

Please fill out the following questionnaire to continue the integration request process for the Kualu Financial System (KFS). The process includes an evaluation of internal controls before a department can integrate with KFS. Accounting & Financial Services (A&FS) will review the questionnaire and follow-up with additional documentation requests as needed. A system demonstration will be required as part of the process and all requested documentation is expected to be submitted prior to the demo.

Additional information: <http://afs.ucdavis.edu/systems/kuali/integration.html>

1. What is the name of your department?

CAES Dean's Office

2. Please provide the following for your IT contact.

- a. Name: **John Knoll**
- b. Title: **Application Developer**
- c. Phone: **530-754-0708**
- d. Email: **jpknoll@ucdavis.edu**

3. Please provide the following for your financial contact.

- a. Name: **John Knoll**
- b. Title: **Application Developer**
- c. Phone: **530-754-0708**
- d. Email: **jpknoll@ucdavis.edu**

4. What system will you be using to integrate with KFS?

SLOTH

5. Is this a Vendor product or custom application development?

If a vendor application then will the system be hosted on-premise or cloud based?

Custom Application Development

If the system is a custom application then please provide the following (depending on software development phase):

- Business Requirements for the new system
- Evidence of Business Requirements Approval
- Technical Design for the new system
- Evidence of System/Accepting Testing Approval
- Evidence of Production Approval

6. Why is your department requesting an integration with KFS?

Take Credit Card payments for ANLAB

7. How often will the system send data to KFS? Select all that apply.

- Daily <- **Daily**
- Weekly
- Monthly
- Quarterly
- Bi-annually
- Annually
- As needed <- **Sometimes, as needed**

8. How will the data, such as files, be created (Note: for feed file integrations, manually created or modified transactions are not permissible)? Who will be responsible for creating the data? Please provide name and title and contact information.

Programatically from Reconciliation Reports from CyberSource

9. For feed file integrations, how many transactions will be in a typical file?

10 - 20

10. The following question is for information gathering purposes only: If web services (REST) were available as an option, how many submissions would be submitted daily? Note: financial transaction web services are currently not available or restricted.

10 - 20

11. What controls will you have to ensure all data sent to KFS is accurate?

Reconciliation Report will be run to compare requests.

12. What controls will you have in place to ensure transactions are sent successfully and completely per policy?

Full stack logging and email notification during exceptions

13. How will you ensure that one person does not have control of the entire process from start to finish?

Audit logging and Access controls

14. Please describe who will have access to data sent to KFS?

Financial Administrators

15. Please provide a copy of your departments written policies/procedures for sending transactions to the financial system (KFS)? If you do not have documented policies you will need to provide them before you are given approval to feed into KFS.

Documentation Requested (Process Flows and/or detailed description)

In addition to questions above, please provide the following information below. You can submit this information in a separate document(s). These questions are also in the Financial System Integration Guidance document provided with this questionnaire.

- How are orders (or transactions, etc) entered in the system? By who?
- Are there approvals for services/orders/etc outside the system or inside the system?
- What are other department, if any, interactions/expectations?
- How are users added to the system? Manually added or through a roles management system, etc?
- What is the approval process for adding users to the system?
- What roles are in the system? What functions can each role perform in the system?
- How do users log into the system (e.g., CAS Authentication)?
- How will employee separations and transfers be managed (e.g., manually or automated)?
- What is the change management process (e.g., software development methodology, configuration management system used and build/deployment process)?
- How are approvals for requirements, acceptance testing and production approval captured for code changes?
- Provide a list of IT personnel and their roles; including access levels to systems (e.g., database, application server).
- What types of transactions does the system allow (budget, receivables, payables, etc. internal billing, journal transactions (other than internal billing) between accounts within your organization, journal transactions (other than internal billing) between accounts in your organization and accounts of other organizations.)?
- List of KFS Accounts that will be used.
 - If accounts are not specifically known then what types of accounts will be used (Income, expense, etc)

- What types of fund sources (Federal? Other contracts and grants? General Funds? Etc) will be used?
- List of Financial Object Codes used for each transaction type?
 - If financial object codes are not known then please provide additional detail on how the system will generate transactions per type.
- How are transactions processed for each transaction type?
- How does the system or your process ensure that there is a separate initiator and approver for each transaction? Describe the separation of duties process.
- How are reconciliations handled between system and the Financial System? Describe the reconciliation process.
 - How are defaulted transactions reconciled? For example, what is the process to correct a transaction that was rejected by KFS and the default chart, account number and object code are posted to the General Ledger.
 - Who performs the reconciliations?
 - Who reviews the reconciliations?
- How are customer financial transaction inquires/incidents tracked?
- Who responds to customer financial transaction inquires/incidents?