Office of the Washington State Auditor

Audit Documentation & Management Software

~K645-RFI-2011~

Presented By: Western Integrated Systems & Eccentex

Request for Information – Contents

We are pleased to respond to this RFI with information about a software solution that accomplish all of the objectives outlined by the Office of the Washington State Auditor. Our solution, AppBase by Eccentex, would securely support work processes and central data collection for all concurrent users, while achieving all of the requested functions for audit documentation and management.

In our response to this RFI, we have included a short section that details Western Integrated Systems history as well our partner Eccentex who created the AppBase platform. Additionally, we have included a table with responses to each of the questions/requirements posed in the RFI, as well as tiered pricing and user pricing for annual and maintenance per your request. Upon request, we are happy to provide a product presentation if the Office of the Washington State Auditor would like more information regarding the features and functions of the AppBase platform.

- ✓ *Company Background (Pages 2-3)*
- ✓ *Table with Responses to Requirements (Pages 4-15)*
- ✓ *Tiered Pricing/Per-User Pricing (Page 16)*

Western Integrated Systems Organizational History

Western Integrated Systems (WIS) was established as a Sole Proprietorship in 1981. WIS is a nationally present, locally focused Management Services and Value Added Reseller (VAR) of industry leading software and services. Our highly experienced team will assess the needs of Office of the Washington State Auditor, as well as procure, install, test and implement, support and maintain all products and services that we propose in this RFI response.

WIS has a CMAS contract (#3-19-70-2586D) and is a California Certified Small Business (#18514). Our Federal SAM cage code is 625G8. WIS operates two offices, in Sacramento, CA (1325 Howe Ave. STE #102), and in Oakland, CA (3640 Grand Ave. STE #100).

Most of the team that will support the Office of the Washington State Auditor staff have been together for over a decade, some going back 20 years. This tight knit group has accumulated a deep knowledgebase surrounding effective audit documentation and management software and is pleased to share our response to this RFI.

Eccentex History/Background

The Eccentex AppBase Platform was built from the start to be exactly what it is: The industry's first entirely web-based PaaS/SaaS for Dynamic Case Management, fully integrated with all the critical capabilities for the dynamic case management and document management domain.

The company was founded in 2005, providing the industry's first web-based, low-code platform for Dynamic Case Management services & solutions. Our flagship product, AppBase DCM, serves as the basis for our solution for the Office of the Washington State Auditor's documentation and audit management needs.

Eccentex has never lost a customer or failed at a project, something we believe illustrates a commitment to customer service and satisfaction, and more importantly, an ability to hire, train and retain high quality professionals as part of our team.

Eccentex and Western Integrated Systems have many years of cross-industry expertise in delivering complex solutions and assisting customers achieve the automation and value-add they seek. Providing good service to customers requires both a corporate culture and good people. We believe people come first, and both Eccentex and Western Integrated Systems proudly endorses its staff as very customer-focused and responsive to customer needs.

One recent customer in the Eastern United States told Eccentex: "We have never had such a wonderful project vendor or had a project that resulted in exactly what we wanted, so perfectly."

You will find this type of sentiment across our entire customer base.

Response to Office of Washington State Auditor's Requirements for Software:

QUESTION/REQUIREMENT	RESPONSE
1. Allows for efficient documentation and review of audit work and recommendations in compliance with professional standards, accommodating a wide variety of external audit types and sizes	AppBase by Eccentex is a platform designed to support many types of "Case Types." Each "external audit type" would be its own "case type", with its own workflow, forms, rules, standards and data. You can manage any number of "external audit types" within one application. They can each be configured to document and review audit work based in the most efficient way.
2. Customizable User Interface, perspectives (user views) and terminology that allow the workflow to be customized	One highly unique feature of AppBase is the ability to utilize low-code/no-code methods to design and deploy very complex user interfaces for each and every interface component of cases and their underlying tasks. Even more importantly, these customized interfaces can vary across case types and task types, so the user experience is unique to their role and the type of function they are performing. Dashboards are defined enterprise-wide and can be individually personalized by users who hold appropriate permissions.
3. In addition to laptops and desktop computers, ability to use mobile devices and tablets for access	The AppBase platform caters to all of these needs specified by The State of Washington. Our solution compatible with standard mobile device platforms, available around the clock and is also accessible remotely and/or from mobile devices. The solution features a native app for iPhone and Android devices, and touch-based browser support for iPad, iOS and Android SDK for embedding busines intelligence in native mobile apps.

4. All associated server environment data (operating system, data base brand and architecture, required framework and/or stack)	**For self-hosted environments** **Application server:** Windows Server with .NET 4.7.2+ **Database:** Oracle 12c or 19c on Linux A detailed installation guide can be provided. **For Eccentex Cloud** Not applicable
5. Ability to operate on current MS Windows 10 OS and future patch releases and updates6	AppBase is browser-based and only requires the latest versions of Microsoft Edge, Google Chrome or Firefox. The only Windows 10 component is an options Document Scanning module used to scan paper documents into the solution.
6. Compatible and fully integrated with latest versions of MS Office Products, including Office 365 (cloud and desktop clients) and Office 2016	AppBase is designed to interface with existing external sources and systems of record, which includes the latest versions of MS Office Products. Additionally, AppBase is capable of integrating with a wide-range of existing enterprise applications. We support Active Directory and ADFS for SSO. For Office 365, we can use it to send and receive emails and update/synchronize calendars.
7. Compatible with latest versions of common web browsers (Google Chrome and Microsoft Edge)	AppBase is compatible with all of the latest versions of common web browsers.
8. Compatible with common electronic document file types and associated 3rdparty software,	AppBase is compatible with all of the common electronic document types and 3rd party software listed.

including but not limited to .PDF portable document files (Adobe and Nitro Pro), .JPEG and BMP digital images, .TXT text files, and .ZIP compressed data files	
9. Ability to attach external files (i.e.pdf, docx, xlsx, jpg, bmp, tif, etc.) to all work flow items	AppBase allows users to attach all of the external file types listed to all workflow items.
10. Workflow tracking (edit history) including status designations (such as prepared and supervisor reviewed)	**Case Status** Each case within the system has a state (status) associated with it, indicating progression within the case resolution process. Cases are defined by the enterprise. Common states may include 'Initiated', 'In progress', 'Waiting for Input', 'Resolved' and more. The transition between cases is driven by events (see below) to form a well-defined state machine. Case states help monitor the progress of individual cases and provide visibility into the operation of the enterprise. By monitoring case states, supervisors can identify workloads, bottlenecks and efficiency. This information can be used to continuously improve processes. **Case Events** Cases may be associated with events. Examples of case-related events are 'Input form was submitted by user', 'Credit report was received', 'Supervisor approved recommendation', etc. Events can also be time-based. For example: 'Account is 30 days past-due' or 'Case due date in 2 days'. Case events are recorded in the case history along with their date and time stamp. They may also trigger status changes (see above) or may trigger the initiation of new workflows.
11. Electronic workpaper management including version control and automated assignment of	AppBase comes with a comprehensive Document Management module that supports versioning and assignment. Each document will belong to a specific

workpaper identification numbers (audit reference codes)	"external audit". This document can be updated and assigned throughout the lifecycle of the audit. The system supports any number of documents for each audit.
12. Ability to restrict editing or changes to engagement projects or workpapers for retention purposes (i.e. finalization, freezing or archiving procedures)	Edits or changes can be restricted based on the status of the audit or the status of any part of the audit. The restrictions may be based simply on the status of the audit or be more complex, such as restricting changes only to a certain group of users. The restrictions logic is configurable. Aside from being context-specific, screens restrict content to data that is accessible to the user's permissions based on roles, skills and group organization. This will allow designated personnel from The Office of the Washington State Auditor to restrict editing or changes to engagement projects or workpapers for various retention purposes, including legal and audit holds.
13. Ability to set engagements and workpapers as confidential (limited or restricted access)	AppBase allows for customizable user-access levels that include limited and/or restricted permissions. Case data (audit data) is accessible by all case workers who work on the case, based on their individual permissions. These permissions are based on a user's role, group association, organizational function and skills. Access is controlled at the record level, business object and down to access of individual fields to protect personally identifiable information, juvenile information and other protected data.

14. Ability to search by keywords, attributes, and/or values	The AppBase DCM platform provides a powerful set of search utilities. These utilities allow users to search for cases, search within object lists, perform full text searches for keywords/attributes/values, as well as perform ad hoc searches. Multi-field searches are possible to narrow search results down to a specific set of documents. Searches can also be done across all documents and other data that exists in the system. Security settings indicate what search results appear for each user.
15. Ability to meet compliance regimes that may include storage and transmission requirements for health records, payment card information, personally identifiable information, or other types of confidential information	AppBase goes through 3rd party security audits and used by the US public sector to process health, financial, PII and other confidential information. Any additional compliance regimes can also be met.
16. Exception and audit issue tracking for follow-up corrective action	The system maintains an audit trail of all activities and events. There are two levels of audit trail: • Database level • Business level Audit trail entries contain information about data field being affected, identity of the case worker and date & time stamp. AppBase's audit logging also records reports, dashboards and analytic view usage for the purposes of audit tracking or performance analysis.
17. Ability to support real-time digital collaboration through dashboard	The system maintains the concept of workflow and task owner, and yet the task may be performed by one or more individuals, facilitating collaboration.

reports and supervisor reviews (edit comments)	This feature may be used when the participation of individuals with various expertise is required. Other mechanisms are provided by the system to support collaboration. These include: document sharing, ability to annotate documents or maintain notes / comments and an efficient internal communication mechanism.
18. Provide real-time tracking of workflow and project status	Each case within the system has a status associated with it, indicating progression within the case resolution process. With AppBase, an audit file can be tracked from initiation to completion. Cases are defined by the enterprise. Common states may include 'Initiated', 'In progress', 'Waiting for Input', 'Resolved' and more. The transition between cases is driven by events to form a well-defined state machine. Case states help monitor the progress of individual cases and provide visibility into the operation of the enterprise. By monitoring case states, supervisors can identify workloads, bottlenecks and efficiency.
19. Ability to add hyperlinks and bookmarks for cross-referencing and efficient navigation	Bookmarks and hyperlinks can be easily assigned by users to aid in cross-referencing and navigating the system. These bookmarks and/or hyperlinks can be used to mark notable audit files requiring a designated action.
20. Ability to create and maintain templates of our knowledge base which can be imported into the audit documentation software	AppBase Business Intelligence comes with a rich library of common case management reports. Deployed solutions are augmented with enterprise-specific reports. It provides detailed case-related reports that assist in case evaluation and analysis. Enterprise staff can modify and maintain existing report templates

	and/or create new ones. These templates can then be imported into the audit documentation software system. Knowledge base(s) can be viewable from within AppBase for ease of use.
21. Administrative capabilities to establish and update user accounts, system polices, and workflow preferences	The system has 2 levels of administration capabilities: **Process-specific setup:** workflows, forms, integrations, UI, dashboards and more. **Administration setup:** user management, system policies, system health and more.
22. Administrative rights to specify user access policies and permissions (controlled user access). User permission and access controlled by System Administrator	**Organizational Hierarchy** Administrator can define the organizational hierarchical structure. It defines the management chain (i.e: supervisor – subordinate relationship). This information is being used within the system in several ways: - Supervisors typically have access to their subordinates' data and activities. - Supervisors may get reports related to workflow and performance within their organization - Supervisors may re-distribute work within their organization - Where a supervisor approval is required, tasks may be directly routed from subordinate to a supervisor - Escalation procedures typically involve notifications, sent up the management chain
23. Open APIs or other means for integration with other software	The AppBase DCM platform is often deployed in environments in which integration with other systems, services and data repositories are required. It includes a powerful integration module that

modules and applications, dashboards and reports	provides easy connectivity to a large number of platforms through a suite of integration mechanisms. The key to its power is the approach being used and methodology.
	Web Services is a key integration technology, utilized by the platform. It can be used to integrate to external services or data repositories that support this common industry standard. Gartner recently lauded the advanced integration approach of AppBase, as *AppBase has over 2500+ well documented REST/SOAP APIs and a truly open integration platform*.
	The Web Services technology is further enhanced through the use of AppBase innovative concept called SmartAPIs. The platform automatically generates an API for every customer-specific business rule that is being configured in the system.
	For example: A functional rule is written in AppBase to make a call to another enterprise or partner system. This "customization" automatically has a REST API created and is therefore exposed to web services automatically.
	Real-time integration with systems that don't support Web Service APIs can be done through the exchange of XML Metadata or SQL query/response messages.
	In some cases, external systems may only interact through the use of batch processing. AppBase provides native Capture and Distribution Channel adaptors, with scheduling capabilities that can send and receive data in other formats (XML, EDI, CSV, etc).
	These adaptors can be used for creating enterprise-specific import/export utilities that may be used in these environments. Batch processing may be scheduled to execute at periodic intervals (e.g.: end of the day) or can be executed by the administrator at will.

24. Ability to copy, duplicate, transfer, and generate printable reports for all work product within the software solution	Reports can be printed, copied, saved in files or displayed online. When displayed online, they offer a drill-down capability providing thereby enhanced analytics.
25. Offline System Capable, without network connection to cloud or main server, while maintaining central database	AppBase can be configured to support certain work without a network connection. The exact scope will be determined by the complexities of the application.
26. Supports data backup and recovery. Prefer ability to recover individual audit files without having to roll back the entire database	AppBase is backed up automatically and has a comprehensive disaster recovery strategy. The system can be configured to load a backup into copy of the application for the users to select the audit files to copy into the main production server.
27. Auto-Sync Capable with conflict identification and resolution features	AppBase can be easily configured to identify conflicts and provide the user with options on how to handle the situation. The "rules" behind what a conflict looks like and how they should be handled is part of the main application configuration and may differ between types of audits.
28. Ability to import and export (e.g. project rollover) information and work product within the software solution. Please specify acceptable data formats for import/export and inter-application analysis and reporting	AppBase supports export/import on multiple levels and is highly configurable. In general, AppBase can export/import Excel, CSV, PDF, Word, XML, JSON and many more formats. Any additional files such as voice, videos, images and so on can also be part of the export/import capability.
29. Ability to customize configurations based on preferred workflow using specific fields and values such as: project names, client	AppBase DCM is designed to accommodate an unlimited amount of Case Types and applications. Each Case Type can have its own unique data elements, workflows, business rules and user access models. There is an unlimited amount of sub-case

names, client types, engagement numbers, engagement types, reporting periods, and report issue dates	types, or other segmenting or grouping elements one can have for each type. The model is very flexible to provide a common data model across all Case Types, then allows for the branching that will occur based on individual Case Types and use-cases. Solutions, based on the AppBase DCM platform are delivered with a library of common case types as well as enterprise-specific cased types, configured per the enterprise' specifications. These could include project names, names of clients, types of clients, reporting periods, report issue dates, etc. New Case Types can be added by the enterprise staff, and existing processes and procedures can be modified real-time, and implemented immediately by business users. This provides the enterprise maximum agility to implement new processes or change current processes, and to enable continuous improvement efforts over time.
30. Policy and Terminology Configuration Management: structured hierarchy; provides for configuration updates that associate all data with the assigned configuration item. All data auto-populates based on administrative configuration.	Eccentex AppBase can support a complex structured data set for each audit type. Hierarchical policies and terminologies can be configured as well. The auto-population feature is configurable within the product based on business logic rules.
31. Online tutorial and offline manual and help functions	Eccentex AppBase provides an online tutorial and an offline manual for the platform and the end-product to Washington. The documentation can also be viewed within the application by employees.
32. System Training to cover administrative needs and availability during regular business hours to support product issues	**The training program consists of:** **System Administrator Training** – Adding new users, customizing the user interface as requested,

	creating new "canned" reports, Workflow Management
	End User Training – Terminology, resources, Interface, Search and Retrieval, Saving, Redacting, Workflow initiation, Workflow Management, Report Usage and Ad hoc Report Creation
	Records Management – Preservation and Disposition of content and metadata
	Training timeframe: System administrator training would occur once the Pilot configuration is complete and concurrently with testing of the solution. Within two weeks of the acceptance of the Pilot and System testing, power user training would occur to facilitate User Acceptance Training.
	Once the UAT is complete, all identified users will be scheduled for training. Training calendars, Guides, Presentations, Attestations of Understanding, and reported Issues are maintained in cloud-based SmartSheet. Once the first round of training is complete, the content, with Attestations, is downloaded to a zip file for the County's training department to store.
	If requested, Western Integrated Systems will offer periodic training sessions for new employees or agencies. Attestations will be downloaded and sent to designated representatives from The State of Washington.
	All training is conducted during regular business hours.
33. Expandability and integration support for new technologies (i.e. follows software development best practices and has an active development plan / business plan that	AppBase DCM is designed for scalability to suit not just the individual needs of both small and large enterprises but also be deployed as a single application within an organization and to expand over time to provide several services through several applications. Its modularity and service-

will ensure continued compatibility and integration with new technologies)	oriented architecture make it a perfect solution for large deployments and large volume of both users and transactions.
	The system can be scaled horizontally as well as vertically. Modules within the system can be scaled individually to meet enterprise-specific requirements. This way, for example, the Full Text Service module may be replicated in organizations that make heavy use of this function, without the need to scale other components.
	Large organization, with many divisions and/or locations may utilize multiple systems. Eccentex recognizes performance and scalability can be an important consideration. Based on the modularity and service oriented architecture illustrated above, we would submit that AppBase is perfectly designed to address this important topic as it is fully scalable for large deployments, and large volumes of users, transactions and data (both structured and unstructured i.e.: documentation).
	AppBase performance monitoring capabilities and analytics support capacity analysis and capacity planning to meet growth as well as transient load situations.
34. Vendor offers enterprise level product and/or service	AppBase is an enterprise-level product by the Eccentex Corporation.
	Support is available 24/7/365.

Sample Per-User & Tiered Pricing for Annual Operation & Maintenance

50 - 100 Users = $100.00/named/month
101 - 200 Users = $90.00/named/month
201 - 400 Users = $80.00/named/month

Support Services/Month = $21,250
Includes full-time FTE to assist with Level 2 support, configuration and enhancements
($125 for 1 year)

Support 100 = $15,000
Includes 100 hours of prepaid hours of support and expert services
($150 per hour x 1 Year)

Support 200 = $29,000
Includes 200 hours of prepaid hours of support and expert services
($145 per hour x 1 Year)

Support 300 = $42,000
Includes 300 hours of prepaid hours of support and expert services
($140 per hour x 1 Year

Support 400 = $54,000
Includes 400 hours of prepaid hours of support and expert services
($135 per hour x 1 Year)

Support 500 = $65,000
Includes 500 hours of prepaid hours of support and expert services
($130 per hour x 1 Year)