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	HEADER		
	ICAEW Technical Accreditation Scheme "Request List & Document Management" Software Evaluation		
	Date completed: 11th December 2023		
	© ICAEW. Technical Accreditation Questionnaire v ZB29x01		
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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:	Suralink provides accounting and other professional service firms with a single, secure platform to collaborate with clients, exchange documents at scale, and track the progress of engagements. With enterprise-grade security and an easy-to-use interface, Suralink's award-winning client interaction portal helps firms increase efficiency and improve their relationships with their clients. Suralink works with more than 850 tax, advisory, and audit accounting clients, as well as legal services, security consulting, financial services, and banking companies worldwide.	
1.09	Supplier background:	Suralink was founded in 2014 by Tim Ballantyne, a CPA who saw a need for this solution in the accounting market. Since then, Suralink has become a key tool for auditors, tax preparers, accountants, legal staff, financial staff, and other professional services users. Suralink is available and supported worldwide.	

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1.10	Product background and suitability for the user:	Suralink's core product is Request List Management, a secure and dynamic request list portal that enables firms to automate the request list process, organize requests, track their status, share documents, and communicate with clients.	
1.11	Add-on modules:	Secure File Sharing is an optional add-on, which serves clients who need to exchange files on a one-off basis using a secure link. Secure File Sharing is fully integrated with Request List Management, allowing you to move documents and evidence seamlessly between the two products within the same platform and ensuring that sensitive files remain within an encrypted and secure environment. We also offer a Microsoft Outlook add-in that enables firms to send or request files directly from email. Suralink also provides a library of open APIs that connect with systems firms use the most (CRMs, IT provisioning software, BI tools, etc) to ensure seamless transfer of data and to automate redundant tasks.	
1.12	Typical implementation [size]:	1-5000 firm users	
1.13	Vertical applications:	Accounting (audit, tax, advisory), internal audit, legal, banking and lending, investment, financial services, other professional services	
1.14	Server flatform and database:	AWS	
1.15	Client specification required:	Suralink is a browser based application and has been optimized to be mobile friendly. The application can be accessed via any mobile device with access to a up-to-date browser.	
1.16	Partner network:	DataSnipper, Trullion, Finagraph, Validis, Aiwyn, Beeye, PKF Littlejohn	

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2.	<u>**ISSUES AND CONCLUSION**</u>			
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 not possible for a user to undertake their own "point in time" backups directly via the UI, this functionality could be developed by a customer via the API .			3.27-3.28 6.48, 6.51
*	The system does not have an in-built report-writer, but does have a basic inbuilt reporting function.			4.30-4.35 6.80-6.92 7.105
*	Reports cannot be added to user menus as user-defined reports cannot be created and saved.			4.37
*	The system does not support the production of scheduled batch reports.			4.38
*	With regards to usability: The system supports a limited number of user-defined fields.			5.10
*	The system's help text cannot be updated by the user.			5.22
*	ESCROW is not offered for the software, but this is not unusual for a SaaS service.			5.23
*	No service credits for failure to meet SLA, but this could be discussed on a per-client basis.			5.33
*	Live links to spreadsheets are not supported.			5.42
*	A standard SLA is not offered			6.28
*	No delegated access and multi-level authorisations are not possible.			7.04 7.05
*	Audit risk levels cannot be allocated to requests, but statuses can be applied to provide similar functionality.			7.71
*	Users cannot create their own custom dashboards.			7.81
Evaluation conclusion				
2.03	For the specific use-cases in support of audit preparation by Audit Firms of all sizes, 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 an engagement. * NOTE THAT THE ACCREDITATION RELATES TO THE SOFTWARE PRODUCT AND NOT TO THE AUDIT METHODOLOGY THAT UNDERPINS IT. THE ACCOUNTANCY FIRM USING THE PRODUCT NEEDS TO DECIDE WHETHER THE AUDIT METHODOLOGY EMPLOYED IS APPROPRIATE FOR THEIR NEEDS AND COMPLIES WITH RELEVANT AUDITING STANDARDS *			
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.	<u>ACCESS AND SECURITY</u>		
Access control			
3.01	What security features are included to control access to the application?	The solution supports Role Based Access security controls. Firm users can be assigned one of three roles described below: • Administrators - Can manage the firm settings and can access all clients including sensitive clients. Are able to authorize actions on the account such as data restores, name and email changes, etc. • Managers - Can create and delete clients, control team assignments, and invite or remove users to/from your team. They do not have access to the Firm (admin) page or a “sensitive” client they are not assigned to. • Staff - Can only access and engage with the clients that they are assigned to or that they have created themselves. Once assigned, Staff can do anything within a client space including create engagements, invite client users, delete the client, etc. Firm Wide Sensitive Mode – Admins can make all clients sensitive by default from the Firm page. This is the strictest way to restrict access. Admins can also restrict managers from accessing the Team page where firm users are created and given assignments. Client users can be made "Client Administrators" to add and remove their team members. Additionally, firms can leverage their own SSO solution for enforcing access controls for the application.	Confirmed
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. See 3.01	Confirmed
3.03	Is this access to the application managed by:- - Individual user profiles? - User groups or job roles?	See 3.01	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?	Yes	Confirmed. And this can be exported to Excel
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?	Please refer to response 3.01 for details relating to privileges provided by role.	Confirmed
3.06	Does security allow for access to be limited to: - Read only? - Read/write? - Read/amend/delete?	No	Noted. Access is via the interface or the API only
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?	Data cannot be extracted using an ODBC connection. Limited engagement data can be extracted from Suralink into a report writer (for example: Microsoft BI) using Suralink APIs. Suralink APIs are managed by unique API keys that are created and managed by the firm.	Noted
3.08	Does the system security integrate with Microsoft's Active Directory or other tools that provide a single sign-on?	Suralink supports SAML2.0 authentication for firm users. Vendors supported include Azure AD, ADFS, OKTA, etc	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?	NA	-
3.13	Are passwords masked for any user logging in?	Yes	Confirmed

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3.14	Is password complexity available and enforced?	Typically our clients leverage their Single Sign On solutions to manage password complexity and enforcement	Noted. Complexity not enforced by the system itself.
3.15	Are passwords encrypted?	Yes	Noted
3.16	Are users automatically logged off after a pre-set time not using the system? - Can the time period be changed? - Can any information be viewed without being logged in, including after logging off, if so what information?	1- Yes 2- Yes 3- No	Noted
Deletion of transactions			
3.17	Is it possible to delete a transaction?	NA	Noted. Not a transactional system
3.18	If so, then how are deletions controlled by the system?	NA	As above
3.19	Are deleted transactions retained in the audit trail (see below) and denoted as such?	NA	As above
Audit trails			
3.20	Does the system have an audit trail (log) which records all changes to transactions in the system?	Yes	Confirmed. There is an engagement level audit trail (time line) of all changes. This has a drill through back into the engagment details.
3.21	Does this log also record any system error messages and/or any security violations?	We watch/record every action taken in our system. We use an active IDS/SIEM that is monitored 24x7 to protect against anomalous behavior.	Noted
3.22	Is it possible to turn off or delete the audit trail?	No	Noted
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?	Yes	Noted
Compliance			
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 Clients of Suralink should maintain a data processing agreement with Suralink Standard Contractual Clauses (SCCs) are in place for transfer of data in accor- dance with GDPR requirements Technical and organisational measures are equivalent to the standard required by GDPR; refer to Suralink's SOC2 report for full details Audited SOC2 report available, subject to agreement and an NDA being in place Suralink does not sell data to any third parties Suralink will assist with any potential Subject Access Requests/Breaches in accordance with our Data Processing Agreement Staff at Suralink are adequately trained to handle personal data in accordance with GDPR Personal Data will be deleted/returned in accordance with the written instruc- tions of the client set out in the data processing agreement and/or terms & conditions	Noted
3.26	Describe your use of sub-processors if any?	Only AWS	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?	Yes	The API can be used to take a copy of the customer's data and store it outside of Suralink.
3.28	How often are backups taken and to what point can restores be done?	We do regular backups of all data and servers. Full backups are run weekly with incremental backups running. Backups are retained for up to 30 days and can be resotred with approval from appropriate personnel.	Noted

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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 have a disaster recovery plan and business continuity plan. Please refer to provided SOC 2 for more information.	Noted. See 3.25
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?	Out of the box all edits/updates are done by the user via the interface. In the event batch process (via the API) are desired we would need to work with your project team to determine these details.	Noted
3.31	What features are available within the software to help track down processing problems?	Full audit trails are maintained in the application. Online chat support is available for end users; they can also contact their Customer Success Manager.	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	Confirmed
4.02	Are these menus user/role-specific?	The solution supports Role Based Access security controls. Firm users can be assigned one of three roles described below: Administrators - Can manage the firm settings and can access all clients including sensitive clients. Are able to authorize actions on the account such as data restores, name and email changes, etc. Managers - Can create and delete clients, control team assignments, and invite or remove users to/from your team. They do not have access to the Firm (admin) page or a "sensitive" client they are not assigned to. Staff - Can only access and engage with the clients they are assigned to or that they have created themselves. Once assigned, Staff can do anything within a client space including create engagements, invite client users, delete the client, etc. Firm Wide Sensitive Mode – Admins can make all clients sensitive by default from the Firm page. This is the strictest way to restrict access. Admins can also restrict managers from accessing the	Confirmed
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?	Yes. Client, client user, and engagement information can be edited(create, delete, modify) directly from the user interface without the need to reconfigure the system.	Confirmed
4.04	Does the software provide input validation checks such as: - [account] code validation? - reasonableness limits? - validity checks?	Yes. The application provides validation for data entered in fields like email address, quantity fields, dates, required fields for first name, last name, and it provides valiation for required custom alpha-numberic fields for engagement and client IDs.	Noted
4.05	What control features are within the software to ensure completeness and accuracy of data input?	Same as above. When a client, engagement, firm or client user is created, certain data fields are required. The application does not allow the user to create those resources if all the required fields are completed.	Noted
4.06	How does the software ensure uniqueness of the input transactions? (i.e. to avoid duplicate transactions)	The system tracks and audits all system input. The ability to perform these types of transactional input in the system are managed via role based access and user specific privileges. This can be managed stand alone within the application, as well as via integration with SSO solutions.	Not a transactional system.
4.07	Is data input by users validated by scripts or routines in the browser, or other client software, before transmission to the server?	Data input is validated browser side before it is committed to the database.	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	Noted
4.10	Are responses to erroneous data input clear so that they do not lead to inappropriate actions?	Yes	Noted

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4.11	Does the software have an automatic facility to correct/reverse/delete transactions?	Yes, We keep metrics and logs and watch/record every action taken in our system. We use an active IDS/SIEM that is monitored 24x7 to protect against anomalous behavior. A complete audit trail is maintained for each indiviual request and is availble for end users to ensure they have complete visibility into any comments and/or edits/updated or document uploads.	Noted. Again, not a transactional system.
4.12	If yes, are these logged in the audit trail?	Yes, see above	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
Import and export of data			
4.15	Can files/attachments be uploaded and stored against any transaction?	Suralink's Request List Management product provides the ability for end users to upload and store metadata and documents (unlimited number/size/type) against any request in the engagement.	Confirmed
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?	Yes.	Noted
4.18	Explain how the system validates imports into the system and what happens to any import which fails?	Suralink supports the creation of engagements or PBC list by importing information from an Excel file. The Excel file has to be formatted into a specific format that the system understands. If the columns and/or rows are not properly formatted, the system errors out letting the user know that there is an error. This process happens directly in the user interface making the process easy to execute.	Noted
4.19	Are imported /interfaced transactions detailed in the audit trail? *[See also 3.27]*	Yes	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?	Suralink provides native capabilities to export any engagement level metadata into XLS, PDF or to print. This can also be automated via the APIs. In addition to this, the solution provides the ability to export all engagement related documents via the interface or API in their native formats.	Noted
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)?	Yes	Noted
4.22	Does the software provide automatic recalculation, where appropriate, of data input? (e.g. VAT)	NA	-
4.23	Is a month/period-end routine required to be undertaken?	NA	-
4.24	Is it possible to delete accounts if the balance if Nil but transactions have been recorded against the code?	NA	-
4.25	What is the size and format of reference numbers and descriptions within:- - Ledgers? - Stock? - Currencies?	NA	-
4.26	How does the software guard against/warn about duplicate account numbers on set up?	NA	-
4.27	How does the software enable the traceability [from, to and through the accounting records] of any source document or interfaced transaction?	We keep metrics and logs and watch/record every action taken in our system. We use an active IDS/SIEM that is monitored 24x7 to protect against anomalous behavior. A complete audit trail is maintained for each indiviual request and is availble for end users to ensure they have complete visibility into any comments and/or edits/updated or document uploads.	Confirmed, see 3.20

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4.28	What drill down/around functionality is available within the software?	Suralink supports the ability for users to drill into client details, engagement details, their associated request line items, and notifications.	Confirmed
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	-
Report writer			
4.30	Does the system have an in-built report generator or is a third-party solution used (if so please specify)?	The system provides the abiity to export and/or provide engagement level reporting both in the app and via automated email notifications. Additionally, if a firm is already leveraging a Business Intelligence solution, they can export any information captured by Suralink during the engagement lifecycle to those reporting systems.	Noted. The system does not have its own report writer/generator.
4.31	Is the report writer based on a standard SQL-type approach and is it flexible and easy to use?	N/A	-
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	-
4.33	Is a comprehensive data dictionary provided to aid field selection?	Yes	Noted
4.34	Does the system provide a library of reports and templates which can be amended, saved and re-run?	N/A	See 4.30. Dashboards are available.
4.35	Can users create their own reports? If so, what are the controls on users doing this?	Yes. They can create reports from the data they have access to.	Noted. Data can be extracted using the API for subsequent reporting.
4.36	Can users create saved searches /filters / queries?	Yes	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?	The system provides the abiity to export and/or provide engagement level reporting both in the app and via automated email notifications. We also allow end users to fully automate report generation via our open APIs.	See 4.30

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5.	**USABILITY**		
Ease of use			
5.01	Does the solution provide a multi-language user interface?	Currently the solution interface is English only. PBC content can be stored in other languages. We currently have localization listed as a high priority on our strategic product road map and would be happy to give a presentation of this road map.	Noted
5.02	Does the system allow for customizable branding and UI (e.g. corporate colour palate, upload company logo, etc)?	Yes, we allow firm admins to enable co-branding, which will display the firm's logo to team and client users in the Suralink app and in all emails sent to them from the app, including Secure File Sharing.	Confirmed
5.03	Does the system have a similar look and feel and overall and consistency between screens and modules?	Yes, the UI is very similar across screens and modules. It is also the same look and feel for firms and clients, which provides a more unified and consistent experience for all users.	Confirmed
5.04	Is data entry easily repeated if similar to previous entry?	Yes	Noted; cut/paste and a clone function too.
5.05	Does the software prevent access to a record while it is being updated?	Yes	Noted
5.06	Is there locking at file or record level?	Suralink provides the abiity to lock at the engagement level as well as at the individual request level.	Noted
5.07	Does the software allow for the running of reports whilst records are being updated?	Yes	Noted
5.08	Can timestamps or user comments be added to transactions?	Yes, every request within an engagement has a comments/history section where the client and firm are able to leave comments for each other. All comments are timestamped with date and time and the name of the commenter.	Confirmed
5.09	Is there the ability to store preferences and default values on a per-user basis. e.g. department/team/user?	The solution provides the ability to determine what engagements and which request assignments are specific to a user. There are additional selections a user can make relative to automation and notifications.	Noted, access subject to the permisisons matrix.
5.10	Does the system have the ability to provide user-defined fields with associated validation of data input?	Yes	Noted. This is limited to an optional data field against the firm, customer and engagement.
5.11	Can the system provide user with reminders and notifications e.g. workflows?	Yes, there are multiple reminders and notifications that firm users can set up. They have the ability to set notifications by department, turn them on or off, set what they want to be notified about, and how frequently. They can also be set at the client level and the engagement level. There are many actions that can trigger a notification, including being invited to a new engagement, a comment being left, a request status change, and more.	Confirmed
5.12	If the system provides workflows, does it have functionality to substitute/delegate authorisations?	Suralink provides the ability to assign requests for any engagement, delegate for both firm and client users to support authorizations as part of the workflow.	Confirmed
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?	Yes	Confirmed, the last 10 searches re retained.
5.15	Does the system have a "universal search" option, allowing a search to be undertaken over all modules of the system?	The system provides the ability to search across engagements by client name, client ID, reports, engagements, team users, pending invites, and client users.	Confirmed
5.16	Can the system store menu option 'favourites' on a per user basis?	Yes, firm users will automatically see a list of their favorite/most recently viewed clients on the Clients page.	Confirmed
5.17	Can a user open multiple windows accessing the same or different modules of the system?	Yes	Confirmed
5.18	Can more than one software function be performed concurrently?	Yes	Noted

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User documentation and training			
5.19	Is the manual provided as: - hard copy - on CD - by download - via a web-interface?	All documentation and/or manuals can be accessed virtually via the Suralink Knowledge Base. We also supply online FAQs, articles, and video tutorials which firm and client users have access to.	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?	Yes, there is a search bar on the main page of the Knowledge Base. The Knowledge Base provides all written documentation on the Suralink platform. There are also PDFs of walkthroughs with screen shots and text, as well as training video demos.	Noted
5.21	Is context-sensitive help available within the system?	Yes, there is additional information throughout the app explaining different settings and actions.	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)?	NA - Suralink is provided as a SaaS application	Noted. This is not unusual for software subscription services.
5.24	Please detail the training options available?	We have multiple training options available and the type of training, or number of trainings will depend on the size of the firm. For small firms, we host a weekly live webinar that their users can register for and attend. We also offer an on-demand option for those same users to access a recorded training. For all other firms we offer a dedicated 90 minute training session. For large firms we may provide additional trainings for their users and administrators.	Noted
5.25	Who provides training: - Software House? - VAR?	Suralink provides both administration and end user training for the solution, which is included as part of the licensing costs.	Noted
Support and maintenance			
5.26	How is the software sold: - Direct from the software house? - Via a Value Added Reseller (VAR) or Integrator?	Suralink sells Suralink software directly. Packages and pricing can be found on our website.	Noted
5.27	How is the product supported: - Direct from the software house? - Via a Value Added Reseller (VAR) or Integrator?	Suralink provides full support for our solution. Our Customer Success organization provides support for firm and client users.	Noted
5.28	Do VARs have to go through an accreditation process?	NA	-
5.29	Is the software sold based upon number of named users or a number of concurrent users?	We grant firms access to licenses and they invite users. If they remove a user that license then becomes available to invite another user.	Noted
5.30	The supplier should detail the support cover options available, covering: - The hours provided? - Associated costs? - The global regions covered?	Support is provided as part of the licensing costs. Currently our support staff are located in North America with plans to expand to additional regions based on demand.	Noted
5.31	Detail the process by which customers raise support requests and how these can be viewed/managed?	Suralink provides self-service online support, live chat support, as well as direct contact numbers for live support. Additionally, firms have access to a Customer Success Manager if they need to escalate a support issue.	Noted
5.32	Please note the methods of support available: - Telephone? - Internet chat? - Remote access to customer workstation? - Other, please specify?	Methods of support available include: telephone, live chat, Suralink knowledge base, and email support.	Noted
5.33	Do you offer service credits for failure to meet performance around SLA and uptime (if applicable)	No	Noted
5.34	What is your escalation path for tickets which have not been resolved within a reasonable time?	Suralink provides self-service online support, live chat support, as well as direct contact numbers for live support. Additionally, firms have access to a Customer Success Manager if they need to escalate a support issue.	Noted
5.35	How often are general software enhancements provided?	Typically software enhancements are provided bi-weekly, or more frequently if needed.	Noted. Every two weeks.

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5.36	Will they be given free of charge?	Yes , Suralink will deploy any bug fixes into the production environment. These are provided as part of ongoing support and are included in the license pricing.	Noted
5.37	How are enhancements and bug fixes provided to customers?	Suralink deploys enhancements and bug fixes into the production environment. Customers who have licenses/access to that part of the app will automatically see the updates.	Noted
5.38	Is "hot line" support to assist with immediate problem solving available?	Yes, Suralink provides online chat as well as contact numbers for customer support	Noted
5.39	If so, is there an additional cost involved?	Support is provided as part of the licensing fees at no additional cost	Noted
5.40	At what times will this support be available?	Standard hours for live support are 7:30am - 5pm MST. Any submitted requests after hours are addressed at the start of the next day. Currently, we are averaging under a minute to resolution on all support requests.	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?	Suralink provides open APIs to connect with other 3rd party applications. Examples include integration with reporting/BI systems (Microsoft Power BI, Tableau, etc.), data ingestion engines (Trullion, DataSnipper, Validis, Finagraph), workpaper software providers, etc.	Noted. Fully open APIs
5.42	Can definable links to spreadsheets be created?	The application does provide the ability to share links within the comments section of the solution as it relates to any individual request.	Noted. No live-link capability.
5.43	Does the system provide secure document storage capability: If so, please give examples of the document types saved and what transactions these might relate to.	Yes the system provides secure document storage capabilities. There are no limitations as to document types or document size limitations relating to any request in the system. Most document types are PDF, XLS, ZIP, JPG, PNG, or DOCX. Most of our clients are working with documents needed for a tax, audit, or advisory engagement (bank statements, contracts, balance sheets, reports, etc.)	Confirmed
5.44	Can documents be scanned into a secure repository?	Suralink's application is secure and provides encryption for all data. This includes encryption in transit as well as at rest within the application.	Noted. Scanning needs to be initiated outside of the platform and the resulting file can then be uploaded.
5.45	Does the system provide data migration tools for transactional and master data sets (e.g. employees customers, suppliers, journals, invoices).	The solution provides the ability to download documents for any engagement (client, firm provided, or both) via the interface. This can also be automated via our administrative APIs, but we do not provide specific "data migration tools."	Noted
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?	Suralink provides a robust set of open APIs. They are often connected to firms' CRMs, IT provisioning software, or BI tools. Operations include creating, editing, deleting users, assigning users, editing engagements, downloading files, etc. For specific details relating to our APIs please refer to https://developer.suralink.com/	Noted
5.47	Does the system support mobile working?	Suralink is a browser based application and has been optimized to be mobile friendly. The application can be accessed via any mobile device with access to a up-to-date browser.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
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?	We leverage AWS data centers. Please refer to our SOC 2 for additional details. Suralink is happy to provide the full SOC 2 report once an NDA has been signed.	Noted
6.02	Does the customer get a choice of the jurisdiction in which their data resides?	Yes. Suralink uses AWS data centers in the US, Canada, and EU (Germany), so firms can choose where to host their data. Please refer to our SOC 2 for more details.	Noted
6.03	What certification(s) do you or your platform operators hold relating to your data centres and your business operations?	SOC 2 Type 2 certification. ISO27001 for our hosting provider AWS can be obtained from the vendor upon request. https://aws.amazon.com/compliance/programs/	Noted
6.04	Do you or your platform operator have an SSAE16 (System and Organization Controls) report available?	Yes. This report is now called SSAE 18 and is part of AWS's SOC 2 report. Available upon request. https://aws.amazon.com/compliance/programs/	Noted
6.05	What are the physical controls over the:- - Premises? - Fileservers? - Communications equipment?	Scoped systems and data reside in our AWS data center.	Noted
6.06	Is the space in this/these data centre(s) shared with any other companies?	We leverage AWS, which hosts multiple software vendors. However, it is architected in such a way that vendor/client data is segregated and cannot be accessed by another client/vendor. We can provide AWS SOC and ISO reports upon request.	Noted
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?	1- Same server per geographic location. 2- Same databases. 3- Same tables. 4- Yes. Customer data cannot be seen or accessed by other clients. The data is encrypted at rest and in transit. Only the firm can see customer data. Also, customer data can be further secured by firm user by Suralink user security level access.	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?	In Suralink, client data is store using the following hierarchy: -> Firm --> Clients ---> Engagements ----> Categories -----> Subcategories ------> Requests -------> Files	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?	Data is tagged by firm and client. All files and sensitive data are encrypted with a unique key to ensure data at rest cannot be viewed by other clients	Noted
6.10	How is [Internet] communication traffic monitored to identify potential problems before they happen: - From a performance perspective? - From a security standpoint?	AWS Security Group policies, public and private zones, zero-trust VPCs per environment	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
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?	Please refer to our SOC 2 Type 2 report. If you are in the middle of completing an action or batching data and the internet connection goes down, you will have to retart the action in question. The system will only complete full actions.	Noted. The database will only commit a completed operation.
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	Noted
6.13	Is data on your servers encrypted at rest?	Yes	Noted
6.14	Is a test environment provided to test configuration changes? If so, is there an additional charge for this?	Suralink is a SaaS application and is responsible for software updates and bug fixes. We can provide additional test environments for integration or testing purposes. Production level sandboxes can be provided at no additional charge upon request.	
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?	Same as GDPR: Standard Contractual Clauses (SCCs) are in place for transfer of data in accordance with GDPR requirements – (attached to the Data Processing Agreement and covered in Suralink's terms & conditions). https://www.suralink.com/terms-and-conditions Technical and organisational measures are equivalent to the standard required by GDPR; refer to Suralink's SOC2 report for full details	Noted
6.16	Are you subject to any legal or regulatory requirements obliging you to retain a copy of customer data?	No. Customer data retention is managed by the firm.	Noted
6.17	Who will be able to access or see customer data?	No Suralink personnel have access to any sensitive firm/client data. Suralink DevOps personnel have access to production systems; however, all sensitive and file data is encrypted in-transit and at-rest, and access controls are restricted by type (those with access to key info or those with access to encrypted data stores not both) All access is logged but not made available to third-parties. Please see pages 19-23 in our SOC II Type 2 for additonal detailed descriptions of controls, monitoring and logging.	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.	Suralink employs a variety of policy and structural procedures to protect client data. All data is stored on encrypted volumes with sensitive information (including all uploaded files) additionally encrypted, protected via security groups, and dedicated secure sub-nets. All access is monitored in our Security information and event Management policy and we practice least-privileged access policies with strict separation of duties among anyone with access to data or key information. Additional descriptions of our security procedures can be found in our most current SOC 2 Type 2 report.	Noted
6.19	Explain the release management procedures in place and the associated segregation of duties ?	Suralink regularly releases updates to the application to provide new and enhanced functionality. We embrace Agile methodology and have designed our processes to meet those principles. Segregation of duties is followed when granting access to any user to keep access to the encrypted data and encrypted keystores isolated.	Noted
6.20	Is there sufficient segregation of duties preventing system developers from accessing and changing live applications and data files?	Yes	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.21	Explain the review and approval procedures covering system operations staff when emergency changes need to be made to live applications and data?	All emergency maintenance sessions must be approved by a member of the executive team, and must be posted to the external status page.	Noted
6.22	Is an audit trail always maintained of these emergency changes?	Yes. Audit trails are reviewed periodically to ensure compliance. Please see full SOC 2 report for additional information.	Noted
6.23	What procedures are in place when members of staff leave to ensure that their system access is stopped?	Internal or external user system credentials are removed when user access is no longer authorized.	Noted
Platform and service levels			
6.24	Which databases can be used (Hosted) or are used (SaaS)?	Suralink is a SaaS based application. Suralink cannot be hosted locally.	Noted
6.25	What forms of user authentication are supported e.g. user names, passwords certificates, tokens etc.?	All users of the Suralink software have the option to enable multifactor authentication on their own account. Access to the network and applications requires a unique user ID and password.	Noted
6.26	What is the proposed product/service availability percentage?	99.50%	Noted
6.27	What percentage availability has been achieved over the past 12 months?	99.91%	Noted
6.28	Is a service level agreement ("SLA") offered regarding: - Service availability? - Data recovery?	Suralink does not currently have a standard SLA. Our standard is 99.5% uptime (excluding scheduled maintenance windows)	Noted
6.29	Is the service available 24x7 or are there downtime periods for maintenance?	The service is available 24x7; however, there are maintenance periods when necessary for system health/restoration, or significant architecture or application changes. When possible, maintenance sesions are avoided and kept to the shortest amount of time possible.	Noted
6.30	Is the customer made aware of maintenance periods in advance?	Yes. For hard maintenance periods, a warning must be posted on the status page 24 hours before initiating the maintenance.	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?	No client software is required. The Suralink application works entire within the browser.	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?	File integrity (host) and network intrusion detection (IDS) tools are implemented to help facilitate timely detectionand investigation by root cause analysis, to respond to any incidents.	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?	PagerDuty is used for alert escalation and incident notification.	Noted
6.36	Are designated staff responsible for receiving and urgently responding to these alerts?	Yes	Noted
6.37	Have clear procedures been established for identifying and responding to security incidents?	Yes	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, patches are monitored on an ongoing basis and formally reviewed on a quarterly basis. For all software packages and major operating system updates, patches are evaluated for applicability to the environment.	Noted
6.39	List the procedures and software tools in place to prevent or detect and eliminate interference from malicious code, such as viruses?	Suralink has IDS/IPS, and other forms of monitoring in place	Noted
6.40	Is a system log maintained by the service provider that details - User access? - User activity? - Error messages? - Security violations?	We watch/record every action taken in our system. We use an active IDS/SIEM that is monitored 24x7 to protect against anomalous behavior.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.41	Is this log available to the customer?	We can provide upon request	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?	Yes, pentration tests are performed continuously. Should an issue be flagged, it is immediately researched and bug fixes and patches are deployed immediately. Should no flags arise, results are tracked and audited quarterly.	Noted
6.44	If penetration testing by a specialist is not performed regularly, please indicate the main procedures in place to identify weaknesses?	NA	-
6.45	Are security procedures regularly reviewed? Please indicate frequency of reviews.	Yes. Security procedures are reviewed by appropriate personnel as needed or quarterly.	Noted
6.46	What security reporting is provided demonstrating compliance against certification(s) and policy(ies)?	Please refer to our SOC 2 Type 2 report	Noted
6.47	Are any security breaches communicated to customers?	Yes	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?	AWS backup services are utilized. AWS Backups are performed (daily) AWS SOC report	Noted
6.49	How frequently is a test-restore of backups undertaken?	At least annually	Noted
6.50	Can the provider restore from a backups that it has taken at a customer request?	Yes	Noted
6.51	Does a customer have the ability to undertake their own backups?	No	Noted
6.52	If so, can a customer restore data a backup that they have taken?	NA	-
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?	Please refer to our SOC 2 Type 2 report. Full SOC 2 report will be provided upon signing of an NDA.	Noted
6.54	How often are these plans tested?	Please refer to our SOC 2 Type 2 report	Noted
6.55	How often are these plans reviewed and updated?	Please refer to our SOC 2 Type 2 report	Noted
6.56	What are your: - Recovery Point Object (RPO) standards? - Recovery Time Objective (RTO) minimum standards?	This is in our SOC2 and we are willing to discuss details with an NDA	Noted
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?	Please refer to our SOC 2 Type 2 report	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?	N/A. There are no formal protections in place, however, there is an extremely low likelihood of such an event occurring.	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?	N/A	-
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			

Ref	Requirement	Vendor Response	Reviewer Comments
6.61	Describe your approach to upgrades including what option customers have not to take upgrades (if any)?	We make regular upgrades and bug fixes to our platform which are automatically rolled out to customers. For larger feature or product releases, customers have the option to purchase those (if they require additional payment) and sometimes the option to enable them or not, depending on the feature.	Noted
6.62	Are users able to test the application before new versions go into live use?	Internal users do testing on the application before new updates go live.	Noted
6.63	Are users given notice before application changes are applied to the live system?	Users are give notice for larger features or updates. They are not given notice for bug fixes or anything we do "behind the scenes" to improve speed, security, etc.	Noted
6.64	Are changes delivered into the live environment "switched off" to enable users to test them before enabling them for their environment?	Some features are behind a feature flag, and have the open to be turned on or off by admins. If a firm wants to try out a larger feature before implementing it for their whole organization, we can give them access to a sandbox environment for testing.	Noted
6.65	Describe what testing and QA processes are undertaken before upgrades and other changes are made live/available to customers?	QA works with design and dev engineers to create a test plan for each change request. They test specific features and perform the appropriate regression testing of the application on new builds. Testing is always done with security in mind and continuously checks all possible weaknesses. For each formal release, the software is validated through unit, functional, and full regression test suites.	Noted
6.66	If a hosted system, explain the release management procedures in place and the associated segregation of duties ?	N/A	-
6.67	Are users informed when they next login of the application changes that have gone into live use?	Any changes in the application are noted in the Release Notes twice a month. All users have acccess to these notes. Additional notification and walkthrough capabilities will be implemented in early 2024.	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	Noted
Subscription options			
6.69	What is the minimum level of commitment must the customer sign up to, e.g. 36 months?	12 months	Noted
6.70	Where online payment is used, what type of security is used to protect sensitive information?	Customers making payments online do so through a link within the invoice email they receive from us. They have the option of paying via credit card or Automated Clearing House. Customers input that information themselves so we do not handle that data. That payment information is encrypted once entered by the customer. We do not manage our payment systems and use a third party for payment processing (Stripe).	Noted
6.71	Where online subscription / payment is used, is an invoice provided to the customer and, if so, in what format?	We do not offer the ability to sign up online in a self-serve capacity. We send regular invoices by email.	Noted
6.72	When subscriptions need to be renewed, what advance notice is provided and what is the time limit for renewal?	Subscriptions automatically renew at the end of each term. Reminders typically sent as a courtesy around 60 days prior.	Noted
6.73	Is there a procedure for late renewal and is there a time limit after which subscriptions cannot be renewed?	Subscriptions automatically renew at the end of each term.	Noted
6.74	How soon after creating or renewing a subscription (if applicable) can the system / service be used?	Within the same business day that customer signs up or on the future effective date defined in the agreement.	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
6.75	What notifications / confirmations are provided to the customer regarding subscriptions and payments?	Customers sign orders and MSA's through Docusign and can maintain a copy of the agreement. Requests to add additional users are made via email to their Customer Success representative or the Customer Success team and a response email is sent confirming the addition. Significant modifications to the agreements for product, pricing, or quantities are also agreed to through Docusign. Reminders are typically sent as a courtesy around 60 days prior to renewal. Invoices are sent via email to the billing contacts indicated by the customer. Reminder emails are sent for due or past due amounts. Payment receipt emails are sent when on-line payments are made.	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?	Accounting team will try to contact the customer multiple times for any past due balances and will then involve our customer success team to make contact if the customer is unresponsive. If these efforts fail, we will notify the customer in the appropriate manner and terminate the account. That outreach process can take 60 plus days to complete.	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?	Users, including a firm's clients, have until the last day of their contract term to log in to Suralink and access any data. After that date they will lose access to that data. Per our agreement, upon request within 30 days after the contract end date, we will make the data available in an export from our backup.	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?	Destruction of data is not certified, but for any expired or terminated contracts the data will be deleted after the last day of that subscription term. Our system's data is backed up for 30 days and after that 30 days it will be 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?	All data at Suralink is stored on encrypted drives with sensitive information additionally encrypted. For hardware lifecycle management, please refer to hardware decommissioning procedures at AWS	Noted
SaaS/Hosted Reporting			
6.80	Are reports produced from the same software as the financial applications or is separate reporting software used?	Suralink provides reporting specific to the application. Suralink provides Open RESTful APIs for organizations who would like to integrate with other 3rd party applications for reporting.	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?	The application is 100% web based. All functionality for Suralink's Request List Management and Secure File Sharing can be accessed via a browser. There is an optional MSOutlook plugin for users who would like to leverage the Secure File Sharing functionality directly in MSOutlook.	Noted
6.82	What browser versions are support: - On desktop/laptop (PC, Mac, Linux)? - On Tablets? - On mobiles?	Suralink is provided as a browser based application and has been optimized for Chrome/Edge. Additionally it has been designed as a mobile friendly application.	Noted
6.83	Is access to the reporting facilities and data controlled by the same procedures as access to the main application?	Yes	Noted
6.84	If it's different, explain the user access control facilities available to ensure information is only viewed by users with appropriate authority?	NA	-

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?	Reports are provided in PDF, XLS or to a printer. We also provide open APIs if a firm wants to integrate with their BI tool for reporting purposes.	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?	All reports viewed are in the application. All information in Suralink is encrypted in transit as well as at rest. Only users with appropriate access can view details of any request.	Noted
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?	All documents in Suralink are encrypted in transit as well as at rest. Only users with appropriate access can view details of any request.	Noted
6.88	Are communications between the browser and the server encrypted for any report related communications?	Yes	Noted
6.89	If reports are produced dynamically each time the user views them can historical reports be reproduced at any time?	N/A	- (The audit trail is there)
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?	N/A	-
6.91	Can report data be reliably copied and pasted direct from browser viewable reports to an MS Excel spreadsheet retaining any table layout?	N/A	-
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.	**REQUEST LIST & DOCUMENT MANAGEMENT**		
	Note that the phrase: "Firm" has been used for the Firm of Accountants having individual "Users" of the software, and "Client" has been used for the individual Client of the accounting Firm whose will is being prepared.		
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	Confirmed
7.02	Does the system provide a permissions matrix so that rights can be set at User and role/group level?	Yes	Confirmed
7.03	Does this apply to: - Specific areas of functionality? - Access to any linked systems? - Manually adding/editing transactions [requests]? - Authorisations? - A particular Client or number of Clients of the firm? - An individual Client engagement? - Other, please specify?	Yes	Confirmed
7.04	Is it possible to define delegated access?	No	Confirmed. But another user with the same access rights could undertake a user's functions.
7.05	Can multi-level authorisations be set?	No, but multi-role (heirarchical)	Noted
7.06	Are the restrictions on more than one User working on the same Client or Client engagement at the same time?	See above	No limitations
7.07	Are there restrictions on more than one User working on multiple engagements (for different Clients) at the same time?	The solution provides the ability to determine restrictions for firm users relative to the engagements to which they are assigned. This is separate and in addition to the Role based privledges provided to users.	No limitations
7.08	Can a User of the system have multiple windows open at the same time on a single Client engagement?	Yes	Confirmed
7.09	Does the system allow a User to use multiple devices to support mobile working, e.g. a workstation and/or a tablet?	Yes, the solution provides the abilit for users to leverage any device to access the system via up-to-date browser.	Confirmed
7.10	Does the system provide a facility for auto-saving entries made into the system (e.g. answers to questions) 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?	The information input into any request is saved at the time of input. This is a system based set of functionality and is not a user configuration.	Noted
7.11	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	Noted
7.12	Does the system make use of global lists, e.g. Postcodes, asset types, lists of banks/building societies/charities? - If so, specify what is provided.	NA	-
7.13	Does the system have an audit trail that includes details of: - Changes to standing data (global lists)? - All manual entries/changes to inputs made by a User?	Yes	Confirmed
7.14	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): - Banks (via Open Banking)? - Companies House (for valid Company lookup)? - HMRC ? - Accounting software (e.g. Sage, QB, Xero)? - Tax software? - Others, please specify?	Suralink provides an open set of API's for integration with 3rd party systems. There are no OOTB inegrations provided at this time with 3rd party HMRC, Accounting Software, Tax software or others.	Confirmed
Client Setup			
7.15	Does the system provide for the setup and maintenance of a Firm’s Client details (Client profiles)?	Yes, as part of the onboarding (creation of client) in the system	Confirmed
7.16	Can the system record Client contacts, notes, etc as required?	Yes, client contact is part of the client creation process in the system.	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
7.17	Does the system allow the entry of supplementary information? If yes, can this be uploaded and held against the Client?	Yes, Additional documents can be uploaded to any Client engagement. There are no limitations to file type/size or number.	Confirmed
7.18	Does the system automatically populate information from the Client profile into associated engagements during creation??	Yes, The system maintains the relationship between the each client and all of their engagements regardless of type or number of engagements	Confirmed
7.19	Does the system allow Clients to be linked?	No	Noted. Not linking of clients but rather linking user access: A user can be setup in engage-ments across multiple clients.
7.20	If yes: - Can the system automatically copy information from an associated Client record when required? - Can this be manually overridden?	N/A	-
7.21	Does the system allow all engagement files and documents created for a Client to be: - Shown as a list on-screen? - The details viewed on-screen? - Details to be printed out?	Yes	Confirmed
Dashboard			
7.22	Does the system incorporate dashboard functionality such that the following information is presented to the user on their "home page" when they login to the system: - Clients that the User is associated with - Active engagements that the user is involved in? - Engagement progress/completion? - The progress of requests? - Review points outstanding - Other, please specify?	Yes	Confirmed
7.23	Does the system provide an easy way to search for engagements, with search parameters such as: client, engagement [code], year, date-range?	Yes	Confirmed
7.24	If so, can the User navigate directly from the dashboard into an engagement?	Yes	Confirmed
7.25	Does the dashboard allow engagement(s) to be filtered by: - Progress? - Status? - Client? - User? - Date? - Other, please specify?	Yes, the solution provides interactive dashboards that provide the dynamic ability for the user to see/access the Client engagement progress, status with full details relating to user activity, dates updates, files, etc.	Confirmed
7.26	Is there also a dashboard that shows the engagement invoice totals and payment status over time?	Suralink is a PBC request list management solution. This is not information typically contained within a Request List. That being said we do provide the API's to integrate with Project/ program management solutions.	Noted. Not an invoicing system.
7.27	Is possible to set alerts/reminders/appointments from the dashboard, e.g. To regularly review engagement(s)?	Yes, the solution provides dynamic, proactive notification capabilities.	Noted. Not an invoicing system.
7.28	If so, do these integrate with Microsoft Outlook?	Yes	There is a native add-in for Outlook for the file sharing product.
7.29	Is a similar dashboard provided for the Firm's Client for them to access the system? (See the "Client Portal", see below).	Yes	Confirmed
7.30	Can a User create a custom dashboard?	The solution provides the ability to configure dashboards for Engagement overviews as well as summary engagement digests with the ability to determine frequecy of these notifications. Additionally the user can configure and export reports on any engagement to excel, PDF or Print.	Confirmed
Engagement request libraries			
7.31	Does the system provide functionality for undertaking and tracking information requests (PBC lists) on engagements?	Yes	Confirmed
7.32	Does the system come with a selection of library templates containing lists of requests, that can be applied to a new engagement?	Yes	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
7.33	Are there standard library templates for different types of: - Client sector? - Client size? - Geography? - Other, please specify?	Yes, the solution provides templates. Additionally the solution provides an easy and intuitive import capability that allows our customer to quickly import their own templates. This allows for quicker onboarding and allows our customers to leverage existing PBC best practices	Confirmed
7.34	Does a template allow requests to be grouped into: - Sections? - Sub-sections? - Individual requests?	Yes	Confirmed
7.35	Can request templates be manually edited and saved?		Confirmed
7.35a	Can a new request template be created based on an existing template, then manually amended?	Yes	Confirmed
7.36	Can an engagement request template be rolled forward from one year to the next (and if so, then manually amended if required)?	Yes	Confirmed
7.37	Can a User: - Create a new information request manually? - Select single or multiple items from a template? - Build a list based on selections and manual items? - Import items from a CSV file or list in Excel? - Other, please explain.	Yes	Confirmed
7.38	Can requests be set as mandatory?	Yes	Confirmed
7.39	Can requests be allocated to members of the Firm's [audit] team?	Yes	Confirmed
7.40	Can requests be allocated to members of the Client's team?	Yes	Confirmed
Engagement management			
7.41	Does the system provide multi-user access control, i.e. locking down engagements and/or specific requests when another user is editing them? If so, please explain how this operates.	Yes the solution provides role based access control model. The solution also provides for the ability to restrict (make sensitive) at the engagement level as well as the ability to lock down at the individual request level	Confirmed
7.42	Does the system provide a simple view showing all the engagements created for a Client?	Yes	Confirmed
7.43	Does the system provide a straightforward way to search for engagements , with search parameters such as: Client, engagement [code], year, date-range?	Yes, the solution provides for configurable search across engagements	Confirmed
7.44	Subject to permissions can the User expand the header details of any of the engagements shown on-screen to show: - The Sections? - Subsections? - Individual requests within each engagement?	Yes	Confirmed
7.45	Is it possible to choose to set up a new engagement for a Client by copying forward all/parts of the details from the previous year or another engagement?	Yes, automated roll-forward	Confirmed
7.46	When setting up the engagement is it possible to enter: - Start and end dates? - Staff assigned to the engagement (assigning individuals to roles)? - The Firm's office dealing with the engagement? - Historic engagement fees? - Additional information, please specify?	Yes, as part of base functionality the solution provides the ability to determine start/end dates for engagement and individual request items as well as the ability to organize the engagements by office. The solution provides the ability to provide additional information via comments or add additional Requests based on requirements.	Noted. But not historic fee details.
7.47	Does the system provide the ability to delete engagements, subject to the permissions matrix? If so, is this noted in the audit log?	Yes. Even if a delete request is initiated via the API from a HelpDesk user, for example, that request is logged in the database and can be extracted via custom request.	Confirmed. Subject to permisisons. Note that even the admin user can be disabled from doing this and the ability restricted to API updates only.
7.48	Does the system provide the ability to archive engagements? If so, please explain how this operates.	Yes. The solution proivdes the ability via the interface (and API) to archive engagements with the appropriate priveledges.	Confirmed

Ref	Requirement	Vendor Response	Reviewer Comments
Request management			
Requests:			
7.49	Can a request or list of requests be sent via the system to the client?	Yes, this is provided as base functionality of the solution. Additionally these items can be part of an automated noticiation via email or with in app notification.	Confirmed
7.50	*[Not used]*		
7.51	Can requests and responses be tracked via the system?	Yes, this is provided as base functionality of the solution. Additionally these items can be part of an automated noticiation via email or with in app notification.	Confirmed
7.52	If so, does the system show: - The status of a request, i.e. who needs to action it? - The time taken for the various responses? - A full correspondence trail of the query?	Yes, this is provided as base functionality of the solution. Additionally these items can be part of an automated noticiation via email or with in app notification.	Confirmed
7.53	Can requests made be allocated to specific members of the Firm's [audit] team?	Yes, this is provided as base functionality of the solution. Additionally these items can be part of an automated noticiation via email or with in app notification. Requests can be assigned to appropriate firm and/or client resource with appropriat role.	Confirmed
7.54	Can requests be sent to specific members or members of the client's team?	Yes, this is provided as base functionality of the solution. Additionally these items can be part of an automated noticiation via email or with in app notification.	Confirmed
7.55	Can documents from third party systems be attached within an engagement? If so, please explain how this is undertaken.	Yes, this is provided as base functionality of the solution. Suralink provides the ability to attach files with no file size/number or type limitations	Confirmed
7.56	Can attached documents be opened, edited and re-saved within the system?	Yes	Confirmed
7.57	If so: - Does the system provide version control functionality? - Can multiple versions be retained within the folders? - Is it possible to roll-back to a previous version and re-save this as the current version?	Yes, Multiple versions of the document can be uploaded to the system. In the event that documents are deleted a full audit history is maintained. The system allows for the document to be reloaded into the system if needed.	Confirmed
7.58	For sensitive documents does the system have the facility for these to be locked with access only provided to specific Users and/or the Client. If so, how is this implemented?	Yes, the solution provides, via the interface to lock down any specific request individual or en mass if needed	Noted. The request can be locked (which blocks access to the associated documents).
Messaging:			
7.59	Can the system be used for general messaging and correspondence?	Yes, comments can be used to notify client and firm members dynamically in real time.	Confirmed
7.60	If so: - Are these tracked? - Can files be attached to messages?	Yes, the individual requests provide for an unlimited number of correspondece (comments and/or documents to be associated)	Confirmed
7.61	Does the system integrate with third-party secure messaging applications such as email and collaboration tools? If so, please state which are supported, e.g. Exchange.	Yes, natively we support email notification. We also provide an open set of API's to integrate not only with collaboration tools but any similarly open 3rd party applications.	Noted, via the API
7.62	Does the system provide inbuilt functionality for secure document signing? If so please provide details?	This is part of our 2024 first half strategic roadmap. We would be happy to set up time with our product to review that roadmap with your team.	Noted
7.63	What format of electronic document/forms are supported, e.g. PDF, JPEG?	Suralink allows for the upload of any document type.	Noted
7.64	Does the system integrate with third-party secure document signing applications? If so, please state which are supported.	The solution provides an open set of API's for integrations with 3rd party applications	Noted
Secure file transfer:			
7.65	Does the system provide inbuilt functionality for secure document sharing/transfer? If so please provide details?	Yes, the solution provides the ability for Firm and Client users to upload an unlimited number of documents with no size or type limitations. Documents are always secure as they are encrypted in transit as well as at rest.	Noted
7.66	Does the client's portal allow access to the shared document functionality?	Yes	Noted
7.66a	Is there an audit trail of documents shared/transferred?	Yes	Noted. "File history"

Ref	Requirement	Vendor Response	Reviewer Comments
Tracking progress of requests:			
7.67	Does the system provide an easy on-screen overview of the completion progress/status of the various sections of an engagement? If so, how is this portrayed? E.g. colour progress indicators.	Yes, this is one of the true differentiators for the solution as it provides live dynamic visibility to Overall state of the engagement as well as detailed view of each Request item's status for both the client and the firm user constituencies.	Confirmed
7.68	Is it possible to drill through from the "progress indicator" into the engagement's request list?	Yes	Confirmed
7.69	Does the system automatically mark a section/sub-section of an engagement as complete when all the requests within that section or sub-section have been completed?	The requests would be automatically completed when the section or sub-section is completed as part of the review workflow	Confirmed
7.70	Is it possible to change the status on a request manually? If so, can this be done "in bulk" i.e. for multiple requests with a single operation?	Yes, this can be done automatically or by section or sub-section	Confirmed
7.71	Is it possible to mark a request or list of request with a level of [audit] risk? If so, please indicate the levels available, e.g. Insignificant, quite significant, significant, very significant, critical; or rating of 1 to 5.	No	Noted
7.72	Is it possible to report on the progress of list of requests with specific levels of audit risk?	No, but each request has 4 statuses (Outstanding, Fulfilled, Returned, Accepted)	Noted
7.73	Does the system allow authorised users to make comments and assign additional requests "on-the-fly" during the completion of an engagement?	Yes, users can make comments and ssign additional requests "on-the-fly" at any point during the engagement	Confirmed
7.74	If so, can these be: - Edited? - Deleted? - Made mandatory?	Yes, once created they can be edited or deleted. Once assigned they will remain open until fulfilled, reviewed and accepted.	Noted
Client portal			
7.75	Does the system provide a portal to enable the exchange of information between the Firm and its Client?	Yes, this a differentiator for Suralink as it acts as a portal for the collaboration and interaction between your firm and your clients. The view into the engagement, its progress or state of completion and any specific detail relating to its associated requests are managed, updated and visibility provided dynamically and in real time to both parties.	Confirmed
7.76	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?	Yes, MFA is supported. Additional many organizations leverage their SSO tools as well for additional security.	Noted
7.77	What end-user computing platforms are supported for access, e.g. Windows, Mac, iOS, Android? And what Internet Browsers are supported?	Suralink is a SaaS application and end users need only an up-to-date browser and appropriate privledges to access the solution.	Confirmed
7.78	What Accessibility standards have been adhered to in the design of the portal?	N/A	-
7.79	Is an information dashboard available, similar to that provided to the Firm (as above)?	Yes	Confirmed
7.80	If so does this cover: - Updating client details? - Adding, responding to, and managing requests? - File sharing/transfer? - Other, please specify?	The aforementioned dashboards and notifications are provided for not only firm useers, but also the client end users	Confirmed
7.81	Can a User create a custom dashboard?	No	Noted
Reporting / generation of document packs			
7.82	Does the system allow for user-customisable document formatting? - Font? - Paragraph style? - Page format? - Signing boxes? - Other, please specify	Currently the solution does not provide "form" customization.	Noted
7.83	Does the system allow graphics and/or Client logos to be incorporated in the page formatting?	The solution provides for the ability for your firm to leverage your own branding within the solution and well as with notifications. We are adding more co-branding configuration as part of our FY2024 Product Roadmap	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
7.84	Does the system create the output document based on the section/sub-section structure of the engagement?	Yes, the solution provides the ability to download all engagement documents in section/sub-section format. As well as the abilty to export engagement metadata via the interface. This can also be automated via the API's	Noted
7.85	Can the user preview the document being created in real-time as they respond to requests?	The end user hasfull and unfettered access to any request document	Noted
7.86	Does the system support dual screen functionality, such that a document being created/viewed can be shown on a display separate from the one being used to navigate/complete the engagement?	Yes	Noted
7.87	Does the system provide a standard reporting pack of documents for to be produced for an engagement?	Yes, the solution provides the ability to download all engagement documents in section/sub-section format. As well as the abilty to export engagement metadata via the interface. This can also be automated via the API's	Noted
7.88	If so: - Please describe the documents available? - Can these be grouped into a Client 'pack'?	All documents within an engagement are available. They can be grouped into a client pack by engagement and can be sorted by Category/sub-category, Folder grouping are in a flat format in a single folder	Noted
7.89	Can default text and/or logos be applied to packs?	This can be accomplished by publishing reports. These summary reports can contain any branding desired within the report document	Noted
7.90	If so, is this to: - The complete pack? - Specific documents within a pack?	yes	Noted
7.91	On a per-pack basis can the user amend the constituent documents': - Sort order? - Page orientation? - Watermark? - Other, please specify?	No	Noted
7.92	Can packs be produced at any time, even if an engagement has not yet been completed?	yes	Noted
7.93	If so, are the documents marked as draft in some way (e.g. using a watermark)?	Yes, if publishing as a summary report, it can be identified as "Draft"	Noted
7.94	Can different versions of the same pack be produced, e.g. Draft, final, other (specify)?	Yes	Noted. There is a "Report Delivery" function that provides the engagement outcome to be preented.
7.95	If so, are the documents marked as draft in some way (e.g. using a watermark)?	Yes	As above
7.96	Can the system produce a re-print of an old pack even if changes have subsequently been made which would change the contents of the latest version?	Yes	As above
7.97	Can the packs be produced in different formats?	Yes	As above
7.98	If so, are the following supported: - PDF? - MS Word (DOCX) format? - Rich text (RTF)? - MS Excel (XLSX)? - Other, please specify?	The export/report functionality provides the ability to export engagement information in PDF/XLSX or to print	Noted
7.99	Can the system support distribution of document packs via email?	Yes	Noted
7.100	Are all documents and reports adequately titled and dated?	yes	Noted
7.101	e.g. report name, user organisation, Client name, date, page numbers.	yes	Noted
7.102	Do the reports provide totals where applicable?	yes	Noted
7.103	Is it clear when a document or report has ended (e.g. totals or end markers)?	yes	Noted
7.104	Is a report writer provided as part of the software?	No	Noted

Ref	Requirement	Vendor Response	Reviewer Comments
7.105	If so, please provide details of: - The level of knowledge required to use it (beginner, user, expert). - The level of customisation provided.	All functionality within the application was designed for ease of use. Suralink will provide all end user and administration user training. The Report/Export allows end users the ability to determine what engagement information is desired for the export/report.	-