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	HEADER		
	ICAEW Technical Accreditation Scheme "Root Cause Analysis" Software Evaluation		
	Date completed: 29th October 2024		
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1.	**INTRODUCTION AND PROLOGUE**		
Introduction			
1.01	The suitability of software for each particular user will always be dependent upon that user's individual requirements. These requirements should therefore always be fully considered before software is acquired. The quality of the software developers or suppliers should also be considered at the onset.		
1.02	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.		
Approach to 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.		
1.05	The Technical Manager discussed the assessment with a member of 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 evaluation.		
1.07	When the evaluation had been completed, a draft copy was sent to the ICAEW Scheme Manager for review before completion of the final report.		
Prologue: Matters to consider before purchase			
1.08	General Overview:	The What Caused This cloud-based platform supports firms in conducting Root Cause Analysis. The analysis and outputs support ISQM1 and other business processes, optimising enhanced decision making.	
1.09	Supplier background:	What Caused This was founded in 2022 by an experienced Root Cause Analysis team. Headquartered in England, the team pioneered the development and implementation of modern, data-driven RCA within Audit, Accountancy and Professional Services.	
1.10	Product background and suitability for the user:	The What Caused This platform was developed to provide a collaborative Root Cause Analysis solution, enabling users to analyse quality problems, organisational risks and improvement opportunities using an evidence-based, data-driven, causal-led framework. System-driven insights allow users to reveal trends, address emergent risks and maximise performance data.	

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1.11	Add-on modules:	Built with a modern API, there is no requirement for bolt-on modules. Any data that needs to be pushed or pulled from other business systems is completed via the API. The most common integrations include PowerBI & SAP.	
1.12	Typical implementation [size]:	What Caused This is available to all firms with increased suitability for mid-tier and large firms.	
1.13	Vertical applications:	Optional - What Caused This handles the end-to-end creation of effective Root Cause Analysis reporting. The modern API enables rapid and powerful bespoke integrations with all leading organisational software, resulting in increased efficiencies, improved data management and firm-wide insights.	
1.14	Server flatform and database:	What Caused This uses Microsoft Azure Cloud Services. The client is not required to provide additional servers or database facilities. It is all included in the software-as-a-service.	
1.15	Client specification required:	What Caused This provides a unique and secure client account on a unique, client-specified URL. Personalisation features include ability to upload brand/logo, build permission levels and edit labels/data-fields.	
1.16	Partner network:	Firms will be allocated a UK-based Account Manager. What Caused This also employs sector specialists to support the clients and the professional associations.	

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2.	**ISSUES AND CONCLUSION**			
Highlighted issues				
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 businesses with certain requirements:**			
2.02	Findings for considerations by potential customers: (See vendor comments against the various Questions)			
*	Whilst it is possible to delete a Root Cause Analysis Event and associated Causes, Outcomes, etc, this is part of the general functionality of the system. It is not a transactional system in the same way as a finance system where transactional integrity must be retained.			3.17
*	There is no internal report generator as such as the "Outcomes Report" is held within the platform; and can be accessed via the API. Reporting is not part of the functionality of the platform.			4.30-4.35, 6.80-6.92, 7.71-7.79
*	There is no ability to store saved searches or menu-option favourites on a per-user basis within the platform.			4.36, 5.14, 5.16
*	The system does not support User Defined Fields			5.10
*	There is no universal search facility; but search capabilities are provided in multiple modules of the system.			5.15
*	There is no physical or PDF user manual or associated web KB and videos, but a series of videos are currently being developed. That said, the system is very intuitive.			5.19-5.22
*	ESCROW is not offered; which is not unusual for this type of software as a service platform.			5.23
*	It is not possible for a customer to take their own backups, but WhatCausedThis can undertake these on a customer's behalf on request.			6.51
*	Users are not able to test new versions before they go live. Note that this is not uncommon for SaaS platforms. Development Partners are in place for new feature requests.			6.62
Evaluation conclusion				
2.03	For the specific use-cases in support of assisting accountancy firms to make effective use of Root Cause Analysis techniques, for which the product is designed, it is a solid and capable solution. It continues to be actively developed and enhanced. Members should be aware of the limitation of the solution as above, and fully understand the role that it can play in helping manage their compliance needs. * NOTE THAT THE QUESTIONNAIRE RELATES TO THE SOFTWARE PRODUCT AND NOT ANY SUPPLEMENTARY SERVICES PROVIDED BY THE SUPPLIER TO THE ACCOUNTANCY FIRM USING THAT PRODUCT *			
Disclaimers				
2.04	Any organisation considering the purchase of this software should consider their requirements in the light of proposals from the software supplier or 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 or 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.			

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3.	**ACCESS AND SECURITY**		
Access control			
3.01	What security features are included to control access to the application?	Username and Password, SSO and MFA.	Noted
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?	Yes, we have a pre-set User/Role/Permissions module within the system	Confirmed
3.03	Is this access to the application managed by:- - Individual user profiles? - User groups or job roles?	Preset individual user roles set by Super Admin and Admin roles within the platform.	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?	There is no report but instead a dedicated feature, all visible within the system to Admin users.	Noted
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?	This can't be tailored, it is preset by role within the platform	Noted *
3.06	Does security allow for access to be limited to: - Read only? - Read/write? - Read/amend/delete?	Yes	Noted
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?	N/A	NA. Access could only be via the API
3.08	Does the system security integrate with Microsoft's Active Directory or other tools that provide a single sign-on?	Yes	Noted
3.09	Does the system provide multi-factor authentication (MFA)?	Yes	Confirmed
Passwords and access logs			
3.10	Is access to the software controlled by password?	Yes	Confirmed
3.11	Does each user have a separate log on (user id)?	Yes	Confirmed
3.12	If there is no password facility please state how confidentiality and accessibility control is maintained within the software?	N/A	-
3.13	Are passwords masked for any user logging in?	Yes	Confirmed
3.14	Is password complexity available and enforced?	Yes	Noted
3.15	Are passwords encrypted?	Yes	Noted
3.16	Are users automatically logged off after a pre-set idle time? - Can the time period be changed? - Can any information be viewed without being logged in, including after logging off, if so what information?	Yes. No this can't be changed, and no information can be viewed without being authenticated	Noted
Deletion of transactions			
3.17	Is it possible to delete a transaction?	It is possible to delete an RCA, this is a soft delete	Yes. But this is not a transactional system.
3.18	If so, then how are deletions controlled by the system?	Soft delete, retained in the database, accessible as an export or via API.	Noted
3.19	Are deleted transactions retained in the audit trail (see below) and denoted as such?	Yes	Noted
Audit trails			
3.20	Does the system have an audit trail (log) which records all changes to transactions in the system?	Yes	Confirmed. The "Activity Feed" option shows this.
3.21	Does this log also record any system error messages and/or any security violations?	Yes	Noted
3.22	Is it possible to turn off or delete the audit trail?	No	Noted. Extra info can be included here by WhatCausedThis on request.
3.23	Does the software allocate a system generated sequential unique reference number to each transaction in the audit log, date and time stamp it and record the user id?	Yes	Noted
3.24	Are all master file changes recorded in the audit trail?	N/A	-
Compliance			

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3.25	Does the system operate in a way that is compliant with data protection legislation including GDPR? How does the system facilitate this?	Yes, the platform has been signed off and tested against GDPR and ISO27001 standards We've designed the platform to comply with data protection standards. We ensure data minimisation, obtain informed user consent, and implement strong security measures (e.g., encryption, role-based access controls). The system supports GDPR rights like access, rectification, erasure, and data portability. We have robust breach detection and response protocols, manage sub processors with strict Data Processing Agreements (DPAs), and use safeguards for international data transfers. Data retention policies ensure personal data is stored only as needed and securely deleted thereafter.	Noted
3.26	Describe your use of sub-processors if any?	Microsoft Azure – We use Microsoft Azure for infrastructure hosting, platform provisioning, and operational management of our SaaS platform. Azure is used to store, process, and manage personal data as part of the service delivery.	Noted
Backup and recovery			
3.27	Is there a clear indication in the software or manuals as to how the data is backed-up and recovered?	This is specified in internal policies as a part of our backup policy. We don't divulge the details to end users as this is secure to us. What we do provide is guarantees and SLA around out backup strategy.	Noted
3.28	How often are backups taken and to what point can restores be done?	Our platform is Geo replicated to a European data centre as a part of Microsoft Backup.	Noted
3.29	How does the software facilitate recovery procedures in the event of software failure? (E.g. roll back to the last completed transaction).	We can roll back to any point in time using transaction logging or Azure backup. We can roll back per individual customer/install where required.	Noted
3.30	If software failure occurs part way through a batch or transaction, will the operator have to re-input the batch or only the transaction being input at the time of the failure?	Yes they would need to re-input but data loss in our platform is not as critical as accounting based software	Noted. This is not a transactional finance system.
3.31	What features are available within the software to help track down processing problems?	Full Azure Application Insights. See Section 6. SaaS Hosted for more details	Noted

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4.	DATA PROCESSING AND REPORTING		
Input and validation of transactions			
4.01	Is data input controlled by self-explanatory menu options?	Yes	Noted
4.02	Are these menus user/role-specific?	Yes	Noted
4.03	Can the creation or amendment of standing data (e.g. customer account details) be undertaken using menu options or dialogue boxes as opposed to requiring system configuration?	N/A	-
4.04	Does the software provide input validation checks such as: - [account] code validation? - reasonableness limits? - validity checks?	Yes Yes in the context of our application which isn't accountancy based. We don't necessarily need reasonable limit validation or validity checks, other than the rules implemented for RCA's such as Health Score which isn't validation but a guide to what is expected. 100% of our validation is required fields and datatype checks, and not limits. We are unable to determine a reasonable limit in the nature of our application. For example, we have "Frequency of event", someone could enter 10,000,000,000 a week if it is a CPU failure on an oil rig drill. As a result our database architecture is quite extreme in it's data type limits.	Noted
4.05	What control features are within the software to ensure completeness and accuracy of data input?	This is managed by system and end point validation rules implemented in the code.	Noted
4.06	How does the software ensure uniqueness of the input transactions? (i.e. to avoid duplicate transactions)	N/A for our platform type. Duplicate records are fine	Noted
4.07	Is data input by users validated by scripts or routines in the browser, or other client software, before transmission to the server?	Yes Front end validation calls an API end point with server side validation	Noted
4.08	Is data input by users validated by routines running on the server before data files are updated?	N/A	-
4.09	Does the above validation ensure that data entered in all input boxes: - Cannot be longer than a maximum length? - Cannot contain unaccepted characters such as semi-colons etc?	Yes where applicable.	Noted
4.10	Are responses to erroneous data input clear so that they do not lead to inappropriate actions?	Yes	Noted
4.11	Does the software have an automatic facility to correct/reverse/delete transactions?	Yes	Noted
4.12	If yes, are these logged in the audit trail?	Yes	Noted
4.13	Are all data entries or file insertions and updates controlled to ensure that should part of a data entry fail the whole transaction fails?	Yes	Noted
4.14	Are messages provided to users clearly explaining whether the data entry or file upload has been processed successfully or not?	Yes	Noted. A green confirmation message-bar shows in many cases.
Import and export of data			
4.15	Can files/attachments be uploaded and stored against any transaction?	Yes	Noted
4.16	Is there an additional charge made for storage of uploaded files? - If yes, please indicate the cost.	No	Noted
4.17	Can data be imported into the system from multiple types of files, e.g. XLS, text, CSV?	Not files but via our integration API. https://demo.api.whatcausedthis.com/swagger/index.html	Noted
4.18	Explain how the system validates imports into the system and what happens to any import which fails?	As per the front end, all our API end points have server side validation to check a valid payload via the Api call. No files processing is done.	Noted. There are no imports as such; there is a data pipe created via the API if required.
4.19	Are imported /interfaced transactions detailed in the audit trail? *[See also 3.27]*	Yes - API end point	Noted
4.20	Can data be exported from all areas of the system to multiple formats e.g. XLS, CSV, PDF, text; if so specify which formats are supported?	Only restricted areas as CSV, PDF and PNG.	Noted

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Data processing			
4.21	Does the software ensure that menu options or programs are executed in the correct sequence (e.g. outstanding transactions are processed before month end is run)?	N/A for our platform	Not a workflow-based system.
4.22	Does the software provide automatic recalculation, where appropriate, of data input? (e.g. VAT)	N/A for our platform	-
4.23	Is a month/period-end routine required to be undertaken?	N/A for our platform	-
4.24	Is it possible to delete accounts if the balance is Nil but transactions have been recorded against the code?	N/A for our platform	-
4.25	What is the size and format of reference numbers and descriptions within:- - Ledgers? - Stock? - Currencies?	N/A for our platform	-
4.26	How does the software guard against/warn about duplicate account numbers on set up?	N/A for our platform	-
4.27	How does the software enable the traceability [from, to and through the accounting records] of any source document or interfaced transaction?	N/A for our platform	-
4.28	What drill down/around functionality is available within the software?	N/A for our platform	-
4.29	If the software uses a lot of standing information which changes frequently or regularly, does the software allow for such changes to be effected through the use of parameters or tables?	N/A for our platform	-
Report writer			
4.30	Does the system have an in-built report generator or is a third-party solution used (if so please specify)?	N/A for our platform	-
4.31	Is the report writer based on a standard SQL-type approach and is it flexible and easy to use?	N/A for our platform	-
4.32	Can the report generator operate over the financial and operational aspects of the system, e.g. combining service metrics with financial information?	N/A for our platform	-
4.33	Is a comprehensive data dictionary provided to aid field selection?	N/A for our platform	-
4.34	Does the system provide a library of reports and templates which can be amended, saved and re-run?	N/A for our platform	-
4.35	Can users create their own reports? If so, what are the controls on users doing this?	N/A for our platform	-
4.36	Can users create saved searches /filters / queries?	No	Noted
4.37	Can regular reports be added to user menus in the appropriate area of the system?	No	Noted
4.38	Does the system support the production of on demand (interactive) and scheduled batch reports?	N/A for our platform	-

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5.	**USABILITY**		
Ease of use			
5.01	Does the solution provide a multi-language user interface?	No English language only	Noted
5.02	Does the system allow for customizable branding and UI (e.g. corporate colour palate, upload company logo, etc)?	Yes, the Super Admin can upload their company logo in the Admin Area to display on Outcome Reports	Confirmed
5.03	Does the system have a similar look and feel and overall and consistency between screens and modules?	Yes, our UI and UX leads have a coordinated focus on this	Noted
5.04	Is data entry easily repeated if similar to previous entry?	Yes via cut and paste and standard controls. We don't really have repeated entries, it's kind of discouraged actually.	Noted
5.05	Does the software prevent access to a record while it is being updated?	It is a live web-based SaaS platform. It is always current. Only one user can have edit access per record though to prevent issues with versions	Noted
5.06	Is there locking at file or record level?	Access to RCA records is controlled by your profile and then below that it is permission based, set by the RCA owner	Noted
5.07	Does the software allow for the running of reports whilst records are being updated?	Outcome reports can be generated from an RCA record at any stage. Multiple Outcome reports can be generated per RRCA depending on the audience	Noted
5.08	Can timestamps or user comments be added to transactions?	There is a Notes function within each and every Cause box	Noted
5.09	Is there the ability to store preferences and default values on a per-user basis. e.g. department/team/user?	These are derived from the User profile and the user set up process. Association to Groups is managed by system Admins	Noted
5.10	Does the system have the ability to provide user-defined fields with associated validation of data input?	Fields that are set as required have validation	Noted. UDFs are not supported.
5.11	Can the system provide users with reminders and notifications e.g. workflows?	It is a dynamic live piece of visual analysis software, those set functions are not required	Noted
5.12	If the system provides workflows, does it have functionality to substitute/delegate authorisations?	RCA has a certain number of steps to ensure a complete and evidence-based outcome, but the steps are not rigid in the platform.	Noted
5.13	Is there the ability for users to define and configure layouts of letters and forms?	No	Noted
5.14	Can users save the parameters of searches?	No	Noted
5.15	Does the system have a "universal search" option, allowing a search to be undertaken over all modules of the system?	Search is available on multiple areas of the platform. Both free text and filter fields	Noted
5.16	Can the system store menu option 'favourites' on a per user basis?	No	Noted
5.17	Can a user open multiple windows accessing the same or different modules of the system?	It is a live web-based SaaS platform. It is always current. Only one user can have edit access per record though to prevent issues with versions	Noted
5.18	Can more than one software function be performed concurrently?	Yes if we are talking about the platform. No if we are talking about the individual RCA records	Noted
User documentation and training			
5.19	Is the manual provided as: - hard copy - on CD - by download - via a web-interface?	In-platform guidance is provided	Noted
5.20	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?	No physical or PDF manual	Noted. A series of "Scribe" videos are currently being developed.
5.21	Is context-sensitive help available within the system?	Help icons are in all relevant and required areas with concise guiding content	Noted
5.22	Is the manual and/or help editable by the user (subject to the permissions matrix)?	No	Noted
5.23	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)?	No	Noted. This is not unusual for SAAS based systems.

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5.24	Please detail the training options available?	Face-to-face on methodology and virtually via Teams for platform specifics.	Noted. Training focuses on RCA principles as platform is intuitive.
5.25	Who provides training: - Software House? - VAR?	Provided in-house by What Caused This Team Members	Noted
Support and maintenance			
5.26	How is the software sold: - Direct from the software house? - Via a Value Added Reseller (VAR) or Integrator?	Software as a Service - recurring annual licence	Noted; access subscription provided direct by WhatCausedThis
5.27	How is the product supported: - Direct from the software house? - Via a Value Added Reseller (VAR) or Integrator?	Direct support provided	Noted
5.28	Do VARs have to go through an accreditation process?	N/A	-
5.29	Is the software sold based upon number of named users or a number of concurrent users?	Named users - known as Analysts.	Noted
5.30	The supplier should detail the support cover options available, covering: - The hours provided? - Associated costs? - The global regions covered?	We provide an end user support facility which is office based 09:00-17:00 Monday - Friday in line with normal use of the platform. We also have a technical support desk which operates at the same times. This SLA and support service is sufficient for the type of platform we provide.	Noted
5.31	Detail the process by which customers raise support requests and how these can be viewed/managed?	Customers raise a support query to support@whatcausedthis.com and receive a Zend Desk reference, communication is via email.	Noted
5.32	Please note the methods of support available: - Telephone? - Internet chat? - Remote access to customer workstation? - Other, please specify?	Email and telephone	Noted
5.33	Do you offer service credits for failure to meet performance around SLA and uptime (if applicable)	Yes	Noted
5.34	What is your escalation path for tickets which have not been resolved within a reasonable time?	Escalation to dedicated account manager	Noted
5.35	How often are general software enhancements provided?	Quarterly releases for new features, patches and hotfixes are released monthly unless of higher severity	Noted
5.36	Will they be given free of charge?	Yes	Noted
5.37	How are enhancements and bug fixes provided to customers?	We provide a release note by email to all our active users	Noted
5.38	Is “hot line” support to assist with immediate problem solving available?	Yes via the dedicated account manager	Noted
5.39	If so, is there an additional cost involved?	No	Noted
5.40	At what times will this support be available?	09:00-17:00 Monday - Friday excl Bank Holidays	Noted
Integration and www facilities			
5.41	Can the software be linked to other packages e.g. word processing, graphics, financial modelling, to provide alternative display and reporting facilities?	Yes via our integrated API. We can't provide an example as yet as they are client specific and our Outcomes Report is sufficient at this point int time. Our API here demonstrates simple use of PowerBi integration: https://demo.api.whatcausedthis.com/swagger/index.html is the API.	Noted
5.42	Can definable links to spreadsheets be created?	Yes	Noted. Really N/A but for example a link could be put in an evidence box.
5.43	Does the system provide a secure document storage capability: If so, please give examples of the document types saved and what transactions these might relate to.	Yes. All documents such as evidence files are encrypted at rest on Azure Blob storage after a Clam AV scan	Noted
5.44	Can documents be scanned into a secure repository?	No	Noted

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5.45	Does the system provide data migration tools for transactional and master data sets (e.g. employees customers, suppliers, journals, invoices).	N/A	-
5.46	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?	Full CRUD with Open API across 600 functional tasks within the platform.	Noted. (Create, read, update, delete)
5.47	Does the system support mobile working?	Mobile working isn't necessary on our platform. However we do provide restricted access to mobile devices. For example, Visual Charting/RCA functionality is suited only for desktop but users can complete tasks or answer queries via mobile.	Noted

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6.	**SAAS/HOSTED OPERATION**		
	This evaluation covers the system but not the method by which it is delivered and/or contracted for. Potential users need to satisfy themselves on the security and disaster recovery aspects and licensing of the online system and any data protection issues of their own and customer/supplier information, contained therein, being held on the system, as well as the return of the data when the contract expires or is terminated.		
Data centres 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?	Our SaaS and business operations operate on Microsoft Azure, UK West. We have incremental and full encrypted Geo-location backup provisions in place in Azure (Europe), in line with our business continuity, ISO27001 obligations.	Noted
6.02	Does the customer get a choice of the jurisdiction in which their data resides?	Yes, however this is restricted to a finite list which we control. UK West, Central Europe, America (to be established) for data governance purposes. It is to be noted that we only have UK customers at present.	Noted
6.03	What certification(s) do you or your platform operators hold relating to your data centres and your business operations?	We hold Cyber Essentials and ISO27001 certifications as a business. Staff have a range of Microsoft credentials and experience to operate the Azure AD and infrastructure. We use third parties for legal and advisory services.	Noted. There are links in the web-page footer.
6.04	Do you or your platform operator have an SSAE16 (System and Organization Controls) report available?	While we do not have an SSAE16 report, we are ISO/IEC 27001 certified, therefore all our organisational controls, including data confidentiality, integrity, and availability. Our certification demonstrates a commitment to robust security practices, risk management, and continuous improvement. Our operational resilience and technical controls are well documented and assessed bi-annually or in the event of significant change.	Noted
6.05	What are the physical controls over the:- - Premises? - Fileservers? - Communications equipment?	We operate in a managed office space of 200 offices within the site. The building has monitored surveillance (CCTV) and a manned reception area with digital visitor management. All office spaces are individually security card accessed. All server/IT spaces have physical and remote access logs and have redundant power supplies in the event of disaster. All communications equipment such as Firewalls, routers and cabling are all housed in the server rooms. In respect to data, our SaaS platform and entire operations is cloud based in Azure. We adopt the Microsoft Security Centre standards with MFA/JIT/PIM and software firewall series and AV present (Qualys).	Noted
6.06	Is the space in this/these data centre(s) shared with any other companies?	Yes, Azure is the main tenant shared by all companies. However every "Dedicated licence" company has it's own dedicated Resource Group and database. In the future, companies will have the ability to sign up to the SaaS install where their data will be housed amongst others (same database) and logically separated.	Noted

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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?	Our customers have the option to register a **SaaS** version (customer data is housed in the same database, logically separated by the software and secured access same resource group) OR A **Dedicated** instance of their platform (dedicated database to their data only and dedicated resource group). At present all our customers have opted for the **Dedicated** version. There is a cost difference yes but not set and variable.	Noted
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?	By design we operate a Multi-Tenancy Architecture, where customer data is logically separated at both the application layer and database layer. All users are authenticated with MFA and a Bearer token controls the session for which they access the context. All data is encrypted at rest.	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?	Our SaaS platform ensures strict data segregation for multiple companies within a single database using logical separation by unique identifiers, ensuring that each company's data is isolated. Role-Based Access Control (RBAC) enforces permissions, allowing users to access only their organization's data. We implement Multi-Factor Authentication (MFA) for all users to enhance security and prevent unauthorized access. Additionally, customer data is encrypted both at rest and in transit. Regular audits, access logging, and real-time monitoring detect and prevent any cross-tenant access.	Noted
6.10	How is [Internet] communication traffic monitored to identify potential problems before they happen: - From a performance perspective? - From a security standpoint?	From a performance perspective we adopt the native capabilities of Microsoft Azure's Application Monitor, Alerts and Application Insights. This provides us resource level analysis on performance. We also apply benchmarking to the platform which is particularly useful to assess performance during dev/test/pre-prod testing for any new features or changes. Azure Front Door and "Azure Traffic Manager" are also useful tools for scale and load balancing. The cloud native design by design helps us achieve the 99.9% uptime SLA to our customers. From a security perspective. We adopt the native capabilities of Azure Security Centre which continuously monitors network traffic for potential security threats, such as unusual patterns, anomalies, or potential DDoS attacks. AI and threat intelligence are in place to detect vulnerabilities and alert our support team of any risks. It is underpinned by Qualys and Clam AV for any file uploads and authenticated user interaction.	Noted
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?	This is N/A really. Azure automatically handles transient network issues through features such as transactional integrity, retries, and automatic failover mechanisms. The Application and resources are tightly coupled as one.	Noted. Handled by Azure.

Ref	Requirement	Vendor Response	Reviewer Comments
6.12	Are communications between the user's computer and the software service encrypted: - User log in data only? - All data exchanged between user client and software service?	Yes all HTTPS/TLS 1.2 (1.3 where supported / requested with dedicated instances).	Noted
6.13	Is data on your servers encrypted at rest?	Yes AES-256 encryption by default and encryption keys are managed via Azure Key Vault	Noted
6.14	Is a test environment provided to test configuration changes? If so, is there an additional charge for this?	Yes, Dev/Test and pre-prod (development partners/customers only). We use CI/CD in Azure which comes with full deployment, backup and rollback strategies out of the box. We offer a sandbox resource group for any of our integration partners (Api) for testing with no additional charge.	Noted. (Continuous integration and continuous delivery/deployment)
Access to customer data			
6.15	What are the implications of the Data Protection Act over information held by the hosting service provider, and how does the vendor mitigate these?	We are the data processor in this instance. Our obligations are set out in our SaaS agreements with customers. We mitigate DPA issues by implementing encryption (both in transit and at rest), using multi-factor authentication (MFA), and applying strict access control policies. We also have clear DPA rules/terms/agreements agreed with our end users with helpful guides on data categorisation and sharing. Regular audits and security assessments ensure ongoing compliance. We also maintain robust incident response protocols to promptly address any data breaches or security incidents.	Noted
6.16	Are you subject to any legal or regulatory requirements obliging you to retain a copy of customer data?	No	Noted
6.17	Who will be able to access or see customer data?	Only authorised persons can see customer data. This includes our own IT staff unless we receive explicit permission to do so by the Customer. In the event of a support ticket being raised, we ask for explicit confirmation that we can access the data (where required). It would be quite rare for us to need to access the context of an RCA/data to determine an issue.	Noted
6.18	Explain the procedures to prevent unauthorised access from staff, or contractors, working for the service provider or any other people with access to the service provider's internal systems.	We utilise Just-In-Time (JIT) access and Privileged Identity Management (PIM) procedures in Azure to control access to IT system(s). JIT Access: Access to sensitive systems is granted only when necessary, for a limited time, and is automatically revoked after the task is completed. The Head of Technology and CEO can grant access currently. PIM: This ensures that elevated privileges are only granted to authorized personnel when required, with approval workflows and monitoring. We also enforce multi-factor authentication (MFA), role-based access control (RBAC), and regularly audit all access activities to maintain security and compliance.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.19	Explain the release management procedures in place and the associated segregation of duties ?	Our release management procedures follow a structured DevSecOps approach in Azure, ensuring continuous integration, testing, and delivery of secure software at each minor or major release. Each of our release pipelines has quality gates and approvals for progression through environments where release packages are peer reviewed and finally signed off for release by the Head of Technology. Automated backup and rollback procedures are in place also. We have 80% automated test coverage across code and an automated pen-test for each deployed end point. We use SonarQube for code scanning.	Noted
6.20	Is there sufficient segregation of duties preventing system developers from accessing and changing live applications and data files?	Yes, segregation of Duties (SoD): Development, testing, and deployment roles are clearly separated to prevent conflicts of interest within the technical team. Developers write code, security teams conduct reviews, and operations/product manage deployment. PIM ensures that elevated access to production is only granted when necessary and is temporary, with a full audit trail. P1 fixes follow a "Hot Fix" release protocol which allows for a timebound access to live systems with customer's permissions.	Noted
6.21	Explain the review and approval procedures covering system operations staff when emergency changes need to be made to live applications and data?	We do have a "Hot Fix" procedure in place for escalated issues. The good news for us is our system as a SaaS isn't business critical but in order for us to achieve minimal disruption, and maintain SLA i.e. P1 events. Sometimes it is necessary for us to grant temporary and audited access to live systems for identification and debug of issues. Even then we still follow the same CI/CD quality gates to protect releases. The change must be reviewed and approved by Head of Technology or delegated authority in absence This approval is expedited but still follows formal procedures to ensure accountability. If elevated role based access is needed, it is granted through PIM and JIT token access. We then conduct a post change review and update policies or procedures where necessary. The HotFix branch is merged into live and a re-testing is conducted.	Noted
6.22	Is an audit trail always maintained of these emergency changes?	Yes, this happens regardless of emergency or normal change by default. All actions are fully documented and auditable, ensuring compliance and tracking of emergency interventions. Learnings are also circulated where applicable	Noted
6.23	What procedures are in place when members of staff leave to ensure that their system access is stopped?	This is fairly straight forward. The user’s Azure AD account is disabled or deleted immediately.	Noted
Platform and service levels			
6.24	Which databases can be used (Hosted) or are used (SaaS)?	All are SaaS albeit we do have a "Dedicated SaaS" which simply means we segregate a database per customer.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.25	What forms of user authentication are supported e.g. user names, passwords certificates, tokens etc.?	Username and password (set password policy for a strong password), MFA. PIM/JIT.	Noted
6.26	What is the proposed product/service availability percentage?	99% (in line with Azure).	Noted
6.27	What percentage availability has been achieved over the past 12 months?	99.90%	Noted
6.28	Is a service level agreement ("SLA") offered regarding: - Service availability? - Data recovery?	Yes, we encompass full data backup and recovery as well as platform availability.	Noted
6.29	Is the service available 24x7 or are there downtime periods for maintenance?	The service is available 24x7 unless in periods of communicated downtime for releases (typically 2am on each Sunday unless a Hot Fix which is that evening with a 24 hour SLA). Our product is typically used in "office based hours" and isn't business critical. Our SLA to customers is 09:00-17:30 excluding bank holidays (Standard Operating Hours) for end user and technical support. This is subject to change once we extend to International clients.	Noted
6.30	Is the customer made aware of maintenance periods in advance?	Yes, 48 hours' notice, with exception to a Hot Fix which can be as short as 1 hours' notice depending on severity. Releases always occur after standard "Operating Hours".	Noted
6.31	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?	100% web based, Class A browser (Chrome, Edge, Safari) required. We don't support outdated browsers	Noted
6.32	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	-
Platform security			
6.33	What security steps are taken to prevent and detect intrusion attempts?	We use Clam AV and Qualys in combination for platform detection. We use rate limiting in Azure for endpoint detection resulting in IP and/or user blocking.	Noted
6.34	Is firewall hardware and software used to protect the live systems from unauthorised access?	Yes	Noted
6.35	Which monitoring software is used to create alerts when intrusion attempts are suspected?	Qualys, Azure Security Centre. Custom notifications are in place	Noted
6.36	Are designated staff responsible for receiving and urgently responding to these alerts?	Yes, dedicated IT support desk with escalation paths.	Noted
6.37	Have clear procedures been established for identifying and responding to security incidents?	Yes, support paths and ticket management varies on severity and this is communicated in our SLA's to our customers.	Noted
6.38	Is all security sensitive software, such as operating systems and databases, kept up to date with the latest software patches? Please indicate how regularly updates are applied.	Yes, automatically in Azure.	Noted
6.39	List the procedures and software tools in place to prevent or detect and eliminate interference from malicious code, such as viruses?	We use SonarQube and automated Pen Testing tooling as a part of our CI/CD pipelines. We also have Application Insights for performance degradation and 80% unit test coverage for performance testing. These quality gates are automated but we also have hierarchy of peer reviews within the release cycle.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.40	Is a system log maintained by the service provider that details - User access? - User activity? - Error messages? - Security violations?	Yes everything is logged. User Access: Azure Active Directory (Azure AD) Sign-In Logs User Activity: In platform database tracking, plus Azure Activity Logs to monitor all user actions, such as resource CRUD. For Error Messages we use Azure Diagnostics Logs and Application Insight to capture system and application error messages. For security we use Qualys and Azure Security Center for automated alerts and logs.	Noted
6.41	Is this log available to the customer?	Available upon request under our SLA. Details are sanitised to a point where it proves not to expose our business under our ISO controls.	Noted
6.42	Have there been any successful unauthorised access attempts been made during the last year? If Yes:- - What was the effect on the business and users? - What steps are in place to prevent this happening again?	No.	Noted
6.43	Is penetration testing regularly carried out by (please indicate frequency of tests): - Staff specialising in this field? - External specialists?	We use automated/AI pen-testing as a part of each release but bi-annually we invite specialists to test our application for vulnerabilities.	Noted
6.44	If penetration testing by a specialist is not performed regularly, please indicate the main procedures in place to identify weaknesses?	N/A	-
6.45	Are security procedures regularly reviewed? Please indicate frequency of reviews.	Yes bi-annually or in the event of a significant change/incident.	Noted
6.46	What security reporting is provided demonstrating compliance against certification(s) and policy(ies)?	Azure Security Center Compliance Reporting provides detailed event based reports that meet our set policies and standards.	Noted
6.47	Are any security breaches communicated to customers?	Yes under our SLA but we've not yet had to communicate or exercise this process.	Noted
Backups by the service provider			
6.48	In relation to backups undertaken by the system provider please explain: - How is a customer's data backed up? - How often is this undertaken? - What is backed up? - What's the media used? - Where are backups stored? - How many copies are there? - How long are they retained for? - Who has access to them? - Is the data encrypted?	This is Azure managed: • How is data backed up? Using Azure Backup, automatic backups capture customer data, applications, and VMs. • Frequency Backups are conducted daily, with incremental backups after the first full backup. • What is backed up? Databases, virtual machines, logs and application data. • Media Azure's cloud storage. • Storage Location Backups are Geo replicated across Europe data centres. • Copies Automatic to Azure. Multiple copies across different Azure regions. • Retention 90 days. • Access Restricted to authorized personnel only. • Encryption Yes AES-256 encryption.	Noted
6.49	How frequently is a test-restore of backups undertaken?	Bi-Annually in line with our Disaster Recovery Policy/Plan.	Noted
6.50	Can the provider restore from a backups that it has taken at a customer request?	Yes with a peer review at our discretion. We can restore any individual customer in insolation.	Noted. (As currently client data is held in separate databases).
6.51	Does a customer have the ability to undertake their own backups?	No.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.52	If so, can a customer restore data a backup that they have taken?	N/A	-
Platform recovery			
6.53	What contingency plans are in place to enable a quick recovery from: - Database or application software corruption? - Hardware failure or theft? - Fire, flood and other disasters? - Communication failures?	• Database/Application Corruption Azure Backup and point-in-time restore ensure quick data recovery. We use CI/CD also for quick rollback to a snapshot pending any release issues. • Hardware Failure/Theft N/A being Azure really as Geo-redundant storage and failover mechanisms automatically switch to healthy hardware in Azure if necessary. • Disasters (Fire, Flood) Azure based > Geo Replication to another data centre. • Communication Failures Load balancing and auto-scale in place. IP/Rate limiting to prevent DDOS.	Noted
6.54	How often are these plans tested?	Bi-Annually.	Noted
6.55	How often are these plans reviewed and updated?	Bi-Annually or in the event of a significant change	Noted
6.56	What are your: - Recovery Point Object (RPO) standards? - Recovery Time Objective (RTO) minimum standards?	In line with Azure. Our RPO standard is typically less than 45 minutes, meaning data loss in the event of a failure would not exceed 45 minutes. Our RTO minimum standard is under 2 hours meaning we aim to restore services and functionality within 2 hours following a disruption. However it is noted that our SLA commits to 2-4 hours for a P1/P2. This is due to the non-business-critical nature of the software.	Noted. This is not a real-time transactional system.
6.57	If transaction records are dated and time stamped are the times used local to the user or based on where the server is located?	All transactions are Universal Time (UTC) to ensure consistency and avoidance of doubt.	Noted
6.58	What protection is in place to enable users to able to access their accounting and other data if the service provider should experience serious difficulties, cease trading or decide to stop providing the service?	There are currently no such arrangements for the continuation of a hosted service beyond a our existence, however data can be restored and provided to the client directly should we cease trading, and the chances of a collapse in the hosting service are minimal if at all existent.	Noted
6.59	If the system is hosted are there arrangements in place for this third party to continue providing a hosting service in the short term to allow time for customers to negotiate their own arrangements? If so, how long does the arrangement allow?	As above	As 6.58
6.60	Are there any individual members of the vendor's staff whose leaving or illness would significantly reduce, or even stop, the service provider's ability to provide a full and reliable service to customers?	No	Noted
Platform change management			
6.61	Describe your approach to upgrades including what option customers have not to take upgrades (if any)?	N/A - as a SaaS upgrades are automatic and mandated.	Noted
6.62	Are users able to test the application before new versions go into live use?	No - however we do have dev partners in place for new feature requests.	Noted
6.63	Are users given notice before application changes are applied to the live system?	Yes, 48 hours' notice, with exception to a Hot Fix which can be as short as 1 hours' notice depending on severity. Releases always occur after standard "Operating Hours".	Noted
6.64	Are changes delivered into the live environment "switched off" to enable users to test them before enabling them for their environment?	No - SaaS	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.65	Describe what testing and QA processes are undertaken before upgrades and other changes are made live/available to customers?	We have dedicated test resources who sign off test cases created against change. This includes functional, security and accessibility testing. We also have a set of automated test scripts within the platform with 80% unit test coverage. We have QA testing with quality gates in SonarQube also for code scanning.	Noted
6.66	If a hosted system, explain the release management procedures in place and the associated segregation of duties?	See 6.19 and 6.20	As above
6.67	Are users informed when they next login of the application changes that have gone into live use?	No - this is communicated out via email as a release note. Not in platform.	Noted
6.68	Do customer staff have to take any action (e.g. regression testing) when new editions, patches or upgrades are released? If so, please describe what they should ordinarily do.	No - although we do have dev partners who test new features for UX/Functional testing/feedback	Noted
Subscription options			
6.69	What is the minimum level of commitment must the customer sign up to, e.g. 36 months?	12 months minimum	Noted
6.70	Where online payment is used, what type of security is used to protect sensitive information?	Online payment isn't used currently. We currently take licence payments via PO and Invoice manually.	Noted
6.71	Where online subscription / payment is used, is an invoice provided to the customer and, if so, in what format?	Invoice - annual in advance	Noted
6.72	When subscriptions need to be renewed, what advance notice is provided and what is the time limit for renewal?	3 months.	Noted
6.73	Is there a procedure for late renewal and is there a time limit after which subscriptions cannot be renewed?	Yes - in system platform notification for 30 days with automatic subscription shut down/no access	Noted
6.74	How soon after creating or renewing a subscription (if applicable) can the system / service be used?	Immediately	Noted
6.75	What notifications / confirmations are provided to the customer regarding subscriptions and payments?	All manual via account management teams. Commercial terms via PO.	Noted
6.76	To what extent are users able to access their accounting and other data if: - They miss one or two payments? - They cease being customers?	N/A not accounting. However data can be exported and provided to them upon ceasing subscription.	Noted
6.77	At the end of the contract term, how long does a customer have to obtain a copy of their data from you?	12 months. We encourage the customer take a full export of data prior to exit.	Noted
6.78	At the end of the contract term, how is a customer's data destroyed (if appropriate) and will that destruction be certified?	All customer data stored in Azure is deleted using cryptographic erasure, ensuring that the data is no longer recoverable. This process is compliant with industry standards like NIST SP 800-88 for secure data destruction. Upon request, Azure can provide a certificate of destruction to confirm that all data has been permanently deleted.	Noted
6.79	What is your processes regarding disposal of end-of-life and failed hardware devices that were used to operate your service?	Shredded and certified by an approved contractor	Noted
SaaS/Hosted Reporting			
6.80	Are reports produced from the same software as the financial applications or is separate reporting software used?	N/A for accounting, however it's the same application for reporting and use. We do have a secure API for specific customer integrations which is managed with our customers directly.	Noted
6.81	Does any application software (i.e. other than a web browser or PDF reader) need to be installed on the user's computer in order to prepare or view the reports?	No.	Noted
6.82	What browser versions are support: - On desktop/laptop (PC, Mac, Linux)? - On Tablets? - On mobiles?	Class A browsers (Chrome, Edge, Safari) Limited features on Tablet and Mobile	Noted
6.83	Is access to the reporting facilities and data controlled by the same procedures as access to the main application?	N/A	-
6.84	If it's different, explain the user access control facilities available to ensure information is only viewed by users with appropriate authority?	N/A	-

Ref	Requirement	Vendor Response	Reviewer Comments
6.85	In what electronic formats are reports produced:- - PDF? - XML? - MS Excel spreadsheet? - CSV file? - As html for viewing in a web browser? - Other, please specify?	HTML, CSV, JSON	Noted
6.86	Are report documents stored on the web server or on the user's computer? If stored on the web server, are they secure to ensure only users with appropriate authority can get access?	N/A - same application in SaaS	Noted. There is no 'separate' Outcome Report; it's within the platform.
6.87	For documents viewable in a browser is any data stored on the user's computer in a web browser cache or temporary file? If Yes: - Is there any protection against other users viewing the report or 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?	N/A - same access controls as use	As 6.86
6.88	Are communications between the browser and the server encrypted for any report related communications?	Yes TLS 1.2 minimum as per the application use.	Noted
6.89	If reports are produced dynamically each time the user views them can historical reports be reproduced at any time?	Yes both	Noted. The Outcome Report is at the current point in time.
6.90	Can reports viewable in a browser be navigated dynamically by users? For example: - Enabling drill down to more detailed information? - Altering which columns and rows of data are displayed. - Choosing time periods? - Specifying selection criteria?	Yes	Noted
6.91	Can report data be reliably copied and pasted direct from browser viewable reports to an MS Excel spreadsheet retaining any table layout?	Yes - but this isn't really a key feature of our platform	Noted
6.92	If reports are incomplete, for instance due to a poor Internet connection, is sufficient information provided to enable the user to notice that some of the report is missing?	N/A	-

Ref	Requirement	Vendor Response	Reviewer Comments
7.	**ROOT CAUSE ANALYSIS**		
	Note that the phrase: • "Firm" has been used for the firm of Accountants having individual users of the software • "Company" has been used for the Client of the accounting firm. • "Event" has been used to describe a single problem incident that has occurred either to the Firm itself or to one of its Clients for whom the Firm is providing root cause analysis (RCA) services.		
Global configuration/setup			
7.01	Does the system provide for the setup and maintenance of the details of the Firm which has Users using the software?	Yes, the system allows for setting up and maintaining Firm details, including user management, role assignment, and access control using Azure Active Directory (AAD). Firm-specific data can be updated in real-time, with audit logs for changes. This is performed by Super Admin or Admin within the platform. Other Firm settings and reference data can be edited also.	Confirmed
7.02	Does the system provide a permissions matrix so that rights can be set at User and role/group level?	No, this is pre-set by us at a role level in line with standard RCA practice. Behind the scenes there is a permissions matrix for every end point and CRUD action in the system but we've not yet had the need to expose this to Admin to pre-configure and create their own roles	Noted
7.03	Does this apply to: - Administration of access for the Firm's Users? - Specific areas of functionality? - All the Events of a specific Company? - A specific Event for one Company? - Adding editing Evidence and/or Solutions to Events? - Authorisations? - Access to any linked systems? - Other, please specify?	Yes to all	Noted
7.04	Can users be "archived" if they are no longer active within the Firm? If so: - Is a history of what they worked on retained by the system? - Can they be "unarchived" to re-enable their access?	Yes, soft delete to retain data integrity.	Confirmed. Users can be deactivated and re-activated if required.
7.05	Is it easy to see what security level/profile a user is logged in as, e.g. is their users 'name' displayed on-screen? If so, can a user change profile [by logging in again] from a menu screen?	Yes. This is at the Firm level and RCA level as an Admin of a Firm could be a Viewer (lesser role) of a particular RCA.	Noted
7.06	Is it possible to define delegated access? If yes then please explain the levels of access provided.	Yes, but only at an RCA level not at a Firm level. An RCA owner can create a "team" and set the roles within that team specific to that RCA regardless of Firm role. The owner or Facilitator of an RCA can gift capabilities for periods of time.	Noted
7.07	Can multi-level authorisations be set? E.g. A users and their manager must both approve an action?	Yes, this is mainly for User/Licence management. There aren't any other needs/requirements for Admin authorisation.	Noted
7.08	Are the restrictions on more than one User working on the same Event for a single Company) at the same time?	Yes. We call this an RCA Facilitator, only one Facilitator at any one time. Should the Facilitator be unavailable then the RCA Owner can delegate authority to another user.	Confirmed. There can only be one "chain editor" at any time.
7.09	Are there restrictions on more than one User working on multiple Events (for different Companies) at the same time?	No	Confirmed, subject to permissions
7.10	Can a User of the system have multiple windows open at the same time on a single Event?	No, they receive a warning to ensure they're working on the latest snapshot of that Event.	Noted
7.11	Does the system allow a User to use multiple devices to support mobile working, e.g. a workstation and/or a tablet?	Limited access on Mobile/Tablet. They can perform all tasks with exception of the Chart Analysis. It works on Tablet as a view but "Chain Building" functionality wasn't a requirement at this time.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
7.12	Does the system provide a facility for auto-saving entries made into the system (e.g. after adding Evidence) 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?	We have a mixture. We have a CTA save process for any form submissions/changes whereby we would need to run validation and/or prompt the user with a confirmation message for performing the action. Within the Chart itself we have a real time save mechanism, which is fully logged, the user can undo actions at that point in time. The UX is that of MS Word with AutoSave capabilities	Confirmed. Changes to the chart are always in real-time.
7.13	Can the system work in an "offline" mode, with transactions transferred to the service once Internet connectivity is available and enabled? i.e. can information be completed off-line and uploaded?	No, a warning message appears if there is a loss in connection.	Noted
7.14	Does the system make use of global lists, e.g. Postcodes, risk types, ? - If so, specify what is provided.	Yes, we use a Postcode look up facility for UK addresses. We also have manageable reference data and settings configurable for Admin. So far this includes: Help text and labels Themes Locations	Noted
7.15	Does the system have an **audit trail** that includes details of all changes to: - Standing data (global lists)? - Any libraries of causes, risks, etc? - All manual entries/changes to inputs made by a User?	Full audit trail across all reference data. Full audit trail across all Events, including Evidence, tasks and RCA data changes Full audit trail of user inputs (generally chart based data and tasks).	Confirmed
7.16	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, API, etc): - Companies House (for valid Company lookup)? - Finance/ERP systems? - Others, please specify?	Only basic links to - Postcode lookup (with manual fall back) - SendGrid (for email batch processing) - Twilio (for SMS/MFA, with fall back) No other finance/ERP systems integration however we do have an Open API for customers to perform their custom integration to their system but these are GET rather than POST/PUT.	Noted
Portal:			
7.17	Does the system provide a portal to enable the exchange of information between the Firm and a Company?	N/A I believe, The Firm's users can invite a Company to perform an RCA.	Noted
7.18	If yes, please clarify the level of security in relation to: - How authentication is managed? - Whether MFA is supported? - Is a secure [https:] connection provided? - Are login / inactivity timeouts enforced? - Are complex passwords required as well as the need for regular password changes?	Authentication is by email and secure password. Integrated SSO options is available. MFA is enabled by default. HTTPS always Yes timeout is enforced (30 mins) Password complexity is enforced (12 mixed characters alphanumeric). We don't enforce a password change process but we do ask a user to confirm access to their email address via magic link to ensure users still have access to the Firm.	Noted
7.19	What end-user computing platforms are supported for access, e.g. Windows, Mac, iOS, Android? And what Internet Browsers are supported?	Windows, Mac, IOS, Android. Class A browsers, Microsoft, Safari, Chrome.	Noted
7.20	What Accessibility standards have been adhered to in the design of the portal?	The platform has been designed with WCAG 2.1 AA standards in mind. We have a dedicated UX team aufait with the standards and we are continuously working to enhance accessibility features such as keyboard navigation, screen reader support, colour contrast configuration, and text scalability.	Noted
Company setup			

Ref	Requirement	Vendor Response	Reviewer Comments
7.21	Does the system provide for the setup and maintenance of the general details of the Company? If so, does this include: - Company name and company number - Address - Contact information - A flag denoting whether the Company is active or not?	Yes. A Firm in this instance would be a Consultancy who'd set up a Company within the platform, there is a "Switch Company" function within the platform and only activities can be performed on one company at a time - basically users authenticate with that company upon switching. A Company is set up by the Firm Admin and can't be set by anyone else. The Company always remains there as an option until the event they are disabled. We hold limited information at the Company Level - Name, Address, Contact information and Super Admin.	Noted. This is how a professional services firm might operate with it's multiple clients. *
7.22	Does the system provide validation of data input? - If so please detail the validation types provided.	Yes. - Format validation - Ensures input matches predefined formats (e.g., email, phone number). - Required field validation - Ensures mandatory fields are not left blank. - Range validation - Ensures numerical inputs fall within a specified range. - Length validation - Restricts input to a minimum or maximum number of characters. We also force users to confirm non-sensitive data is uploaded to the platform. We also have file based validation for non-supported file types and/or bad files.	Noted
7.23	Does the system allow the User to enter dated activities related to the Company, e.g. task and meeting information, and track progress and completion of these items?	N/A really unless a consultant of the Firm is performing an RCA on behalf of a Company but then this would be documented in the Event/investigation detail itself as notes, tasks and within the problem statement.	Noted
7.24	Is any assigned "delegate" able to view/amend this information?	No. Only with necessary set permissions. Changes are audited.	Noted
7.25	Can files be uploaded against the Company record? - If yes, what format of files is supported, e.g. PDF?	Not a Company record but an Event against a company can accept evidence files such as PDF, Office documents, wav or video files and images of non-sensitive data.	Confirmed
7.26	In relation to the Company portal (See above) can the Company log into the portal at any time and update their details? If so, please provide details of any update facility provided.	No - N/A really.	-
7.27	If yes, please explain how is their access restricted only to their Events?	N/A	-
Dashboard			
7.28	Does the system provide dashboard functionality such that a list of current Companies together with the current status of any open Events (*problems/incidents, see below*) can be presented to the User on a single screen, showing: - The Event name and date - The Event type, status and progress - Any deadlines for actions - Other, please detail?	Yes, this is available in a separate Admin Dashboard. At present only WhatCausedThis has this functionality. We've yet have a Firm/Consultancy require the capability to manage multiple Companies, but it is possible within its architecture. Events/RCAs, are mini projects and do carry time bound events such as Open tasks, themes and an array of intelligence, we present relevant insights to an individual RCA and also the collection of RCAs to help drive solutions and improvement	Noted. See 7.21 above.
7.29	Is a/the dashboard presented to the User on their "home screen" when they login to the system?	Yes	Confirmed
7.30	Can the User navigate directly from a dashboard into: - A currently open Event? - Any outstanding Actions? - Other, please specify?	Yes - anywhere within the platform	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
7.31	Are dashboards automatically personalised according to the User's role and areas of responsibility? If so, how does this operate?	Yes, we use role based intelligence and insights which are filtered only to the Events the user can see. This is Events they've been invited to collaborate or assigned to as a user within a group. Users can set filters against their dashboards and toggle certain Events and query the intelligence. We are actively improving our dashboards with our CauseBot.AI capability which will infer more personalised results based on the user's skill/preferences and interactions.	Noted
7.32	Does the system have search functionality to enable the user to jump to a Company/Event? If so, what search parameters are available?	Yes - Switch Company. This is available to all users who are active licence holders across multiple Companies within the same "Install".	Noted
7.33	Does the dashboard show the progress of the key areas of an Event and whether Causes and Actions have been entered? If so, is it possible to filter the list of Companies/Events by Events of a particular status?	Yes. With full filtering capabilities. Some key areas of focus landing well with our customers against an Event is: Health Score - an indicator on "Completeness" of an RCA, including a pre filtered action panel to allow a user to drive the %age completeness of their RCA in a gamified way Tasks - infers open actions and aged actions as a RAG indicator by user.	Confirmed
7.34	Is possible to set alerts/reminders/appointments from the dashboard, e.g. To regularly review a set of actions?	Yes, we force this via the Tasks engine as a central place.	Confirmed
7.35	If so, do these integrate with Microsoft Outlook?	Yes Office365 is one of the many API integrations we have.	Noted
7.36	Can a User create a custom dashboard?	Not currently;	Noted
Events (Problems/Incidents)			
7.37	Does the system provide for the setup and maintenance of Events (*meaning an RCA problem or incident*) and have the ability to assign an Event or Events to a Company?	Events are created within a Company, we have a strict non-cross-company policy, users will switch context and authenticate against a company to perform tasks.	Confirmed
7.38	Does an Event include: - An overview / analysis of the problem? - A Type, e.g. Financial, compliance, IT-related, other? - The potential severity? - Other flags/statuses to use for analysis?	Yes, we capture Problem Statement - key details about the Event, incident, risk or improvement they want to analyse. Based on this we capture dynamic elements relating to the Analysis such as severity, frequency, priority, and date bound events to support the analysis. Impacts - against every category of Analysis we capture theme based impacts such as Financial, Technological, Cultural etc. Against each impact we weight this and ask the user whether they'd like to track the impact in their analysis (Step 3 of creating an Event is building your team for collaboration on the Analysis) Once the Event has been created the team are then tasked (via Health score and other means) to complete the RCA against the tracked impacts, they achieve this by building Causal links between causes and the impact. This relationship cube helps us assess a "definition of done" and derive dominant/root causes against certain impacts. This is a powerful analysis engine that can be cut in many ways to help drive solutions.	Confirmed
7.39	Can one of more members of the Firm's team (Users) be assigned to work on an Event?	Yes, a team is created and roles assigned within the RCA. Interested parties (Groups) can also be assigned as Viewers to receive progress updates and run reports.	Confirmed

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Ref	Requirement	Vendor Response	Reviewer Comments
7.40	Does the system allow a potential "Impact" to be assigned to an Event? If so, can multiple Impacts be assigned to a single Event?	Yes Impacts can be set as Actual or Potential impacts and can be tracked through the Analysis stage	Confirmed
7.41	Does an Impact have a severity rating of some sort? If so, detail what is provided.	Yes, this is a question when creating an impact.	Confirmed
7.42	Based on the type of Event, Impact, and severity rating does the system automatically produce some sort of "score" (or rating/ranking) against an Event to indicate its significance in relation to other Events?	Yes, we have the ability to derive Intelligence across Themes, Solutions, Impacts and underlying meta data as league tables and trend intelligence. This can be shared across Groups and more widely. We have pre-set league tables and a reporting engine that can apply many lenses across the data.	Confirmed
7.43	If yes, is this shown: - Against the Event? - On the User's dashboard against the Event?	Yes we have an Event dashboard and an aggregated Events dashboard.	Confirmed
Causes, Evidence, and Solutions			
Causes:			
7.44	Does the system allow the entry of Causes linked to Events (problems/incidents)?	Yes via our visual causal analysis charting capability	Confirmed
7.45	Can a Cause be linked to multiple Events?	Yes we have linking capability and a powerful visual aid to allow for this	Confirmed
7.46	Can an Event have multiple linked Causes?	Yes	Confirmed
7.47	Does the system suggest Causes from an in-built library?	This is an improvement area in the roadmap currently where we are also improving this with an AI recommender.	Noted. This is not recommending causes, but rather indicating that similar events have happened elsewhere and "here are some of the causes that were relevant here…"
7.48	If so, can the library be edited by Users of the Firm?	Not currently;	Noted
7.49	What information can be captured against a Cause? - Description? - Type (code/description)? - Impact (rating/description)? - Other, please detail what else is included?	Key pieces of information is Description, Type, Theme. We then link - Evidence - Tasks - Notes - Impacts - Solutions Against a cause box. The "Completeness" of a Cause box creates a Health Score against each cause.	Confirmed
Evidence:			
7.50	Does the system allow the entry of Evidence?	Yes	Confirmed
7.51	If so, can Evidence be: - Text-based entry? - Linked to Causes? - Marked as "Not required" - Other, please specify?	Yes all of the above, including file based evidence. "Evidence Strength" is a good indicator of relevance to the cause.	Confirmed
7.52	Can Evidence be supplemented by uploaded documents/files? If so: - What file format(s) are supported? - Is an extra charge made to store these documents?	Yes. PDF, Office based docs, Audio and Video, JPG. No extra charge	Confirmed
Solutions:			
7.53	Does the system allow the entry of potential Solutions against a Cause?	Yes	Confirmed. These could be pushed to a compatible third-party system using the API. Over 700 data points are available.
7.54	If so, can Solutions be: - Text-based entry? - Linked to Causes? - Marked with a rating, e.g. Good, partial, minimal? - Marked with a timescale, e.g. Long/medium/short-term? - Marked with a complexity, e.g. How difficult to achieve? - Other, please specify?	Yes all the above. We also capture Effectiveness against the cause which helps derive a league table of the "best solution" to solve impacts.	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
7.55	Does the system suggest Solutions from an in-built library?	Not at present but this is on the roadmap as an improvement area with the use of AI	Noted
7.56	If so, can the library be edited by Users of the Firm?	No	Noted
7.57	Can Solutions be supplemented by uploaded documents/files? If so: - What file format(s) are supported? - Is an extra charge made to store these documents?	Yes. PDF, Office based docs, Audio and Video, JPG. No extra charge	Confirmed
7.58	Does the rating, timescale, and/or complexity of a Solution form part of the Events' "Score", **see 7.42** above?	Yes. This forms part of our Health Score algorithm	Noted
Actions:			
7.59	Does the system allow the entry and maintenance of Actions?	Yes	Confirmed
7.60	Can an Action be linked to: - An Event? - A Cause? - Evidence? - A suggested Solution? - Other, please specify?	Yes all of the above.	Confirmed
7.61	Can the following be entered against an action: - A description of the action required? - One or more assigned users? - A due date? - A level of priority? - A flag indicating completion of the action? - A completion date?	Yes all of the above.	Confirmed
7.62	Can an action be linked to Outlook?	Yes Office365 is one of the many API integration options	Noted. See also 7.35.
Chart / Map			
7.63	Does the system provide a graphical interface for the entry and maintenance of: - Events? - Related supplementary Cause-related information? - And the links between the various elements of RCA relating to an Event?	Yes, through our visual causal charting capability	Confirmed. This is very easy to use and navigate.
7.64	If not, please explain how is this information is entered and subsequently maintained? E.g. Text/code based	N/A	-
7.65	If graphical, are the following UI functions supported: - Pan around the chart/map structure? - Zoom in/out? - Filter specific Events/Causes/etc? - Collapse / open parts of the structure? - Re-link (drag and drop) elements of the structure? - Prune/graft branches of the structure? - Duplicate parts of the structure? - Other, please specify?	Yes we offer all the listed capabilities except for duplication which is conducted via "links", duplication isn't promoted. In addition We have a unique Causal Storage area for storing temporary or unused causes We have a Lensing capability to highlight areas of the chart based on Coverage or relationships and other insights.	Confirmed
7.66	Is it possible to drill into any element of the chart/map and view and edit the details of that item?	Yes	Confirmed
7.67	Can the chart/map be saved to other formats e.g. Excel, CSV, txt, XML, PDF, JPEG, etc.? - If so, please state the formats supported.	Yes exported as a PNG.	Confirmed
Analytics / Outcomes			

Ref	Requirement	Vendor Response	Reviewer Comments
7.68	Does the system provide a series of inbuilt analytics that summarise numerically/graphically the themes, solutions and effectiveness of the solutions? If so, describe what is available.	Yes we have: Coverage insights - demonstrates coverage of certain themes, solutions, impacts, evidence and health of each cause or linked entity Dominance - derived from impact relationships, we find dominance is better set against a certain impact or category of impacts Impacts by [Solutions, Impact, Theme] - the ability to derive deeper intelligence against Causes or a chain of causes against certain impacts plus the ability to assess (based on effectiveness and impact<=> Cause relationship) the most effective solutions to deliver most effective returns on investment.	Noted. These are the lenses associated with the chart. The ability to use the API to link to other systems (e.g. PowerBI) provides flexibility here.
7.69	Does the system allow drill through from the summary analytics into the underlying Event?	Yes	Confirmed
7.70	Can the analytics output be saved directly to other formats e.g. Excel, CSV, txt, XML, PDF etc.? - If so, please state the formats supported.	HTML outcome report and PDF	Confirmed
Reports			
7.71	Does the system provide a series of inbuilt reports that cover: - A summary list of Events for a Client? - The details of a specific Event, with associated causes, Solutions, etc - The graphical Chart/Map representing that Event etc? - Outstanding actions on an Event/Cause/Solution/etc? - Cause(s) and supporting Evidence on an Event? - A summary of Causes by "Type" (Theme)? - List of actions, filtered by User, Status, and/or date? - A list of Event types with Causes and Solutions as feedback? - A list of Events with associated "Score" (7.42)? - Other, describe the reports available.	Yes we have a highly configurable HTML "Outcome Report" which allows the user to detail granular information of the Event from creation through to analysis and outcomes.	Confirmed. There are a series of options to include/exclude parts of the report as required. The chart can also be included.
7.72	Does the system provide the ability to export/print a summary of an Event, e.g. for provision to an insurer?	Yes	Confirmed. The approach here depends on what data/charts are required.
7.73	Does the system allow drill through from a report into the underlying Event?	Yes	Confirmed
7.74	Are all reports adequately titled and dated? e.g. report name, Firm name, pages, numbers etc.	Yes	Noted, as defined
7.75	Do the reports provide totals where applicable?	Yes	Noted
7.76	Does the system allow the layout of reports to be customised: - Font? - Paragraph style? - Page format? - Watermark, e.g. "Draft"? - Company logo/graphic? - Other, please specify	Yes - company branding was an essential element to a report. We don't have draft reports as everything is "Live" based on RCA status	Confirmed branding (logo) is supported, but not font/style etc. This is held in the company settings.
7.77	If so, does the system allow graphics and/or the Firm's logos to be incorporated in the page formatting?	Yes	Confirmed
7.78	Can all reports be print previewed?	Yes	Confirmed; it's live. You could also print or export as a PDF from within the Browser if required.
7.79	Does the reporting functionality have the facility to scroll up and down when output to screen?	Yes	Confirmed
7.80	Can reports be output directly to other formats e.g. Excel, CSV, txt, XML, PDF etc. for any period of time required? - If so, please state the formats supported.	PDF, we also promote Share capability to other users in the platform	Noted. All are timestamped.
7.81	Is it clear when a document or report has ended (e.g. totals or end markers)?	Yes	Confirmed; there is the summary section at the end.

Ref	Requirement	Vendor Response	Reviewer Comments
7.82	Is a report writer provided as part of the software?	We have a REST APi where a user can run every lens and interact with every Event right down to the Cause level to pull their own reports into their own BI suites	Noted
7.83	If so, please provide details of: - The level of knowledge required to use it (beginner, user, expert). - The level of customisation provided.	Outcome reports are easy to configure, as so are the lenses, in-platform help videos and content are available to users as refresher. We also provide end user training during onboarding. API integration or BI integration is generally someone more technically advanced.	Noted