* How are orders (or transactions, etc) entered in the system? By who?
  + Customers create orders to be paid by external clients
* Are there approvals for services/orders/etc outside the system or inside the system?
  + Approvals occur within the system
* What are other department, if any, interactions/expectations?
  + None
* How are users added to the system? Manually added or through a roles management system, etc?
  + Users will be added manually into a roles based management system hosted in the application database
* What is the approval process for adding users to the system?
  + Policy Based
* 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)?
  + CAS Authentication
* How will employee separations and transfers be managed (e.g., manually or automated)?
  + Manually
* What is the change management process (e.g., software development methodology, configuration management system used and build/deployment process)?
  + Code Repository: GitHub
    - GitFlow
  + Build Process: AppVeyor
    - Includes automated unit testing
  + Deployment Management: OctoDeploy
  + Agile Methodology
* How are approvals for requirements, acceptance testing and production approval captured for code changes?
  + We’re using Trello to manage user requests during Beta. We’ll switch to ServiceNow after that.
  + Given that SLOTH is internally consumed by our other applications, we are our own customers/consumers.

Please answer this question. Even though you are using Agile, business requirements must be vetted and approved. If an external auditor asks for proof of requirements and testing approval, how can you demonstrate this? For example, are using Jira to capture this?, email? Sticky notes (not really valid but Scrum folks love them).

* Provide a list of IT personnel and their roles; including access levels to systems (e.g., database, application server).
  + John Knoll – Application Developer, Full Access
  + Scott Kirkland – Application Developer, Full Access

This probably violates SAS115; consider separation of duties. Developers are not allow production access to systems handling financial data.

* 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.)?
  + Journal

Journal is too generic. Is this income for Accounts Receivables? What program?

* List of KFS Accounts that will be used.
  + 3-PMTHOLD
  + 3-PMTFEES
  + Any other income account as specified by our Customer
* If accounts are not specifically known then what types of accounts will be used (Income, expense, etc)
  + Income
* What types of fund sources (Federal? Other contracts and grants? General Funds? Etc) will be used?
  + Credit Card Payments from Cyber Source
* 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.
  + 0060
  + First Example Transaction (to add tracking number to individual orders):
    - Debit from Holding, 0060, $1.00
    - Credit to Holding now with Tracking Number, 0060, $1.00
  + Second Example Transaction (to move money into team income accounts):
    - Debit from Holding, 0060, $1.00
    - Credit to Team Income, 0060, $0.95
    - Credit to Fee Account, 0060, $0.05
* How are transactions processed for each transaction type?

Please describe the transaction flow.

* 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.
  + The initiator, CyberSource bank reconciliation, will automatically trigger initiation of the above transactions.

Please elaborate on the separation of duties. The statement above provides little information. As an example, can you demonstrate the initiator can never approve the transactions before they are sent to the ledger?

* How are reconciliations handled between system and the Financial System? Describe the reconciliation process.

**Please answer this question**

* 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.
  + ?

Each origination code requires a default chart-account-object-code. In the unlikely event of a transaction going to the default account, how will this be reconciled back to the system and in KFS

* Who performs the reconciliations?
  + Brian McEligot
* Who reviews the reconciliations?
  + Brian McEligot
* How are customer financial transaction inquires and incidents tracked?
  + Order tracking system in CAES Payments application
* Who responds to customer financial transaction inquires/incidents?
  + Brian McEligot