

# CCH Audit Automation

## Quality Statement



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# Quality statement

## 1.1 Leadership and governance

Wolters Kluwer is led by a senior leadership team, and they are responsible for setting strategy for the business. Within the management and leadership structure, clear roles and responsibilities are held by highly experienced individuals. This enables ownership, drive, and commitment to quality along with business growth and protection of our reputation.

Product managers are responsible for specific areas of the software to ensure they keep abreast of all developments for that area and updates are made in a timely manner.

The content and software is maintained and written by in house technical writers and developers. Development planning is undertaken four times a year and the resource requirements are reviewed to ensure the software can be updated in a timely manner.

## 1.2 Technical content

The software requirements are scoped with input from methodology providers and professionally qualified technical writers to ensure the required scope is achieved. Planning is undertaken four times a year in quarterly increments with scoping requirements prioritised, and regular meetings are held with content providers and software developers to ensure updates and releases are processed in a timely manner.

A mapping document from the methodology content to the software is provided along with guidance for using the methodology within the software. For audit methodologies, the products have been mapped back to the ISAs (UK) and relevant standards. For financial statements reporting checklists, the requirements are mapped to the relevant extant reporting standards and statutory requirements.

Onsite or online training is available from our professional service department who also maintain the e-learning modules of the software.

## 1.3 Competence and capability

All team members have professional qualifications appropriate to their role and (where relevant) have extensive experience with software development. Business and personal development goals are set for each team member at the start of the year and reviewed and assessed throughout the year. All team members are encouraged to attend external technical courses and are given “time to grow” each month to focus on their development goals.

## 1.4 Compliance with laws and regulations

Wolters Kluwer employees conduct annual training for our Code of Business Ethics (Code) and highlights three specific topics from our Code: Conflicts of Interest, Trade Controls and Sanctions, and Use of Social Media. This training also explains where and

how to raise any questions or concerns that is not in line with our Code or the law. Training is certified to confirm employees have reviewed the Code and that the appropriate channels for raising questions or concerns are known.

## 1.5 Feedback, monitoring, and complaints

Our customer community platform provides users access to our dedicated support teams. Community groups are regularly monitored and feedback given to users in a timely manner. Account managers are allocated and will facilitate the resolution of issues and process complaints to our dedicated customer care and success teams. A dedicated email for complaints is available on the community platform.

## 1.6 Software development

All changes are tested to ensure that the pre-determined acceptance criteria is met. Once all work is complete a testing regression phase is implemented to ensure the quality of the work before release. During each phase, the software goes through gateways for approval, after the functional testing has completed, the software need to pass through a QA gateway. Once approved, the software will move into UAT, after testing has completed, the software needs to pass through the UAT gateway. After the Regression test cycle has completed, the software then needs to pass through a release readiness process, then Sign off and the software is promoted to Live.

Audit file finalisation procedures exist to lockdown the file as required by ISA 315 and provide a 60 day file assembly period. Audit trails are in place to document any changes post finalisation.

Privacy controls are available to control access to the software and / or audit files.