

# Information for an Audit Documentation and Management Software Solutions

December 4, 2020

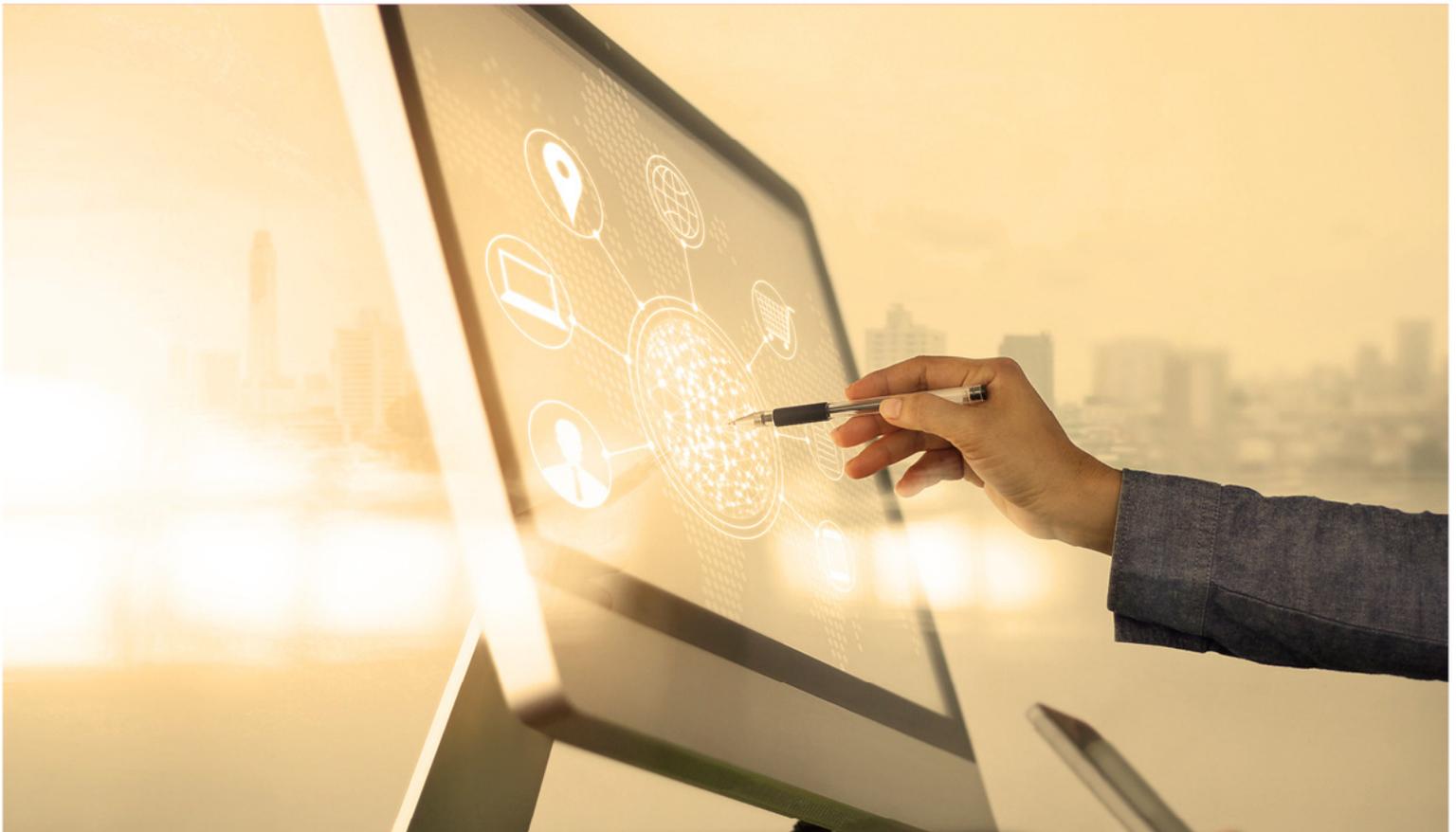
K645-RFI-2011

**Submitted to:**

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Dear Ms. Patten:

Crowe LLP (Crowe) appreciates the opportunity to present our information to the Office of the Washington State Auditor (SAO) in response to your Request for Information K645-RFI-2011 for an Audit Documentation and Management Software Solution.

Based upon the requirements and desired outcomes of this project, we feel that Crowe has the unique capabilities to make this project an unqualified success. Crowe is an experienced, stable and well-respected consulting, technology and accounting firm with a strong governmental and industry commitment. We have delivered high value results to our clients for decades, and we feel that we are well-suited to help SAO with this project. Our team is strong and skilled in several attributes that we feel are important to the success of this project, including:

- **We Know Audit Management Technology.** As the ninth largest CPA firm in the U.S. we don't just provide technology, we have in depth understanding of government audits. **Crowe's GAGAS Yellow Book Audit Accelerator** powered by the RSA Archer system is the right solution for SAO's Audit Tracking. And with respect to technology, our Governance, Risk and Compliance Technologies practice is led by Principals who have over 30 years' combined experience implementing RSA Archer for organizations. Nearly half of Crowe's GRC Technology consulting team is comprised of former RSA Archer consultants, customer support engineers, and Archer administrators for Fortune 500 companies.
- **We are Skilled at Complex Implementations.** This experience has allowed us to identify ways to implement RSA Archer in the simplest, most cost-effective way possible. Our breadth of experience also allows us to confidently "push back" and provide alternative approaches based on how we have helped customers successfully implement the RSA Archer Platform over the previous 15 years. Crowe was named the RSA Archer North America Partner of the Year in 2018.
- **We Excel in Project Management.** The Crowe team includes experienced, project managers to keep the project on-time and on-budget. Using Crowe's proven project management methodology, the Crowe team will be able to deliver this important project for SAO on time and within budget. We have successfully managed similar projects, which involve diverse, broad, complex, and often competing project priorities and stakeholder expectations.
- **Archer is an Enterprise Scale Solution** – Archer is a comprehensive solution that is easily able to handle large scale enterprise-wide implementation. Deployed in 100+ US Government Agencies, eighteen states, and the ten biggest U.S. banks, this solution will help support the Washington State Auditor across the entire organization and is designed to support groups and processes at varying levels of sophistication, maturity or automation.

Charleen Patten  
Office of the Washington State Auditor  
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Crowe has expertise in multiple audit technologies. We have chosen to bid our Yellow Book Audit Accelerator powered by Archer, but based on additional information provided, we can offer other tailored solutions to meet the Washington State Auditor's needs. We reiterate our belief that our expertise, capability and credentials will provide a partner to enable project success. We look forward to the opportunity to provide high-quality services to SAO with this engagement. Should you have any questions regarding our proposal, please contact me at 630.706.2071 or by email at [bert.nuehring@crowe.com](mailto:bert.nuehring@crowe.com).

Sincerely,



Bert Nuehring  
Partner



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## Crowe GAGAS Yellow Book Audit Accelerator

As a partner with RSA, Crowe empowers organizations to more effectively and efficiently manage audits with the **Crowe GAGAS Yellow Book Audit Accelerator** running on RSA Archer. Organizations are looking for ways to automate and simplify the vast amount of documentation involved with Auditing – from risk assessment, planning, execution, issue tracking, timekeeping, scheduling through governance committee reporting. Organizations face a rapidly changing regulatory and business risk landscape, and your audit strategy may not be positioned to adapt to these changes. In addition, audit approaches and results are now expected to incorporate data analytics, dynamic risk planning, and continuous control monitoring.

Crowe assists in deploying point solutions to solve one organizational need (i.e. Audit) and helping organizations centralize on an integrated audit management platform. As part of our strategic partnership with RSA, Crowe helps companies leverage technology to run their organization. The RSA Archer platform is modular, integrating 7 purpose-built solutions. Based on the RFI scope, we are solely focused on the Audit Management and Issues Management modules. The Crowe GAGAS Yellow Book Audit Accelerator is built on the leading RSA Archer Technology platform, using the RSA Archer Audit Management and Issues Management solutions and incorporates Crowe proprietary configuration, content and usability enhancements.



The Crowe GAGAS Yellow Book Audit Accelerator puts you in control of the complete audit lifecycle, transforming the efficiency of your audit department and improving governance of audit-related activities. It provides a risk-based approach to audit management and integrates with your risk and control functions, enabling a broad view of risk for evaluation of the most critical areas of the audit and organizational controls. Companies using Crowe Accelerators realize the following benefits over traditional out-of-box implementations:

- **Increased Speed to Implementation.** As the Crowe GAGAS Yellow Book Accelerator is pre-configured to meet the unique needs of government auditors, agencies save time and avoid lengthy custom implementations.
- **Reduced Costs.** With reduced implementation timelines, organizations can realize overall cost savings. The license for the Accelerator is commonly offset by the savings in the initial deployment. The annual maintenance in subsequent years ensures that everything works seamlessly with updates of the underlying RSA Archer platform. So, as RSA updates the platform and adds additional features and functionality, we update the Accelerators to take advantage of that functionality, so the organization would not need to do additional “projects” to take advantage of core system functionality.
- **Insight into standards and best practices.** Built to be government specific, Crowe’s monitoring of emerging industry standards and best practices allows for timely updates to the solution to help ensure compliance and timely adoption of emerging trends. Crowe is monitoring the external environment and making updates to the Accelerators, based on those changes and coming to our clients with them and our clients can determine if they want to accept and implement those updates.
- **More engaged user base.** With enhancements to the user interface, users have a more positive experience. This leads to a more engaged user base, providing better data for more informed management decisions.

Audit Entity Risk Assessment Audit Program Library Audit Workpapers Continuous Monitoring	<b>Crowe Yellow Book Audit Accelerator</b>	Activity Driven Landing Pages Advanced Workflow Guidance Banners Visual Workflow Tracker
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Audit Planning and Quality Audit Engagements and Workpapers	<b>RSA Archer Use Case</b>	Findings Remediation Plans Exceptions
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Access Control Application Builder Search Advanced Workflow	<b>RSA Archer Platform</b>	Data Integration Dashboards Reports
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The **Crowe GAGAS Yellow Book Audit Accelerator** with the RSA Archer Suite as the underlying platform addresses the most critical domains of business risk and evolves a risk management program with a full suite of multi-disciplinary risk management solutions, built upon a single configurable, integrated software platform. Organizations that integrate effective Governance, Risk and Compliance processes across an integrated risk management platform realize a multitude of benefits, including: reduced costs, elimination of redundant or duplicative activities, improved enterprise-wide information quality, efficiencies gained in time to produce data used in making informed business decisions, and a greater ability to repeat processes in a consistent manner to drive sustainability. Utilizing the platform to the fullest extent gets your organization closer to a world-class audit management maturity level driven by a highly configurable solution, based upon best practices, expertise, and insights from the largest community of its kind. The platform provides the capability to expand by adding modules in the future, if SAO desires to integrate other risk management, compliance and assurance activities on a single platform. While the system can fulfill all the State Auditor's needs, it is not limited to that one business function and can scale to meet evolving needs.

In order to develop the **Crowe GAGAS Yellow Book Audit Accelerator**, we incorporated GAGAS Standards, checklists and templates that are designed to comply with GAGAS requirements. Crowe has embedded GAGAS Standards into the system Libraries and we have incorporated Council of the Inspectors General on Integrity and Efficiency (CIGIE) compliance checklists, manuals and guides to help organizations manage the quality standards of the Yellow Book.

The RSA Archer system can be configured within the Platform's point-and-click, drag-and-drop interface, without the need for custom code. The Platform empowers non-technical users to rapidly design applications that turn ideas into comprehensive solutions. Administrators can modify, create, or delete, fields, applications, layouts, notifications, templates, access controls, workflows, reports, and more without the need of custom code development. As no custom coding is needed, future modifications and changes to the workflow, processes and management of each use case can be supported by internal business users without formal programming knowledge.

## Audit Management System Functional Requirements

#	Washington State Auditor Requirements	Meets Requirements?	Comments
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	YES	Archer's Audit Management solutions were built using industry best practices and can accommodate multiple types of audits, of various scopes and sizes. Archer can act as a central repository for audit documentation, allowing for efficient creation of workpapers and upload of evidence.
2	Customizable User Interface, perspectives (user views) and terminology that allow the workflow to be customized	YES	Archer is highly flexible, and allows for changes to the UI, user views, terminology and workflows without the need for custom code. Using a point-and-click, drag-and-drop interface users can create, modify and delete fields, layouts, reports, dashboards, notifications, workflows and more.
3	In addition to laptops and desktop computers, ability to use mobile devices and tablets for access	YES	All that is required to access the Archer platform is a supported browser.
4	All associated server environment data (operating system, data base brand and architecture, required framework and/or stack)	YES	Server: Windows Server 2016 or 2019 (extended support for 2012 R2) Database: Microsoft SQL Server 2017 or 2019 (extended support for 2016) Web Server: Microsoft IIS 10 (extended support for 8.5)
5	Ability to operate on current MS Windows 10 OS and future patch releases and updates	YES	This functionality is fully supported.
6	Compatible and fully integrated with latest versions of MS Office Products, including Office 365 (cloud and desktop clients) and Office 2016	YES	Archer is fully compatible with MS Office including both 365 and 2016.
7	Compatible with latest versions of common web browsers (Google Chrome and Microsoft Edge)	YES	Supported browsers include the latest versions of Chrome, Edge, Firefox and Safari.
8	Compatible with common electronic document file types and associated 3rd party software, 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	YES	Archer is fully compatible with common electronic document file types including the document types listed at left in the Requirement.
9	Ability to attach external files (i.e. pdf, docx, xlsx, jpg, bmp, tif, etc.) to all workflow items	YES	Archer's Attachment field type allows users to upload one or more files and attach them to a workflow item. The attachment field type accepts any type of file as long as its size doesn't exceed the limitations set for the field (these limitations are configurable). File searching for Word, Excel, PDF, Text and CSV file types is also supported.

#	Washington State Auditor Requirements	Meets Requirements?	Comments
10	Workflow tracking (edit history) including status designations (such as prepared and supervisor reviewed)	YES	Archer's History Log tracks all content inserts, updates and deletions including the date and time, user, and content changes made. Records with a workflow enabled will also provide breadcrumb tracking and status designations.
11	Electronic workpaper management including version control and automated assignment of workpaper identification numbers (audit reference codes)	YES	Robust workpaper management is a core capability of Archer's audit management solutions.
12	Ability to restrict editing or changes to engagement projects or workpapers for retention purposes (i.e. finalization, freezing or archiving procedures)	YES	Engagement projects and workpapers can be locked/finalized/archived after completion for retention purposes.
13	Ability to set engagements and workpapers as confidential (limited or restricted access)	YES	Archer's Access Control functionality enables administrators to allow or prohibit user access by assigning one or more Access Roles to a user. An access role is a collection of application-level and page-level rights that an administrator can create and assign to any number of users and groups to control their privileges (create, read, update and delete) for individual pages within the system.  Additionally, Archer offers a granular approach to access control at the record level, known as Record Permissions. By configuring an application with a Record Permissions field, administrators can allow end users to select the users or groups of users who should have access to the record. Record permissions can also be automatically defined based on attributes of the record, such as the record type. The record will be hidden entirely for all users to whom you do not grant record access through this field. Furthermore, Archer's access control can be used at the field level to determine which fields should be shared with certain users and which fields should be read-only or hidden.
14	Ability to search by keywords, attributes, and/or values	YES	Archer includes global keyword searching capabilities, as well as the ability to search by specific attributes or values.
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	YES	PII and other sensitive data storage requirements are supported by the Archer platform.

#	Washington State Auditor Requirements	Meets Requirements?	Comments
16	Exception and audit issue tracking for follow-up corrective action	YES	Archer's Issues Management capabilities include the ability to generate findings/issues (either automatically or on an ad hoc basis) and track them through to resolution. This includes the ability to generate and track both exceptions and corrective action plans related to the issues.
17	Ability to support real-time digital collaboration through dashboard reports and supervisor reviews (edit comments)	YES	Archer facilitates real-time digital collaboration through dashboard/reports, supervisor/management reviews, and comment functionality within individual records. Dashboards can include heat maps for a visual indication of status with drill down to underlying data.
18	Provide real-time tracking of workflow and project status	YES	All reports, dashboards and notifications in Archer are real-time, providing for up to date tracking of workflows and projects.
19	Ability to add hyperlinks and bookmarks for cross-referencing and efficient navigation	YES	Yes, hyperlinks and other forms of cross-referencing are supported by Archer.
20	Ability to create and maintain templates of our knowledge base which can be imported into the audit documentation software	YES	Archer includes the ability to maintain knowledgebase templates within the Audit Management solutions. Existing templates can be imported into Archer via a flat file import.
21	Administrative capabilities to establish and update user accounts, system policies, and workflow preferences	YES	Any user with the appropriate administrative rights can update user accounts, system policies, and workflow preferences.
22	Administrative rights to specify user access policies and permissions (controlled user access). User permission and access controlled by System Administrator	YES	This functionality is fully supported.
23	Open APIs or other means for integration with other software modules and applications, dashboards and reports	YES	Archer has both REST and SOAP APIs to integrate with existing technologies. The Archer Web Services API supports integration code written in virtually any development environment on any computing platform. The Archer API uses the industry-standard SOAP protocol to give clients programmatic access to features within the Platform, such as searching, user management, and data import and export. The REST API uses the JavaScript Object Notation (JSON) format by default for requests and responses, but also supports XML. After a resource is identified, create and read operations can be performed against the resource using standard HTTP verbs to indicate which action should be used.

#	Washington State Auditor Requirements	Meets Requirements?	Comments
			<p>This open-standards approach allows clients to quickly integrate their RSA Archer environment with existing batch processes, enterprise messaging systems or other third-party systems to leverage existing IT investments.</p> <p>In addition to APIs, Archer also offers a variety of alternative integration methods including Data Feeds (used to integrate with tools that can produce a flat file, email or RSS feed, or that enables a direct query of its database), and Data Gateway (used to open up a “window” into external systems, allowing users to view and interact with the data in Archer without the need to replicate that data across systems).</p>
24	Ability to copy, duplicate, transfer, and generate printable reports for all work product within the software solution	<b>YES</b>	The ability to copy, duplicate, transfer and generate printable reports is fully supported functionality.
25	Offline System Capable, without network connection to cloud or main server, while maintaining central database	<b>YES</b>	Archer is offline capable without the need for a network connection.
26	Supports data backup and recovery. Prefer ability to recover individual audit files without having to roll back the entire database	<b>YES</b>	Data backup and recovery are fully supported, including for individual files.
27	Auto-Sync Capable with conflict identification and resolution features	<b>YES</b>	This functionality is fully supported.
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	<b>YES</b>	The Archer Data Import Manager enables users to create or update one or multiple data records in a single action. The Data Import Manager accepts delimited value data files and can be used for both small and large quantities of data. Records and reports can be exported in a variety of formats; these include Rich Text File, PDF, Excel, Word, CSV, HTML and XML.
29	Ability to customize configurations based on preferred workflow using specific fields and values such as: project names, client names, client types, engagement numbers, engagement types, reporting periods, and report issue dates	<b>YES</b>	Archer is a highly flexible platform that supports configurations to records and workflows including (but not limited to) field-level changes, layout changes, and workflow path changes. Fields can be easily added or modified to align with Washington State’s existing taxonomies and processes without the need for custom code. Archer provides a graphical user interface for workflow configuration.

#	Washington State Auditor Requirements	Meets Requirements?	Comments
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	YES	This functionality is fully supported.
31	Online tutorial and offline manual and help functions	YES	Both online and offline manuals and help functions are available.
32	System Training to cover administrative needs and availability during regular business hours to support product issues	YES	<p>Archer provides Training, Customer Success Program, and Support for customers. Archer Training curriculum is structured by role and is available in various learning modalities.</p> <ul style="list-style-type: none"> <li>• Admin(s)</li> <li>• Power Users</li> <li>• Occasional End-User(s)</li> </ul> <p>Archer Training Catalog includes recommended learning paths for the various types of RSA Archer users. We work with you to develop a training plan that meets your needs and provide the most cost-effective plan. Examples of tailored approaches include:</p> <ul style="list-style-type: none"> <li>• Public enrollment courses</li> <li>• Private classroom (on-site) course</li> <li>• On Demand course options</li> <li>• RSA Archer custom end-user training</li> </ul> <p>We have provided additional information on the Documentation, Training, and Support provided following this table.</p>
33	Expandability and integration support for new technologies (i.e. follows software development best practices and has an active development plan / business plan that will ensure continued compatibility and integration with new technologies)	YES	Archer consistently follows software development best practices and engineers the platform with integration capabilities top of mind. Archer is frequently expanding its base of partners, certified integrations, and integration methods.
34	Vendor offers enterprise level product and/or service	YES	Archer is an enterprise level platform, fully capable of handling an organization of your size.

## Training and Documentation

Crowe’s GAGAS Audit Accelerator training plan supports the goal of a successful implementation by promoting informed users that are adept at using the platform prior to project completion. During the deployment phase, training sessions are identified to target specific end user groups and ensure specific use cases are addressed.

Crowe will create a written Crowe GAGAS Yellow Book Audit Accelerator Administrator Guide for administrators to manage the system. The Administrator Guide will include standard user administration procedures and will include reference information for RSA provided training for consideration for future training needs. Crowe will create a written End User Guide specific to the identified user roles that incorporates agency-specific build requirements captured during the build phase. An End User Guide may consist of the topics found in the below example.

In addition to the information listed in response to requirement 32, Archer includes a Customer Success Program Manager for each customer. This provides a continuous improvement-based loop designed to optimize progress towards your ever-changing target state while continuously creating value to drive your return on investment as measured by key performance indicators. Tasks include:

- Strategic Planning Session
- Coaching
- Data Collection
- Stewardship Meeting

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RSA Archer offers a variety of platform training through methods such as: live in-person courses, online courses, a repository of training documentation, and a community of users to interact. The following are available through RSA University:

### **Administrator Training Path**

A person in an RSA Archer Administrator role is typically responsible for implementing requirements within the RSA Archer Platform. While a full understanding of the Platform features is required, additional knowledge about the solutions in use can also be beneficial.

Through a combination of introductory On-Demand eLearning on GRC and RSA Archer, as well as classroom-based training, your RSA Archer Administrator can develop the necessary knowledge and skills to administer and maintain the RSA Archer platform.

### **Power User Training Path**

An RSA Archer Power User is typically responsible for defining requirements for an RSA Archer build. This user should know what the RSA Archer platform is capable of so that appropriate requirements can be written. Knowledge of the solution area(s) purchased is also appropriate for this user.

### **End User Training Path**

End users of an RSA Archer implementation that includes very little customization will benefit from learning how to navigate the system and how to build reports. They may also benefit from viewing the solution training(s) for the solution(s) within which they will be working.

For a list of recommended courses for each of the above-mentioned learning paths, please visit <https://community.rsa.com/community/training/archer> and use the Role dropdown at the top of the page to filter courses by the desired role

## **Support Services**

The Crowe GAGAS Yellow Book Accelerator and RSA Archer software are offered as an enterprise license and sold on a per use case basis based on the number of employees within an organization. The organization can then grant access to any of their employees they would like to make administrative changes, update records, or submit assessments. There are no additional licensing fees per user.

Crowe manages the system configuration, while RSA is responsible for the source code of the base platform.

We understand that unforeseen complications may arise after go-live and Crowe will be there to help. Crowe provides post go-live support to address issues encountered during and after the system roll out.

Additionally, after go-live support, we offer Crowe's Archer Managed Services. Crowe has designated, trained personnel to operate under your methodology and within your environment. Assignments may include mini projects or ad-hoc tasks. Our Managed Services are separate quoted from the proposal and generally priced under a subscription model with discounts for greater use.

As a software customer, Washington State Auditor will also have access to RSA Customer Support. RSA is committed to delivering high-quality products and support to our customers and partners. In the event that a case needs to be escalated, RSA senior technical staff are ready and available to quickly bring the issue to closure. A manager is assigned to every escalation to oversee the case from a holistic viewpoint. The manager is responsible for evaluating the situation, facilitating the issue at a global level, and acting as an advocate on the customer's behalf.

- Included in this proposal is RSA Archer Enhanced Support which is 24x7x365 software and hardware technical support for Severity 1 and 2 issues by email and phone. Faster service levels are included and to make communication easy, if there are multiple tickets, they are assigned to one point of contact at RSA.

- Personalized Support Options: Includes a Technical Account Manager, Designated Support Engineer, On-site Support Engineer, Advanced API Support, Customer Application Support, and Enhanced Support options.

All support levels include co-operative support escalation process, software updates, and 24x7 access to RSA Link support tools including Knowledge Base, Notifications and Alerts, and Product Documentation. For information regarding RSA Archer Support SLA's, please visit <https://community.rsa.com/docs/DOC-86656>.

### RSA Support Plans and Options

#### **Basic Support – Care Essentials for Self-Support**

This value-based option is ideal for non-mission-critical environments where business-hours remote support meets your needs. With Basic Support, you are in complete control of onsite service execution from installation to software upgrades. RSA Customer Support professionals will help you troubleshoot your problems and provide you with patches and updates. As with all service levels, you can report problems, troubleshoot and get online help around the clock through RSA Link.

- Patch, maintenance, and major releases of software at NO ADDITIONAL CHARGE
- Technical telephone support from 8 a.m. to 5 p.m. customer local time, Monday through Friday (except RSA-designated company holidays)

*Note: Basic Support is not available for all RSA products.*

#### **Enhanced Support- Round the Clock, Rapid Resolution**

Enhanced Support delivers 24x7 around-the-clock remote support and access to RSA's global network of support centers for troubleshooting. Leverage RSA's Secure Remote Support to ensure your issues are proactively managed in their Global Support Centers.

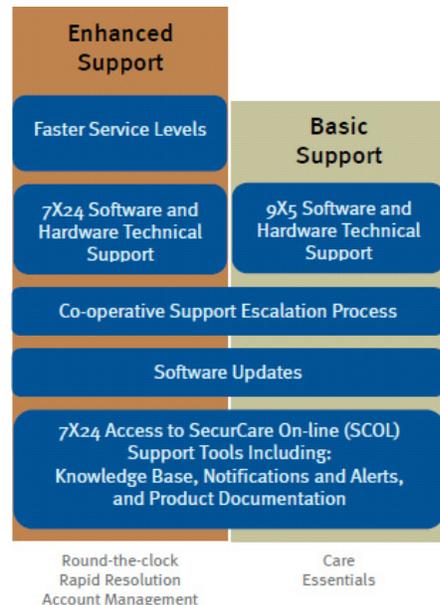
- All the above, PLUS: Technical telephone support 24x7x365 for Severity 1 and Severity 2 cases

#### **RSA Personalized Support Options**

RSA Personalized Support Options are designed to complement RSA service contracts with access to technical experts any time, day, or night, and provide customers with a strategic personalized support relationship. RSA Personalized Support Options include:

- Technical Account Manager (TAM)
- Designated Support Engineer (DSE)
- Custom Application Support (CAS)

For further information on RSA Support Plans and Options please click on the following link: <https://community.rsa.com/docs/DOC-40401>



We value being:

## Predictable

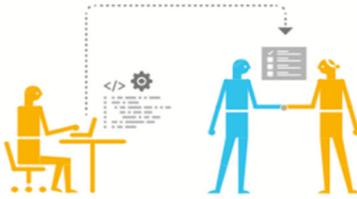


We value a level of predictability that is uncommon... with predictable process, predictable timeline, and predictable outcomes.

✓ Play this card when we need to be more predictable.

We value being:

## Accountable



We value a level of accountability that is uncommon... where we fully own both the process and the outcomes. There is no passing the buck.

✓ Play this card when we need to be more accountable.

We value being:

## Collaborative



We value a level of collaboration that is uncommon... where the client is continually involved and doing meaningful work through the implementation.

✓ Play this card when we need to be more collaborative.

We value being:

## Transparent



We value a level of transparency that is uncommon... where everyone knows what's happening, what's not happening, who's responsible, and if we're on track for success.

✓ Play this card when we need to be more transparent.

## Appendix A: Pricing

The RSA Archer platform has two deployment models. It can be deployed internally (i.e. on-premise) at an organization supported by your internal staffing, or it can be hosted by RSA through a Software as a Service (SaaS) model. The functionality of the base system, as described in this response, is the same regardless of which infrastructure hosting model is chosen.

In order to provide a more accurate response and considering the extended timeline for implementation we would need additional information. However, we have provided an estimate based upon the limited information provided and the lead time estimated for the implementation. At this time, we would estimate that for an organization the size of the Office of the Washington State Auditor, the total for the licensing would be approximately \$200,000. The recommended SaaS implementation will provide significant savings on your current hosting costs (hardware, storage, personnel, etc.). We have not provided an implementation cost estimate as we would need additional information (e.g. division of labor between Crowe and SAO) before we could provide an estimate.

## Appendix B: Qualifications & Experience of the Firm

### Firm Information

Founded in 1942 as Crowe Chizek, Crowe provides a wide variety of high-quality services, including audit and accounting, tax, technology, and advisory services. The firm has been providing auditing services for more than 75 years and has more than 4,000 personnel. Headquartered in Chicago, Illinois, Crowe is a global accounting, consulting, and technology firm with U.S. locations across the nation.

### Organizational Structure

Crowe is led by Mr. Jim Powers, chief executive officer. In his role as CEO, Mr. Powers heads the Board of Directors and acts as the communication link between the Board of Directors and the management team, or those who manage the firm's business units (BUs).

#### Board of Directors

Crowe is governed by a seven-person Board of Directors elected by the firm's partners. The Board is responsible for fostering policy development, initiating long-range planning, and overseeing functional and administrative unit planning, as well as approving operating plans. The Board of Directors is also responsible for appointing the firm's Chief Executive Officer. Since Crowe is primarily managed along functional and industry lines rather than geographical locations, the Chief Executive Officer in turn appoints the partners in charge of each functional business unit and Crowe's various industry focused units.

The Crowe integrated approach combines a variety of disciplines to improve the performance of clients' businesses while building value and gaining the trust and confidence of their shareholders, investors, employees and other stakeholders.

The firm's core services include:

- Audit
- Advisory Services
- Consulting
- Tax

The business units are complemented by the firm's industry verticals. Crowe's industry verticals are the primary go-to-market strategy for the firm, relying on teams of individuals contained within the business units to drive service delivery and growth within Crowe's specified industries.

At Crowe, key industry focus ensures that personnel know the trends and issues specific to clients' businesses. By aligning specialists along industry lines, the firm can offer insight, depth and breadth of understanding that provides maximum opportunity for client success in achieving business goals and positioning their organizations for a strong competitive advantage.



Over the past 40 years Crowe performance services professionals have worked with hundreds of public sector clients – on thousands of engagements – to streamline systems and processes, optimize revenue, and meet stringent reporting and compliance requirements. By tapping into our expertise, governments can increase transparency and accountability while also raising service levels for constituents.

Our team of governmental specialists, some of whom are former elected or appointed officials, understands the challenges of improving performance in government agencies – especially during times of limited revenues, greater public demand, and increasingly complex regulations. Their combination of thought leadership, deep process expertise, and innovative technologies helps clients achieve measurable results while experiencing responsive service and support.

## Our Values

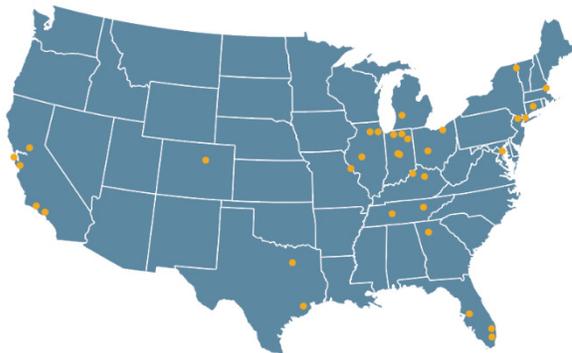
Our vision is built on deep specialization and a focus on our clients, our people, and the hallmarks of our profession: integrity, objectivity, and independence. With an equal sharing model, we invest in and engage the most effective resources available and go deeper to find valuable insights and opportunities.

Starting with our core purpose of “Building Value with Values®,” our values code brings together the guiding principles that all members of the firm, regardless of title or position, are expected to use in their interactions with colleagues, with clients, and in the communities and profession in which we work. It explains to our people the standards and expectations of ethical conduct that Crowe requires when doing business, wherever that might be.

This core purpose and our core values – care, share, invest, and grow – guide us in exercising professional skepticism, objectivity, and being free of conflicts of interest. They guide our people in acting with the utmost integrity and professionalism in each interaction and provide a solid foundation for the firm.

## Office Locations

Crowe serves clients coast to coast from the following office locations:



- California | Los Angeles (2), Orange County, Sacramento, San Francisco, San Jose
- Colorado | Denver
- Connecticut | Hartford
- District of Columbia | Washington D.C.
- Florida | Fort Lauderdale, Miami, Tampa
- Georgia | Atlanta
- Illinois | Chicago, Oak Brook, Springfield
- Indiana | Elkhart, Fort Wayne, Indianapolis (2), South Bend
- Kentucky | Lexington, Louisville
- Massachusetts | Boston
- Michigan | Grand Rapids
- Missouri | St. Louis
- New Jersey | Livingston
- New York | New York
- Ohio | Cleveland, Columbus
- Tennessee | Knoxville, Nashville
- Texas | Dallas, Houston
- Vermont | Burlington

## National Government Practice

Crowe has diverse, in-depth governmental experience that delivers insight and a clear understanding of the challenges and solutions of public sector agencies. Crowe has been serving the needs of government organizations for **more than 50 years**. We work with many different types of government organizations, including municipalities, counties, public transportation organizations, special service districts, school districts, library districts, utilities, State agencies, and quasi-governmental entities.

**We serve hundreds of state and local governments nationwide and work on thousands of engagements.** By tapping into our expertise, governments can increase transparency and accountability while also raising service levels for constituents.

Today's government leaders are charged with delivering superior service during declining revenues and funding, greater public demand, and increasingly complex regulations. At Crowe, we strive to help governments better serve their constituents by providing solutions that **improve performance, optimize revenue, and manage risk.**

Crowe's innovative solutions help address the financial and operational issues most critical to governments in challenging economic times. Our extensive scope of competencies, including business process, technology, finance, accounting, fraud investigation, risk consulting, economic development, and performance, allows us to deliver effective, cost-efficient services.

### Experience In Providing The Services

We firmly believe Crowe and our GRC Technology practice offers a unique value proposition to you and the following are some of the reasons why:

- A dedicated and deeply experienced RSA Archer practice with associates certified by RSA Archer
- Recipient of the 2018 and 2020 RSA Archer North American Partner of the Year Award
- Achievement of a greater than 90% RSA Archer client reengagement rate
- Holistic knowledge of RSA Archer, including configuration, integration, and hosting infrastructure
- Innovative RSA Archer solutions provider, including proprietary RSA Archer products for the Public Sector:
  - OMB A-123 for ERM and Internal Control
  - **Government Auditing Standards (Yellow Book)**
  - Grants Management
  - Crowe Integrated Cybersecurity Risk and Control Framework
- 100% of our team is RSA Archer certified or has completed the RSA Archer certification curriculum
- The majority of our team has implemented Archer either working directly for RSA or as an RSA customer across a variety of industries
- 1,500+ Archer projects completed
- 15 Archer industry awards and winners

Crowe's RSA Archer GRC team members have an average for 10 years of experience. We actively recruit new talent from colleges annually, while also sourcing experienced hires. Our hiring programs support Crowe's diversity and inclusion culture. All our professionals earn at least 40 hours of Continuing Professional Education (CPE) per year. In addition, all Managers and above are required to hold at least one relevant professional certification (i.e. Archer Associate, Archer Professional, CISSP, CISA, etc.).

We frequently present at Archer User Group meetings and RSA Charge to share our thought leadership on innovative deployments. We also serve on several RSA Archer working groups. Our team brings a unique combination of technology, risk and compliance professionals to deliver results quickly, affordably and in conformance with the latest regulatory standards. We don't just support the technology, we understand the risk and compliance processes the technology supports.

### **Why Crowe?**

- We know governmental auditing
- We know the state and local industry
- We know GRC technology

### **Government Audit Services**

A trusted CPA firm can provide peace of mind and identify opportunities to improve accounting and operational performance. We have an unmatched depth of governmental audit knowledge and the functional expertise to deliver superior audits. We help governmental agencies succeed by combining our deep industry experience, innovation, and knowledge with a comprehensive set of technical business competencies.

Our specialists are trained to review an organization's systems and controls to provide recommendations to help the organization meet reporting and disclosure requirements. Crowe audit solutions include:

- Financial Statement Audits
- Single Audits/ Uniform Guidance
- Performance Audits
- Regulatory Compliance Audits
- Government Auditing Standards
- Examinations

Our audit professionals are committed to maintaining our reputation for technical excellence, team performance, efficiency, and exceptional client service. By aligning our specialists along industry lines, we add depth and breadth of knowledge to our audit solutions. This industry specialization gives us a better view to understand your business and the unique challenges you face. As a result, you benefit from solutions delivered by people with a thorough understanding of your marketplace.

Our cross-functional teams – including specialists in accounting, auditing, finance, risk, and internal controls – have a deep understanding of the risks and reporting complexities in the public sector. We understand the challenges of financial reporting for governments and use a cost-effective, industry-focused, and technology-enabled audit method to improve efficiency in delivering or services.

At Crowe, we use, build, and evaluate emerging technologies to benefit our clients, our firm, and our people, including advanced technologies that can further enhance quality and improve our processes. We work every day to provide the highest level of service to our clients and meet the needs of stakeholders. Our team will ensure to meet the requirements outlined in the RFP and comply with the necessary guidelines.

Our understanding of updating GAGAS related audit programs and federal regulatory guidance was gained through wide-ranging experience working with a variety of governments. This experience includes operating as an FMO contractor for the U.S. Department of Transportation – Federal Transit Administration. We have also prepared a number of manuals providing guidance related to understanding audit and grants management requirements, best practices related to audit report reviews, and “How To” manuals designed for understanding requirements.

Crowe's experience also includes our work with the Association of School Business Officials, the Government Finance Officers Association, GOMB, and DHS, developing checklists and updating those checklists as standards changed and reviewing audit reports.

We have a complete build out in CARS for the CIGIE checklist and the GFOA checklist and we utilize those checklists to review financial statement audits and provide documented support and recommendations related to those reviews. We have also prepared financial statement checklists designed to meet the individual needs of individual agencies responsible for preparing and reviewing departmental financial statements.

## Qualifications & Experience of Key Personnel

Our team of RSA Archer specialists have many years of experience executing large projects running over 12 months in duration to shorter projects consisting of a few months. Our clients' project stakeholders have ranged from less than 10 team members to a global user base of thousands of users. Within the past year, we had two particular financial service organizations who needed to transition from an older, Lotus Notes Domino based Internal Audit system and selected the Crowe Audit Accelerator. Crowe lead each of those organizations by designing, configuring the system and training the Internal Audit department upon rollout. We also are leaders in the other modules of RSA Archer such as Third-Party Risk Management, Business Continuity Planning, Enterprise Risk Management, etc. Our full-time team of GRC consultants are 100% focused on delivering a RSA Archer projects to our clients.

At the core of Crowe's commitment to providing the highest quality service is the identification of appropriate key personnel to service each engagement. As a large professional services firm, we have many individuals with the mix of knowledge and skills, resulting in a successful project for SAO. Below is an overview of our project team organization. The Proposed Team members are representative and the final team will be identified upon project award. All of our work is performed by full-time Crowe resources.

In addition to Crowe's history and reputation for quality., RSA Archer is a leader in integrated risk management software solutions. RSA Archer is used by over 20 states in the US, some which include the following: Texas, Florida, South Carolina, Pennsylvania, Utah, Indiana, New York, Kentucky, etc. The United States Federal government is also a very large RSA Archer user.

The RSA Archer customer base includes the following:

- 10 of the top 10 U.S. banking institutions
- 5 of the Fortune 10 companies
- 50 of the Forbes 100 companies
- 7 of the 10 largest U.S. retailers
- 350+ worldwide financial services customers
- 100+ leading insurance providers
- 175+ technology companies
- 150+ government agencies
- 20 + State government agencies