Pension software  - Others, please specify?	Accounting systems described above: QuickBooks online and Intacct.	Confirmed
7.04	Does the system make use of global lists, e.g. Postcodes, VAT codes?  If so, specify what is provided.	The default analysis configuration provides global settings for all analyses, including a list of suspicious keywords	Confirmed. Weights and keywords provided. VAT and Postcodes not applicable.
7.05	Does the system come with a library of standard analysis templates that can be applied to a new audit?	Yes, the system comes with a library of pre-configured control points, chart of accounts, ratios and filters.	
7.06	If so, does the analysis template include: - Chart of account structures? - Selections of tests and associated parameters? - Transaction-type filters? - Risk indicators and associated limits? - Other settings, please specify?	Chart of accounts (MindBridge Account Classification), data table filters, transaction type filters (if transaction type data has been provided), control point settings (risk indicators) and financial ratios.	Confirmed
7.07	Please list the number and type of the base chart of accounts provided.	The MindBridge Account Classification (MAC) is based off of a Canadian standard for financial account groupings called Gifi. MAC uses more than 400 account mappings	Confirmed. Customers can enter their own CoA if required.
7.08	Are there specific analysis templates for different types of:  - Client sector?  - Client size?  - Geography?  - Other, please specify?	Out of the box templates based on sector, size or geography dont exist, however users can create their own templates for future use.	Noted. Filters, ratios and weightings can be saved.
7.09	Can these analysis templates be manually edited? e.g. A different Chart of Accounts structure be used?	Once a template containing a custom account grouping is used, it cannot be updated. The user is required to create a new template that includes any edits/changes.	Confirmed. But can create as many as required.
7.10	Can a new analysis template be created based on an existing template, then manually amended?	Yes. Users are required to create a new analysis type from scratch, however account grouping templates may be reused.	Confirmed. Users can select a base library to use.
7.11	Can client-specific analysis templates be created?	Yes, both analysis templates and account grouping	Confirmed
7.12	Does the system allow a user to use multiple devices, e.g. a desktop and a tablet?	templates may be created  Modern desktop browsers are officially supported.	Noted. Mindbridge state that multiple browsres from multiple locations all at once are supported.
7.13	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?  If so, please explain how this operates.	No ability to work off-line is present in the system.	Confirmed
7.14	Does the system provide a facility for auto-saving changes to engagements/audits during a user's editing session?  If so:  - Can the frequency of these auto-saves be manually set?  - Can the user initiate a save manually?  - Can a user roll back to a previous saved version?	No auto-saving exists within the system. To save information, users are required to perform a save action.	Confirmed
7.15	Does the system provide inbuilt workflow functionality?	Basic workflow exists including the ability to create tasks on selected transactions	Confirmed. Limited workflow capability only.

Ref	Requirement	Response	Reviewer Comments
7.	DATA AUDIT AND ANALYSIS	And Admin and discount date in the control labeling of	Constitute 2.25
7.16		App Admins can view all data in the system looking at	See section 3.25
	to:	each engagement, a list of analysis and account	
	- Standing data (global lists)?	grouping templates, and audit plans within an	
	- Libraries of analysis templates?	individual analysis.	
	- The analysis templates themselves?		
	- Client and engagement (audit) details?		
	- The work undertaken on an audit, including, data take on, the		
User setup	tests run. the output produced?		
7.17	Does the system provide a permissions matrix so that rights can be	The system supports three permission levels (admin,	Confirmed
,,	set at user and group level?	manager and auditor)	Committee
7.18	Does this apply to:	Permission levels are tied to specific functionality,	Confirmed
	- Specific areas of functionality?	authorisations and specific engagements.	
	- Workflow?		
	- Authorisations?		
	- Specific clients		
	- Particular engagements (audits) for those clients?		
7.19	Is it possible to define delegated access?	No, the system does not allow for delegated access at	Confirmed
	_	all (you have to fully change a users permission level	
		to alter the access they have)	
7.20	Can tolerances for accuracy checks be set at user-level?	Materiality level is set for risk scoring and a tolerance	Confirmed
	·	for the completeness report exists	
7.21	Can workflow authorisations be set to work at a user and/or group	N/A	-
	level?		
7.22	Can multi-level authorisations be set?	N/A	-
7.23	Are there any restrictions on more than one user working on the	No	Confirmed
	same client or client engagement (audit) at the same time?		
Client/enga	gement (audit) setup		
7.24	Does the system provide for the setup and maintenance of a client's	Yes, each end client can be setup to have their own	Confirmed
	details (client profiles)?	Organization folder. Within an Organization, multiple	
		Engagements can be stored, each having unique	
		setting and users specific to that audit, including client	
		name, lead, audit date, etc.	
7.25	Can the system record client notes, etc as required?	Annotations can be added to data or visualizations	Confirmed. Limited notes
		within the analysis experience for any client.	in specific places as
		Annotations can also be exported into a Excel	opposed to a global
		spreadsheet.	feature.
7.26	Does the system allow the entry of supplementary information?	No supplementary information for a client can be	Confirmed. However,
	- If yes, can this be uploaded against the client?	uploaded into the system	limited information can be
			held against the
			engagement.
7.27	Does the system automatically populate information from the client		Confirmed
	profile into associated engagement/audit during setup?	shared across engagements for any client when a new	
		engagement is created	
7.28	Does the system allow all engagement files for a client to be:	All engagements for a client are displayed on a single	Confirmed. Engagement
	- Shown as a list on-screen?	screen within the Organization's folder	tiles/cards are shown.
	- The details viewed on-screen?		
	- The details to be printed out?		0.00
7.29	Does the system incorporate dashboard functionality such that the	Yes, a user is notified within the application of any	Confirmed
	following information is presented to the user on their "home	tasks that are assigned to them. There is no tracking	
	page" when they login to the system, showing:	of overall audit progress / completion with the	
	- All active engagements/audits that the user is involved in?	application	
	- Progress/completion of each engagement?		
7.00	- Any actions outstanding?	Van allaston of all as	Confirmation 1
7.30	Does the system provide a simple view showing all the	Yes, a listing of all engagements is available with the	Confirmed. There is the
	engagement/audit files created for a client?	Organization folder	ability to search for a
			customer and then display
			all cards for that customer
7 24	Door the system provide a straightfamound was to see the first	Voc thora is sough from the mality and acceptable and	Confirmed
7.31	Does the system provide a straightforward way to search for audits,		Confirmed
	with search parameters such as: client, audit, year, date-range?	functions available to help users find both clients and	
7 22	le it possible to choose to set up a pour engagement /eu-dit for a	engagements  Partially Users can to apply settings from provious	Confirmed
7.32	Is it possible to choose to set up a new engagement/audit for a	Partially. Users can re-apply settings from previous	Confirmed
	client by copying forward all/parts of the details from the previous	engagements, but cannot copy forward files or	
7.00	year?	analyses from previous year engagements.	Cantingaal
7.33	When setting up the engagement/audit file is it possible to enter:	Yes, a series of information around audit dates,	Confirmed
	- Start and end dates	fieldwork dates, staff involved and data sources is	
	- Audit office	collected during engagement setup	
	- Staff on the audit (assigning individuals to roles)		
	- Previous balances and fees		
	1 a ter		1
	- Audit currency - Additional information (inc results totals)		

Ref	Requirement	Response	Reviewer Comments
7.	DATA AUDIT AND ANALYSIS		
7.34	Does the system provide the ability to delete engagements/audits,	Yes	Confirmed. Admins have
	subject to the permissions matrix?		access to archived
	If so, is this noted in the audit log (see 3.25 above)?		engagaments but users do not.
ata take o	on		not.
7.35	When a new enagement/audit is started can data to be analysed be	When a new engagement is established, users can	Confirmed. The customer
	imported/uploaded from:	import data into the system using either direct	does the upload.
	- A finance/accounting system?	connectors to end-client finance/accounting systems,	
	- A local file?	or by direct upload from local files.	
	- A third-party cloud repository, e.g. DropBox?		
7.36	- Other, please specify? What import file formats are supported?	The following file formats are supported by	Confirmed
7.50	e.g. The standard of the specific accounts package, Excel, CSV, XML?		Commined
	e.g. The standard of the specific decounts package, Exect, esv, Miles	williabriage. 165V, 1815, 1815X, and 1686.	
7.37	Does the system provide "smart" functionality to recognise the type	Yes, the system provides two levels of functionality to	Confirmed
	of data being imported and create an appropriate set of data fields	recognise the data being provided. The first level	
	for the records being imported?	identifies the format of the file being provided, and	
		the second level identifies the contents of the	
		individual columns as well as their data types.	0 6 1 11 6 1
7.38	What standard data types are supported, e.g.:	MindBridge accepts the following data types: -	Confirmed. All of these are
	- General/sales/purchase ledgers? - Trial balance and/or prior-year TB?	General/AP/AR ledgers - Opening & closing balance files	covered except for lists of POs and GRNs which are
	- Fixed asset data?	- Chart of accounts files	not suported.
	- Payroll data?	- Vendor list, user list, purchase order list, goods	not suporteu.
	- Other, please specify?	received list (AP analyses)	
	- 1.1.1., p. 1.1.1.	- AR open invoices, customer list, user list (AR	
		analyses)	
7.39	Can a user make changes to transactions (subject to the	No, users cannot make changes to transactions	Confirmed. No the data
	permissions matrix)?	through the product interface.	pulled in is read-only.
7.40	If so, is the recorded in the audit log?	V	Cfid
7.40	Does the system have the ability to provide a filtered extract of the source transactions?	Yes, users have the ability to filter and export a subset of transactions. Files are exported in .xlsx or .csv	Confirmed
	If so, please list the formats supported, e.g. CSV, XML	format.	
7.41	Does the system allow for a sample of the full data set to be	No, the system does not support this functionality.	Confirmed. No specific
	imported in order to confirm the fields per record (as below)?	, , , , , , , , , , , , , , , , , , , ,	option but could import a
			check week/month before
			importing the full data set.
7.42	Deaths sustant and ide manual field manual as functionality such	Vee the system may idea a many of field magning	Confinenced
7.42	Does the system provide manual field-mapping functionality such that the fields in the data to be imported can be matched to the	Yes, the system provides a manual field-mapping functionality known as column mapping. Once a file is	Confirmed
	fields in the system's standard data types?	uploaded, the system will attempt to match the	
	If so:	column headers in the user's dataset to MindBridge-	
	- Can the field names be manually edited for the imported data?	defined column headers. Users are able to manually	
	- Can this mapping be saved on a per-client basis?	adjust the mappings, but cannot alter the characters	
		in the field names. Column mappings can only be	
		saved on a per-file basis.	
7.43	Does the system allow for accounts with a zero balance to be	No, the system does not currently support this	Noted
7.44	removed or supressed?  Does the system allow the creation of one or more indexes in order	functionality.  No, the system does not currently support this	Noted
,,,,	to sort the data?	functionality.	
7.45	Does the system undertake an initial set of validation checks to	Yes, during data import, users are guided through a	Confirmed. It's a data
	ensure that the data has imported correctly?	validation step where they can review potential issues	validation tool.
	If so does this include tests of:	in their data. The system provides summary	
	- Data types in particluar fields?	information on the length and number of transactions	
	- Data ranges (based on the dats of the audit)?	in the file, as well as integrity checks to test for	
	- Field values ("sensible" upper and lower limits)?	unbalanced debits and credits, single-entry	
	- Corrupted data?	transactions, unbalanced multi-entry transactions,	
		very large transactions, whether all transactions have	
		the same effective date, whether every row in the file has been assigned a transaction ID, and whether the	
		ledger has provided all mandatory fields.	
7.46	If the system provides an initial check for gaps in the data please	Yes, as stated in 7.45, the system performs initial	Confirmed
	explain the logic for this?	checks for gaps in the data, such as unbalanced debits	
		and credits, single-entry transactions, or whether	
		every row has been assigned a transaction ID.	
		Surfacing this information during the data upload stage allows users to better spot and resolve errors	
		ISLADE AUDINS LISERS TO DETTER SOOT AND PESOIVE EFFORS	
		- ·	
		before a risk analysis has been run and/or to avoid file	
		before a risk analysis has been run and/or to avoid file failure. For example, if more than 25% of the	
		before a risk analysis has been run and/or to avoid file	

Ref 7.	Requirement DATA AUDIT AND ANALYSIS	Response	Reviewer Comments
7.47	If the system provides an initial check for duplications in the data please explain the logic for this?	Partially. Though MindBridge does not do an initial review for duplications in the data during import, the system applies a duplicate control point during risk analysis to identify transactions with exact debit and credit amounts applied to the same accounts.	Confirmed
7.48	Please explain what the system does in the event that data fails the initial validation? e.g. The logs/report(s) provided, what happens to the import (rejected/part-rejected/etc).		Confirmed. This would show in the integrity checks.
7.49	For a ledger import does the system contain functionality that enables a standard chart of accounts to be applied to the data? If so:  - Please explain how this is undertaken, e.g. matching account codes to those in the standard template selected at setup for this engagement.  - Can this be manually overridden?	Yes, when a general ledger file is uploaded, the system automatically maps accounts in the provided file to a 4-level hierarchy known as the MindBridge Account Classification system. Users are then able to manually adjust and verify the account groupings generated by the system; account groupings can also be exported as .xlsx files at this stage. At the tenant level, users are able to save account groupings for use across engagements, either by re-importing in a templated Excel file of groupings or by importing a CCH Grouped Trial Balance File.	Confirmed
7.50	Does the system enable the user to apply a sampling strategy as opposed to substantive-testing?  If so please expalin the sample types provided as standard: - Random? - Stratified? - Systematic (interval based)? - Other, please specify?	MindBridge offers both random and risk-stratified sampling. In the case of random sampling, each item in the population has an equal chance of being selected for sample. In risk-stratified sampling, all highrisk items (i.e. transactions or entries) in the population are included in the sample, with the remaining items comprising a proportion of 60% medium-risk and 40% low-risk.	Confirmed. Using the "Intelligent sampler" option.
7.51	Does the system allow one or a number of filters to be applied to the data imported to create sub-sets of the data prior to analysis?	Partially. After data has been imported, users can access the filter-builder model to create sub-sets of data for sampling. However, further analyses (e.g. risk	Confirmed. Only pre- defined (inbuilt) filters can be used for sub-sets of data.
7.52	Is each transaction given a unique identifier? If so, how does this fit into the audit trail sequence?	(or is ambiguous) in a general ledger file, MindBridge will automatically generate a transaction ID using combinations of available data fields. The system also makes a suggestion as to the best possible field combinations. Unique identifiers are foundational in ensuring coverage of all transactions during analysis.	Confirmed. If the imported file has a transation ID then this is used. Otherwise after the mapping is complete then the system prompts to build an identifier if one does not already exist.
Analysis an	d review		
7.53	Does the system provide a series of audit/analysis tests whose parameters can be amended by the user?	In Ai Auditor, users can build, modify, combine, and save Al-powered audit tests, all within an intuitive user interface. Tests are built on data attributes such as account hierarchy, account tag, transaction date, monetary value, risk, triggered control points, and keywords. For each test, Ai Auditor provides you with a set of meaningful ranges to filter with.	Confirmed
7.54	Does the system provide the following 'standard' tests:  - Validation?  - Duplicates?  - Limits (e.g. on say, exchange rates)?  - Accuracy?  - Completeness (gaps and duplicates)?  - Last 3 digits?  - Other, please specify?	Ai Auditor has 28 control points for general ledger and 15 control points for account payable and accounts receivable sub ledgers. Ai Auditor uses a combination of rules-based, statistical, and artificial intelligence control points to analyze transactions.  Some of the rule-based control points include: -last 3 digits that flag monetary values in the ledger, which end in either 0.00 or 9.99Duplicate control point flags transactions that occur more than once in a ledger, and -Sequence gap flags transactions which are next to missing transaction IDs, based on the ledger's normal sequence of transaction IDsIn addition to rule-based and statistical control points, Ai Auditor has five machine learning control points to detect anomalies.	Noted. This is detailed on the website and the knowledge base.

Ref	Requirement	Response	Reviewer Comments
7.	DATA AUDIT AND ANALYSIS		
7.55	Does the system provide the following 'statistical' tests:	Ai Auditor supports:	Noted. This is detailed on
	- Unusual activity?	-2 digit benford flags entries whose first two digits	the website and the
	- Benford's law (frequency of initial digit)?	occur more or less than expected in the ledger	knowledge base.
	- Statistical variance?	-Full trending and period over period variance analysis	
	- Aging?	for financial accounts and ratios, as well as identifying	
	- Stratification?	where performance falls outside of a predicted range	
	- Patterns and trends (user behaviour, date/time, other)?	-For account payable and account receivable Ai	
	- Other, please specify?	Auditor supports aging dashboards and reports that	
		contain metrics that help to view each	
		vendor/customer, the amount they are owed, and the	
		amount of time they have been owed.	
7.56	Does the system provide the following 'advanced' tests:	-The rare monetary flows control point flags	Noted. This is detailed on
	- Cross correlation?	transactions where matching debits and credits occur	the website and the
	- "Humint" scoring (reliability of source data)?	between accounts that do not usually interact, based	knowledge base.
	- Outlier detection (extreme values that skew data)?	on the usual business processes within the ledger.	
	- Unusual activity, e.g. multiple entries of the same type or of the	-The outlier anomaly control point flags monetary	
	same value?	flows which are mathematically anomalous, based on	
	- Other, please specify?	the accounts, date, and amount of the monetary flow.	
		-The unusual amount control point flags monetary	
		values which are statistically anomalous for the	
		accounts in which they appear.	
		-The expert score identifies monetary flows between	
		account categories which were identified by domain	
		experts as being of importance to audits. These flows	
		either involve high-importance accounts, or are not a	
		part of common business processes.	
		-The transaction flow analysis combines our three	
		monetary flow results: outlier anomaly, rare flow, and	
		expert score. Based on preliminary testing, a	
		combination of these three scores is a strong indicator	
		of transactions which are outside of normal business	
		practices.	
7.57	-	Ai Auditor requires the user to provide a reason for	Confirmed. For weightings
	- Require a reason for the change to be provided?	changing control point default settings and the reason	a reason is required.
	- Record the change and who had made it to the audit log?	for deviation and the person who made the changes is	
7.50		recorded in the audit plan export.	C (. 1
7.58	Can these tests be saved into the standard analysis templates being		Confirmed
	applied to this audit?	Libraries contain all the business logic needed to	
		perform analysis within a particular industry or	
		market and allow users to customize an analysis based	
		on industry types with different ratios, filters, and	
		control points. Users can also define custom libraries.	
7.59	Can a set of risk/potential-fraud scores and/or weightings be	Yes. Control points weighting are adjustable through	Confirmed
,.55	applied to each of the tests?	control point settings in engagement setting or from	- Committee
	If so, explain what is available and how these are applied?	control point settings in engagement setting or from	
7.60		Ai Auditor supports tolerance amount for balance	Confirmed for some. E.g.
	defined tolerance?	check report that ensure prior period closing balances	Monetary values can be
		have been correctly brought forward and identified	set.
		any accounts that didn't roll forward correctly.	
		•	
7.61	Can a batch of tests be selected from the wider set saved in the	In Ai Auditor users can use the filter builder to create	Confirmed
	template and saved as named set?	tests and save them in a library that can be reusable in	
		other engagements that use the same library.	
			0 6 1 1
7.62	When the batch of tests is run does it:	The filter builder is very responsive and performant.	Confirmed. It shows an
		Therefore, Ai Auditor does not support batch	overall progress (loading
	- Show overall progress?	interruption or show progress for each test or allows.	bar) but not for individual
	- Allow the batch to be interrupted at any point?		tests.
	– if you interrupt a batch what happens (eg. whole batch		
	rejected, stops, etc)		
	- Log the date/time/user/filter details the test being run?		
	- Allow notes to be recorded against the test run?		

Ref	Requirement	Response	Reviewer Comments
7.	DATA AUDIT AND ANALYSIS		- Comments
7. 7.63	DATA AUDIT AND ANALYSIS  Does the system apply any machine learning to the tests being run? If so, please provide details explaining how this operates, e.g. using data from similar previous analyses undertaken as part of the basis for comparison.	Ai Auditor has 5 machine learning control points in addition to the rule-based and statistical control points to analyze transactions in ledger and provide risk scores.  -The rare monetary flows control point flags transactions where matching debits and credits occur between accounts that do not usually interact, based on the usual business processes within the ledger.  -The outlier anomaly control point flags monetary flows which are mathematically anomalous, based on the accounts, date, and amount of the monetary flow.  -The unusual amount control point flags monetary values which are statistically anomalous for the accounts in which they appear.  -The expert score identifies monetary flows between account categories which were identified by domain experts as being of importance to audits. These flows either involve high-importance accounts, or are not a part of common business processes.  -The transaction flow analysis combines our three monetary flow results: outlier anomaly, rare flow, and expert score. Based on preliminary testing, a combination of these three scores is a strong indicator of transactions which are outside of normal business practices.	Noted. This is detailed in the knowledge base.
7.64	Does the system provide an on-screen results-grid/matrix that allows drill-through from the results into the underlying transactions so that rogue transactions can be identified and invstigated further?  If so, can transactions be exported to Excel, CSV, or printed out?	Yes. Users can drill from the Risk Overview page to transaction data table that has the transaction detail.	Confirmed
Analysis/au	idit follow-up		
7.65	Does the system allow tasks to be created on users of the system	Yes. Users can create a task on a single or group of	Confirmed
7.66	for follow up actions on issues identified?  Is it possible to mark lists of actions with levels of "audit risk"?  If so: Please indicate the levels available, e.g. Insignificant, quite significant, significant, very significant, critical, etc; or rating of 1 to 5.	transactions and assign it to a user.  Whilst we provide our interpretation of the level of audit risk associated with each transaction, and a methodology for users to raise tasks and provide justification for those tasks, there is no explicit way for users to enter the level of audit risk as they see it within the tool.	Noted. The interpretation is up the the user.
7.67	Is it possible to report on the progress of list of actions with specific levels of audit risk?		Confirmed; an audit-risk filter is not provided.
7.68	Does the system provide an overview of the completion progress/status of actions and folders within a set of working papers?	No	Confirmed. This is not a working-papers tool.
7.69	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?  If so, then please list the email systems supported.	No	Confirmed. This is not a working-papers tool.
7.70	Does the system provide 'completion' functionality that records the completion and sign-off of the engagement?	No	Confirmed. This is not a working-papers tool.
Reporting p			
7.71	Please explain the [internal] reports available as a result of the testing batch undertaken.	The application generates a series of downloadable reports after analysis including data completion, financial statements & metrics and risk scoring.	Confirmed. There is a suite of reports.
7.72	Do these provide:  - A risk scoring of transactions of different types?  - Details of any fraud detection / risk / likelihood?  - An analysis by categories of risk?  - An overall risk score?  - Details of the tests run and associated filters applied to the data?	Yes. There is reporting for all risk based algorithms that the system runs. The reports show the results of each individual algorithm for every transaction in the report as well as an aggregate risk score.	Confirmed. This is the transaction export.
7.73	Does the system provide a standard reporting pack to be produced for an analysis/audit?  If so, please describe the contents of the pack.	Yes. See 7.71 for a high-level view of the reports contained in the pack.	Confirmed. As 7.72

Ref	Requirement	Response	Reviewer Comments
7.	DATA AUDIT AND ANALYSIS		
7.74	Does the system allow for user-customisable document formatting	No	Confirmed
	of the reporting pack?		
	- Font?		
	- Paragraph style?		
	- Page format?		
	- Watermark, e.g. "Draft"?		
	- Company/client logo/graphic?		
	- Signing boxes?		
	- Other, please specify		
7.75	Can the user preview the document being created in real-time as	No	Confirmed
	they respond to the tasks in the workflow?		
7.76	Does the system support dual screen functionality, such that the	No	Confirmed
	document being created can be shown on a display separate from		
	the one being used to complete the tasks?		
7.77	Can the pack be produced in different formats?	No	Confirmed. Export in XLS
	If so, are the following supported:		or CSV
	- PDF?		
	- MS Word (DOCX) format?		
	- Rich text (RTF)?		
	- MS Excel (XLSX)?		
	- Other, please specify?		
7.78	Can the system support distribution of the packs via email?	No, reports are downloadble from the application.	Confirmed
7.79	Does the system provide a client portal to enable the exchange of	No	Confirmed
	document between the [accounting] firm and their client[s]?		