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# Certified Automated System Compliance Questionnaire

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| Contractor: |  |
| Evaluation Period: | January 1, 2014 to December 31, 2016 | |
| Contact Name: |  |
| Contact Phone: |  |
| Questionnaire due date: |  |

Once complete, upload this document to your company’s Core Team folder on the SSTGB FTP site and send an email to the Audit Core Team indicating the questionnaire is available.

1. [B.3] Has your Company, operating as a CAS provider, made available to all CAS users (Users) a mechanism for ensuring that the CAS is integrated into and interfaces with the User’s software in a manner that allows the CAS to function properly for the User?

Yes  No  Explanation:

1. [B.3] Has your Company made available appropriate testing materials and processes that allow a User to determine that the CAS is operating properly before using the CAS to perform its sales and use tax functions?

Yes  No  Explanation:

1. [B.3] Has your Company provided written notice to the Governing Board of the specific dates on which your CAS systems were installed on each Seller’s operating system?

Yes  No  Explanation:

1. [B.4] Were there any changes in applicable law or policy that required a modification of the CAS?

Yes  No

1. [B.4] If there were any required modifications to the CAS, please describe the changes and the dates that the revisions to the CAS were rolled out to the Users.

Changes:            Dates of rollouts:

1. [B.4] Was the modification made within the timeline contained in section B.4?

Yes  No

1. [B.4] Within five (5) business days after making any modification (or making any decision that a modification was not necessary), did your Company send written confirmation of the modification (or written explanation of why a modification was not necessary) through the Testing Central program to the Governing Board, Member States and Associate Member States?

Yes  No

1. [B.4] If your Company made any modification to the CAS, did you contact and alert each User that a modification to the CAS was available and that the modification must be made if the User wishes to comply with Governing Board requirements for Model 2 Sellers, and permit the User or Contractor to install the modification in order to update the User’s version of the CAS?

Yes  No

1. [B.5] Was your Company notified that a modification to the CAS must be made on an expedited basis?

Yes  No

1. [B.5] If so, did your Company make the modification within the time period stated in the notice? If not, please explain.

Yes  No  Explanation:

1. [B.5] Was modification available to the Testing Central program for testing as soon as the CAS was modified?

Yes  No

1. [B.6] Were any optional modifications made to the CAS? If so, please explain.

Yes  No  Explanation:

1. [D.1] Does your Company include in its agreement with Users the required disclosures per Contract Section D.1?

Yes  No

1. [D.2] Does your Company have in place a mechanism to document that each Seller who uses the CAS separately acknowledges that it has received and read the required disclosures prior to using the CAS to perform its sales and use tax functions?

Yes  No

1. [E.1] Were there any instances where your Company was liable under this Contract to the Member States and Associate Member States for underpayments of tax attributable to errors in the functioning of the CAS or the failure of your Company to fulfill its obligations to the Governing Board as a provider of a CAS or to make updates to the CAS available to the user in a timely manner? If so, please explain.

Yes  No

1. [E.6] Were there any instances during the period of this inquiry where your Company assigned this Contract or delegated any of its obligations under this Contract without prior written approval of the Governing Board?

Yes  No

1. [E.7] Were there any instances during the period of this inquiry where your Company was the subject of a merger, consolidation, reorganization or other combination or is the subject of an acquisition?

Yes  No

If so, did your Company notify the Governing Board of the proposed merger, consolidation, reorganization or other combination, or acquisition?

Yes  No

1. [E.21] Please provide a sample of your Company’s advertising, marketing, or other communications, whether public or private, for services provided to Sellers.
2. Please add any other information not specifically asked for in this questionnaire that you feel would be of help during this audit.