

**Software Requirements Specification  
Version 1.0**

**21th, April 2021**Audit Company Website Application

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Introduction

Purpose

The purpose of this document is to present a detailed description of the project Auditing website. It will explain the purpose and features of the system, the interfaces of the system, what the system will do and the constraints under which it must operate. This document is intended for both the stakeholders and the developers of the system. This document will be the base for confirmation of the delivery of the product as per the original requirements discussed and agreed by both the parties i.e. customer and vendor.

Scope of the project

The objective of the proposed project is to develop the website which will provide Auditing services to its clients. Auditing company will assign the auditors to clients or companies for their audit requests. Auditor will generate a report of audit and will upload it for clients or companies.

Glossary

|  |  |
| --- | --- |
| Customer | Refer to the client – Mr. Sebastien Trousset |
| Vendor | Refer to the development company – Octal Info Solution |
| Database | Collection of all the information monitored by this system. |
| Visitor | Anyone visiting the site. |
| Member/User | Registered member of the website. |
| Administrator | Super admin who will have full access of admin section of website. |
| Field | A cell within a form. |
| Software Requirements Specification | A document that completely describes all of the functions of a proposed system and the constraints under which it must operate. For example, this document. |
| \* | This red asterisk sign indicate required form fields. |

Overview of the document

This SRS document is loosely based on the IEEE STD 830-1998 recommended practices for software requirements specifications. It is acknowledged that this document need not conform to strict IEEE STD 830-1998 specifications in order for the desired software to be created by the Vendor for the Client.

Section 2 of this document, Overall Description, describes the overall functioning of the software and those who will use it. It also provides example use-case scenarios of the main desired functionality of the system and provides background information for the specific requirements.

Overall Description

The System has the following three types of active members:

**Administrator:** The Administrator can access the entire system. He will have only website based password protected area where he can modify the site global settings add master data at platform and can see all data. He can do all the activities which are mentioned in this document. He will be owner of the platform.

**User (Client or companies):** These types of Users would be able to Login into web application. User can upload the required documents and information on portal to get there accounts audited by auditor available at the portal (Admin is an Auditing Company), by signing up an SLA and making online payment.

**User (Auditor):** These types of users would be able to Login into Web based password protected area. These Users will be able to generate new audit requests to admin. So admin can assign the auditor to fulfill the auditing service.

Platform:

**Only Website**

Functional Requirement Specification

This section outlines the use cases for each of the active actor of the system that defines the interaction between the external actors and the system. The Member would be the main actors of the front end of the system. Admin would control the overall site features from the back end as listed in document. Auditor and clients will also use the platform as mentioned in the document.

Client / Company Functionality: Website

Feature 1: Login

Registered Company or clients would be able to login into the website by using the following method:

* Email Address [Textbox] \*
* Password [Textbox] \*
* Login Button

NOTE: Client or Company will be created by Admin, login credentials will shared to client or company by email when admin create an account for them.

Feature 2: Forgot password

Registered user would be able to reset own password if they forgot. This customer will enter email in email textbox and will receive an email with password reset link. When user will click on link, it will open a new screen where customer will be asked for New Password and Confirm New Password. When user will submit this new password of user will be set and user will see a confirmation message over screen.

Feature 3: Dashboard

This section will show below statistics over this page.

* Number of audit requested opened by client or companies.
* Number of audit requests completed and report is generated.
* Number of audit requests is in process.

Feature 4: Audit Requests

This section will show all the audit requests raised by logged in client or company. It will have many sub sections.

* + All audit requests will be shown to client in chronological order; means latest request will be on top and old requests will be on bottom.
    - Name of audit request
    - Size of Company
    - Name of selection registration groups
    - Name of auditor (if assigned).
    - Audit request status:-
      * Created by client or company.
      * SLA/Deposit is pending from client or company side.
      * SLA signed.
      * Auditor assigned and Document Uploading Required.
      * Audit Booked.
      * Report Uploaded.
      * Report Pending.
      * Report Rejected.
      * Completed and submitted to Australian Government.
    - Audit Request Creation date and time.
    - View Detail of Audit request
      * This button will show a timeline breadcrumb of all stages of audit pipeline which are completed, which is in process and which are pending. Logics are attached in bottom SRS.
      * Also it will show all attached data with audit request like payment information, required document list, which are uploaded and which are not.
  + Search Audit Request
    - By Audit request creation Date
    - By Audit Status
  + Create New Audit Request
    - Client / Company would not be able to create new audit request until there is any other request is in process.
    - To create an audit request client or company needs to fill below details in platform.
      * + **Title of Audit** [Textbox] \* Client or company needs to provide a title to audit which will help them to identify the audit for later use. It will be unique for the company or client.
        + **Type of Audit** [Dropdown] \* (Verification / Certification)
        + **Size of Company** [Textbox] \* to enter number of staff
        + **Registration Groups** [Multiple Selection] \* from here company or client will select under which groups they wants audit. These groups are added by admin with list of documents for each group. For example :-

0101 Accommodation / Tenancy Assistance

**Note: -** Size of Company and Registration groups will be saved in company profile as well. So that on next audit request they would be shown prefilled to company or client. This can be changed if required for this audit request.

**Submit Button:**-

When submit button is clicked by company or client then admin will receive an email notification “that a company or client created a new audit request kindly upload their SLA agreement and mention the amount which should be paid as deposit and which should be paid as balance after audit completion.”

**Verification type of audit will be completed in one stage. Steps are as under.**

* + - Once audit request is created admin will receive an email that “A new audit request has been created upload SLA and setup the deposit”. When admin upload SLA and setup deposit fees (one figure will be advance deposit and another will be balance payment (if applicable) ) client will be notified that SLA has been uploaded by admin, please sign the SLA and make the payment.
      * Payment can be done in two ways:-
        + Payment can be paid using online credit card processing managed by Stripe.
        + Or client / company can pay outside the platform and enter payment information in a freeform text.
      * SLA will be a PDF file which is uploaded by admin. Now client will have two options to sign it.
        + Manual : Download / Print / Sign / Scan and upload PDF
        + Digital Sign Using API: for this developer will payment any single API which can be either Docu sign or Hello Sign. It will be decided by platform owner.
    - When SLA is signed and payment is done admin will be notified for same by email. After that admin will attach list of documents and number of staff is being audited. When admin attach list of document client will be notified that “Admin attached list of required documents please upload them so that admin can move forward.”
    - After that client / company will see all documents which should be uploaded for company and which should be uploaded for staff. Before uploading document client / company will upload an excel sheet with the name of staff which are being audited. So that all staff names will be attached with audit request. Number of these staff members cannot be more than which admin mentioned to audit. After that client or company needs to upload documents of each staff. Staff would not have own login panel for this work, company or client need to do it for all the staff.
      * While uploading document of staff, client or company need to verify few of (predefined by admin) standard documents using third party OCR API to validate expiry date and authenticity of document format. This will be done by implementing a third party API which will be provided by Owner of platform to developer.
    - Once all the required documents are uploaded then client/company needs to Book an audit week of date from calendar or dropdown which is feasible. After that admin will receive an email that an audit request is booked by client or company.
    - When admin receive audit request for required audit date week and after that If admin have some issues in providing the auditor for requested week of date then admin can talk to client or company outside the platform and after mutual understanding admin can change week of date to any new week of date for audit and auditor would be assigned. Platform would not have any back and forth negotiation of dates.
    - When admin assign an auditor to client / company then client or company will receive an email and if there is any change made by admin in week of date then it will be also notified to client or company.
    - When auditor is assigned then auditor will review all the documents and after audit dates will upload a report. Report will be a single word file which is uploaded by auditor.
    - Client / company would be able to download this report and would be able to accept / reject this audit report. Client need to enter a justification as the text if he rejects the audit report. Auditor will receive an email notification for this. After that auditor will make the required changes in report and will re upload the report.
    - If client / company reject again then auditor need to upload this until it is not accepted by the client or company.
    - When client / company accept the report then While client / company is marking request as accepted then client / company need to make online payment of balance (if applicable) amount or needs to submit transaction information if payment is paid outside the platform.
    - Once report is accepted and payment is received by admin then admin will submit this report to Australian government outside the platform and need to mention in platform that admin have submitted this report to Australian govt.
    - All documents uploaded will be deleted within 6 months after report is submitted to AU Government. Admin will be notified 2 weeks before the deletion process.
* **Certification type of audit will be completed in two stages. Steps are as under.** 
  + **1st stage steps are mostly same as Verification type of audit. But have some differences mentioned as below.**
    - In verification audits client only upload the documents which are required by admin. But In certification audit stage 01 client / company upload document which are required by admin and with own choice.
    - Stage 1 preliminary report uploaded in the portal by the auditor, possibly with additional documents requested.
    - If any, the client can upload further documents.
    - Once all documents completed and approved by the auditor, stage 1 is completed.
  + **2nd stage (physical audit booking) steps are as under.** 
    - Once all the documents are uploaded then client/company needs to Book an audit week (for 2nd stage on site physical audit) of date from calendar or dropdown which is feasible. After that admin will receive an email that an stage 2 audit request is booked by client or company.
    - When admin receive this request then if admin have some issues in providing the auditor for requested week of date then admin can talk to client or company outside the platform and after mutual understanding admin can change week of date to any new week of date for audit. Platform would not have any back and forth negotiation of dates.
    - Stage 2 physical audit completed by the auditor. During stage 2 audit, the auditor may ask to view some documents not initially submitted. If the auditor viewing the documents is sufficient then client does not need to upload the documents.
    - Stage 2 final report uploaded in the portal
    - Approval / rejection of the report by the Client
    - If the client approves the report, go to next step
    - If the client rejects, they must write a reason (open text)
    - In both cases, triggers a notification to the Auditor
    - The auditor reviews and upload the final report, for client approval
    - Triggers a notification to customer
    - Final payment is required within 5 business days after report is approved by be customer
    - Final payment made by the customer (same methods as deposit)
    - Report submitted to AU Government by the Admin / auditor with documents.
    - All documents uploaded are deleted within 6 months after report is submitted to AU Government. Admin will be notified 2 weeks before the deletion.
  + Chat with Auditor
    - Once auditor is assigned to audit request then client can open a chat with auditor and can leave message with any doc/pdf/jpg attachment. If auditor or client is offline then receiver of message will see a chat notification and will receive an email for same. For chat developer will use firebase chat database and API. Platform owner need to provide firebase account for developer.
  + FAQ section
    - These will be some questions and answers managed by admin. So that client can explore them.

Feature 5: My Account

**01: Edit Profile:-**

Client or company would be able to change own name and email / phone, company address, ABN anytime. Email will be unique in database.

**02: Change Password:-**

Client or company would be able to change own password by entering below details in platform.

* + Current Password [Textbox] \*
  + New Password [Textbox] \*
  + Confirm New Password [Textbox] \*
  + Submit button
    - Clicking on submit button will set new password of Client or company and Client or company will be logged out automatically.

**03: Manage Staff:-**

From this section client or company would be able to add/edit/delete own staff list. Staff can be added using excel file import. Developer will provide pre-defined format of XLS. Staff list should contain any unique identity like employee id or employee email address. These staff will be added by client or company for internal use. These staff members would not be able to login in platform.

**03: Access content:-**

From this section client / company would be able to access certain specific static pages managed by admin. This content will be common for all registered clients or companies on platform.

* Terms and condition
* Privacy Policy
* FAQ
* About us

Feature 6: Transactions / Invoices

This section will list all of the transactions/payments details which are done by client or companies for audits. List will contain below details.

* + - Audit Title.
    - Audit Id (System will assign auto generated audit id for each audit request).
    - Payment Type: Deposit or balance.
    - Payment Mode: - Online / Offline.
    - Payment Date.
    - Remark of other details.

Feature 7: Trigger of email notifications.

Admin and client will receive email notifications for every status change of audit so that admin and auditor will stay updated what’s going on at platform. All email will be cc / bcc to Admin for knowledge purpose.

Feature 8: Trigger of automated email reminders.

All reminders are listed under of bottom, Platform owner needs to clarify all the reminders in case of any ambiguity.

Auditor Functionality: Website

Feature 1: Login

Registered auditors would be able to login into the website by using the following method:

* Email Address [Textbox] \*
* Password [Textbox] \*
* Login Button

NOTE: Auditors will be created by Admin, login credentials will share to auditor by email when admin create an account for them.

Feature 2: Forgot password

This feature will be same as client or company.

Feature 3: Dashboard

This section will show below statistics over this page.

* Number of audit requested assigned by admin.
* Number of audit requests completed and report is generated.
* Number of audit requests is in process.

Feature 4: Audit Requests

This section will show all the audit requests assigned by admin. It will have many sub sections.

* + All audit requests will be shown to auditor in chronological order; means latest request will be on top and old requests will be on bottom.
    - Name of audit request
    - Name of client / company
    - Size of Company
    - Name of selected registration groups
    - Name of auditor (if assigned).
    - Audit request status:-
      * Auditor assigned and Document Uploading Required.
      * Audit Booked.
      * Report Uploaded.
      * Report Pending.
      * Report Rejected.
      * Completed and submitted to Australian Government.
    - Audit Request Creation date and time.
    - View Detail of Audit request
      * This button will show a timeline breadcrumb of all stages of audit pipeline which are completed, which is in process and which are pending.
  + Search Audit Request
    - By Audit request creation Date
    - By Audit Status
  + Chat with Auditor
    - Once client’s audit request is assigned to auditor then auditor can open/reply a chat with client and can leave message with any doc/pdf/jpg attachment. If auditor or client is offline then receiver of message will see a chat notification and will receive an email for same. For chat developer will use firebase chat database and API. Platform owner need to provide firebase account for developer.
  + FAQ section
    - These will be some questions and answers managed by admin. So that client can explore them.

Feature 5: My Account

**01: Edit Profile:-**

Auditor would be able to change own name and email / phone, anytime. Email will be unique in database.

**02: Change Password:-**

Auditor would be able to change own password by entering below details in platform.

* + Current Password [Textbox] \*
  + New Password [Textbox] \*
  + Confirm New Password [Textbox] \*
  + Submit button
    - Clicking on submit button will set new password of Client or company and Client or company will be logged out automatically.

**03: Access content:-**

From this section auditor would be able to access certain specific static pages managed by admin. This content will be common for all registered clients or companies on platform.

* Terms and condition
* Privacy Policy
* FAQ
* About us

Feature 6: Trigger of email notifications.

Admin and auditor will receive email notifications for every status change of audit so that admin and client will stay updated what’s going on at platform. All email will be cc / bcc to Admin for knowledge purpose.

Feature 7: Trigger of automated email reminders.

All reminders are listed under of bottom, Platform owner needs to clarify all the reminders in case of any ambiguity.

Admin Functionality: Website

Feature 1: Admin Login

Admin would be able to login into the website by using the following details. Initially developer will provide a login details to admin to make the login.

* Email [Textbox] \*
* Password [Textbox] \*
* Login Button

Feature 2: Forgot password

This feature will be same as forgot password feature of client or company.

Feature 3: Dashboard

When Admin successfully Login in to portal, admin will see below statistic on the portal.

1. Total Number of registered clients or companies on platform.
2. Total number of registered auditors on platform.
3. Total number of audit requests created by all clients or companies.
4. Total number of audit requests marked as completed.
5. Total number of audit requests is in process.
6. Total number of audit requests pending to sign SLA.
7. Total number of audit requests which have pending assignment of auditor.

Feature 4: Edit Profile

Admin would be able to change own name and email / phone anytime. Email will be unique in database.

Feature 5: Change Password

Admin would be able to change own password by entering below details in platform.

* Current Password [Textbox] \*
* New Password [Textbox] \*
* Confirm New Password [Textbox] \*
* Submit button
  + Clicking on submit button will set new password of admin and admin will be logged out automatically.

Feature 6: Admin Manager

This section will allow admin to manage other admin accounts as mentioned below.

* Listing of all existing admin accounts.
  + Admin Name
  + Phone Number
  + Admin Email
  + Admin Registration Date
* Search Admin (by admin name).
* Activate /Deactivate Admin.
* Delete Admin [Soft Delete].
* View / Edit Admin.
  + Same information as Add New
* Add New Client / company:-
  + Admin would be able to add new admin by entering below details.
    - * Name of the admin [Textbox] \*
      * Phone Number of admin [Textbox] \*
      * Email of the admin [Textbox] \*
        + Email will be unique in database.
      * Password of the admin [Textbox] \*
      * Submit Button

When admin will press submit button then a new account will be created for admin and new admin will receive an email with own login details.

All admin will have same access of system. There will be no personalized role and permission for admin accounts. All will have same feature and access.

Feature 7: Client / Company Manager

This section will allow admin to manage clients or companies as mentioned below.

* Listing of all existing clients or companies.
  + Client / Company Name
  + Client / Company Phone
  + Client / Company Email
  + Client / Company Registration Date
* Search Client (by client name).
* Activate /Deactivate Client.
* Delete Client [Soft Delete].
* View / Edit client.
  + Same information as Add New
* Add New Client / company:-
  + Admin would be able to add new client or company by entering below details.
    - * Name of the client / company [Textbox] \*
      * Email of the client / company [Textbox] \*
        + Email will be unique in database.
      * Client / company Phone Number [Textbox] \*
      * Client / company Address [Text Area] \*
      * Client / company 8998666669i[Textbox] \*
      * Password of the client / company [Textbox] \*
      * Submit Button

When admin will press submit button then a new account will be created for client or company and client / company will receive an email with own login details.

Feature 8: Auditor Manager

This section will allow admin to manage auditor as mentioned below.

* Listing of all existing auditor.
  + Auditor Name
  + Auditor Phone
  + Auditor Email
  + Auditor Registration Date
* Search Auditor (by name).
* Activate /Deactivate Auditor.
* Delete Auditor [Soft Delete].
* View / Edit Auditor.
  + Same information as Add New
* Add New Auditor:-
  + Admin would be able to add new Auditor by entering below details.
    - * Name of the Auditor [Textbox] \*
      * Email of the Auditor [Textbox] \*
        + Email will be unique in database.
      * Auditor Phone Number [Textbox] \*
      * Password of the Auditor [Textbox] \*
      * Submit Button

When admin will press submit button then a new account will be created for auditor and auditor receive an email with own login details.

Feature 9: Audit Requests Manager

This section will allow admin to manage the audit requests. This section has many sub sections as mentioned below.

1. **SLA upload and deposit Setup Required:-**

This section will show all the newer audit requests which are created by client or companies and require admin to upload SLA or setup deposits. It will show all the details submitted by client or company when new request was generated.

* + 1. Call to actions
       1. Upload SLA [Single attachment in PDF format]
       2. Enter deposit amount and balance amount (if applicable)
       3. Submit
          1. When admin submit then client or company will receive an email notification that “Admin uploaded SLA and deposit amount please sign SLA and pay the deposit to move forward.”

1. **SLA uploaded and deposit is paid by client or company. Document Selection Required.**

This section will show all the requests for which client / company signed the SLA and deposits are paid. Now from here admin needs to enter number of staff being audited and need to select which documents are required to perform the audit. Admin will select document from predefined excel sheet which platform owner have provided.

Once admin select all the documents and mark selection of document as completed then client / company will receive an email that “admin attached list of documents which require completing the audit.

1. **Documents are attached by admin and uploading of document is required followed by audit booking.**

This section will show all the requests for which client / company requested booking of audit week of date. In this step admin will assign the auditor. After assignment of auditor, these audit requests will be appear on auditor panel so they can perform audit and can upload report / amend report and finish the auditing.

If admin assign the auditor and on later stage admin make change in auditor for particular audit request then all audit request stages will be auto assigned to new auditor. There will be no history in platform what older auditor does and what newer changed auditor does.

1. **In Process Audits.**

This section will show all the audits for which auditor is assigned and audit is in process.

1. **Completed Audits.**

This section will show all the audits for which auditor uploaded report and reports are accepted by the client or company. If audit is submitted to government same will be shown here. Admin need to manually enter this information when they submitted report to Australian government.

Feature 10: Invoice / Transaction Manager

This section will be same as invoice section of client/company. But it will show invoices of all clients/companies so that admin would be able to filter them by client or company.

Feature 11: Manage Document Names

From this section admin would be able to add documents which are required at company level or staff level.

Some will be global document name which will require over company level and some will be at staff level.

Others will be particular registration group level means admin would be able to create registration groups and would be able to mention list of document names which are required for those registration groups.

Admin would be able to pick these document names when admin is attaching document name list with audit request. Admin will also have facility to add any document name for specific audit request if this does not exist in managed document names.

Basically this section will allow admin to manage list of document names as mentioned at bottom of SRS (Document List Bist).

Feature 12: Email Template Manager

This section will allow admin to manage content of all transactional emails and email reminders.

* List All email templates
* Edit email template: - admin can manage email template content using rich text CKEDITOR

Free version.

Feature 13: Content Manager

This section will allow admin to manage the content of below pages from admin panel.

* About US
* Privacy Policy
* Terms & Conditions

Feature 14: FAQ Manager

This section will allow admin to manage the questions and answers from admin panel.

Feature 15: Platform Settings

This section will allow admin to manage the settings of platform. Below settings can be edit.

* From Email: It will be used as from email in sent emails. [Textbox] \*

DISCLAIMER

The images used in this document are for illustrative purpose only, and the actual designs may vary. Their resemblance with any other website or mobile app is coincidental. We provide custom design services, which offers client complete freedom to choose the color, layout and patter of his choice. This also makes the website design look unique and in-line with the business’s vision, mission, goal and strategies.

MISCELLANEOUS

1. All the prices /amounts /payments will be in single currency which will be decided by platform owner and cannot be changed in future.
2. Platform will be in English language only. User entered data will be in same language whatever user enters, other static data and content pages managed by admin will be in English.
3. Platform owner need to provide all third parties API’s. All third party implementation are subject to their available support and their available features.
4. Admin will see report of all received payments, audit reports, work done by auditors.
5. In case of any refund, admin need to settle it outside the platform/website.
6. Admin will manage content using free version of CK editor if admin need to enhance it then he need to paid version of CKEDITOR.
7. For email sending platform owner needs to provide SMTP details.
8. Website will work in single country time zone.
9. Website will be responsive.
10. Email id will be unique over the platform independent of their role. Means there cannot be single email for customer / auditor / admin. All should have own unique email id.
11. Platform will be hosted on cloud AWS server.
12. Document format can be PDF, JPG, JPEG, PNG, GIF, TIF, XLS, XLSX, DOC, DOCX, PPT, and PPTX only.
13. Developer is assuming platform owner will sell this platform by hosting on different auditing companies servers and for this process platform owner need to engage developer which will be estimated in terms of cost and time separately.

User Characteristics

The User and Administrator are expected to be Internet literate and to be able to use email. They are expected to be Windows literate and to be able to use button, pull-down menus, and similar tools.

Non-Functional Requirements

The website will host on a server with high speed internet capability. The Server machine will be determined by customer. The software developed by vendor assumes the use of a tool such as Apache for connection between the Web pages and the database. The speed of the website will depend on the hardware used rather than characteristics of this system.

Frontend UI : HTML, REACT JS with Material UI & Custom CSS

(Stable version as on development start date)

Server Side : Node JS (stable version as on development start date)

Database : Mongo DB (Stable version as on development start date)

Web Server : AWS EC2

Document List Bist :

|  |  |  |  |
| --- | --- | --- | --- |
| For | Registration Group | Document | More info |
| Each audited staff | All | 100 points of ID - Primary ID document | Primary identification documents (70 points each) include:  Current AHRPA Registration  Birth Certificate  Citizenship Certificate  Current Passport  Expired passport that was not cancelled and was current within the preceding two years |
| Each audited staff | All | 100 points of ID - Primary or Secondary ID document | Primary identification documents (70 points each) include:  Current AHRPA Registration  Birth Certificate  Citizenship Certificate  Current Passport  Expired passport that was not cancelled and was current within the preceding two years  Secondary identification documents (40 points each) include:  Australian Drivers License  Identification card for an Australian public employee Identification card issued by the Commonwealth, a State or Territory as evidence of entitlement to a financial benefit  State or Territory issued personal identification card Student card issued by an Australian tertiary education institution |
| Each audited staff | All | Right to work in Australia | Citizens must provide evidence of citizenship in the form of birth certificate, citizenship certificate or passport.  Non-citizens must provide a copy of their passport or ImmiCard. |
| Each audited staff | All | Certificate of completion of the NDIS worker orientation program |  |
| One for the company | All | Personal accident insurance or worker's compensation insurance | A certificate of currency for current insurance that meets the minimum level of cover commensurate to the scope of the provider. NDIS providers should seek professional advice as to the type and amount of insurance that is necessary. |
| One for the company | All | Incident Management | Describe how the provider manages incidents, or provide a copy of your incident management process, as relevant to the supports delivered for this registration group, including any relevant material provided to participants. The process must meet the requirements of the National Disability Insurance Scheme (Incident Management and Reportable Incidents) Rules 2018. The process should be relevant (proportionate) to the size and scale of the provider and to the scope and complexity of the supports being delivered. |
| One for the company | All | Complaints Management | Describe how the provider manages complaints, or provide a copy of your complaints process, as relevant to the supports delivered for this registration group, including any relevant material provided to participants.  The process must meet the requirements of the National Disability Insurance Scheme (Complaints) Rules 2018 and follows principles of fairness and natural justice. The process should be relevant (proportionate) to the size and scale of the provider and to the scope and complexity of the supports being delivered. |
| One for the company | All | Risk Management | Describe or provide a copy of the providers work health and safety policies and procedures relevant to the supports delivered for this registration group, including any relevant material provided to NDIS participants. The policies and procedures should be relevant (proportionate) to the size and scale of the provider and to the scope and complexity of the supports being delivered. This document may be reviewed as required. Providers and auditors should check the NDIS Commission’s website regularly to ensure that they are complying with the current version of this document. |
| One for the company | All | Public Liability Insurance | A certificate of currency for current insurance that meets the minimum level of cover commensurate to the scope of the provider. Providers should seek professional advice as to the type and amount of insurance that is necessary. |
| One for the company | All | Professional Indemnity Insurance | A certificate of currency for current insurance that meets the minimum level of cover commensurate to the scope of the provider. Providers should seek professional advice as to the type and amount of insurance that is necessary. |
| Specific Qualification | 0101 Accommodation / Tenancy Assistance | Several documents possible |  |
| Specific Qualification | 0103 Assistive Products for Personal Care and Safety | Several documents possible |  |
| Specific Qualification | 0105 Personal mobility equipment | Several documents possible |  |
| Specific Qualification | 0108 Assistance with Travel/Transport Arrangements | Several documents possible |  |
| Specific Qualification | 0109 Vehicle Modifications | Several documents possible |  |
| Specific Qualification | 0111 Home Modification | Several documents possible |  |
| Specific Qualification | 0112 Assistive Equipment for Recreation | Several documents possible |  |
| Specific Qualification | 0113 Vision Equipment | Several documents possible |  |
| Specific Qualification | 0114 Community Nursing Care | Several documents possible |  |
| Specific Qualification | 0116 Innovative Community Participation | Several documents possible |  |
| Specific Qualification | 0119 Specialized Hearing Services | Several documents possible |  |
| Specific Qualification | 0120 Household Tasks | Several documents possible |  |
| Specific Qualification | 0121 Interpreting and Translation | Several documents possible |  |
| Specific Qualification | 0122 Hearing Equipment | Several documents possible |  |
| Specific Qualification | 0123 Assistive Products for Household Tasks | Several documents possible |  |
| Specific Qualification | 0124 Communication & Information Equipment | Several documents possible |  |
| Specific Qualification | 0126 Exercise Physiology & Personal Training | Several documents possible |  |
| Specific Qualification | 0127 Management of Funding for Supports in Participants Plans (Plan Management) | Several documents possible |  |
| Specific Qualification | 0128 Therapeutic Supports | Several documents possible |  |
| Specific Qualification | 0129 Specialized Driver Training | Several documents possible |  |
| Specific Qualification | 0130 Assistance Animals | Several documents possible |  |
| Specific Qualification | 0134 Hearing Services | Several documents possible |  |
| Specific Qualification | 0135 Custom Prosthetics | Several documents possible |  |
| Other | Open field to name a specific document that can be required |  |  |

Email Reminders:-

1. Automated reminders (by email) to the clients after a certain period of time:
   1. Quote
      1. 2 weeks
      2. 3 weeks
      3. 5 weeks - Notification to admin
   2. SLA / payment reminder (100% for verification - 50% for certification)
      1. 1 week
      2. 2 weeks
      3. 3 weeks - Notification to admin
   3. Documents submission (both verification and certification stage 1)
      1. Every two weeks - reminder to client
      2. 6 weeks - Notification to admin with possibility to suspend the reminders
   4. Audit result - missing or wrong documents for verification or stage 1 certification (Note: CAA has 14 days to inform NDIS of the audit result)
      1. 1 week - reminder to client
      2. 2 weeks - reminder to client
      3. Every 2 weeks after - reminder to client
      4. 14 weeks - Notification to admin
   5. Audit result - non conformities -> adding more documents to be uploaded by the client (open field)
      1. 2 weeks - reminder to client
      2. Every two weeks
      3. 14 weeks - Notification to admin
   6. Certification report -> auditor sends to CAA -> peer auditor -> CAA -> auditor
      1. Peer auditor (to be assigned at the beginning)
   7. Certification payment (second 50%)
   8. Audit report approval
      1. 2 days - reminder
      2. 1 week - reminder
      3. 2 weeks - Notification to admin

Logic for timeline of audit request

For each client dashboard, the customer journey should display a timeline of the likely completion date of the audit, based on the following timeframes between each stage (estimated length for each stage in working days).

1. Verification:
   * 1. Enquiry sent -> Quote sent - 2 days
     2. Quote sent -> Quote approved - 5 days
     3. Quote approved -> SLA sent - 2 days
     4. SLA sent -> SLA signed and payment made - 5 days
     5. SLA signed and payment made -> Docs received and audit booked - 2 days
     6. Docs received and audit booked -> Audit - 5 days
     7. Audit -> Report sent to client - 2 days
     8. Report sent to client -> Reply from client and final payment - 5 days
     9. Reply from client and final payment -> Submission of the report to NDIS (final stage, out of the portal) - 2 days
2. Certification:
   * 1. Enquiry sent -> Quote sent - 2 days
     2. Quote sent -> Quote approved - 5 days
     3. Quote approved -> SLA sent - 2 days
     4. SLA sent -> SLA signed and payment made - 5 days
     5. SLA signed and payment made -> Docs received and audit booked - 2 days
     6. Docs received and audit booked -> Audit stage 1 - 14 days
     7. Audit stage 1 -> Audit stage 2 - 42 days
     8. Audit stage 2 -> Report sent to client - 21 days
     9. Report sent to client -> Reply from client and final payment - 5 days
     10. Reply from client and final payment -> Submission of the report to NDIS (final stage, out of the portal) - 2 days