# OFFICE OF THE WASHINGTON STATE AUDITOR

## REQUEST FOR INFORMATION

## AUDIT DOCUMENTATION AND MANAGEMENT SOFTWARE SOLUTION

## K645-RFI-2011

| Request for Information Number: | K645-RFI-2011 | Date Issued: | *11/9/20* |
|---|---|---|---|

| Responses are due by 5:00 pm local time on: | *12/4/20* |
|---|---|

*Submit questions via email by 11/13/20 at 5pm*
*SAO will respond to questions via WEBS by 11/18/20*

| Please have your response submitted via email to: | *contractmanager@sao.wa.gov* |
|---|---|

**THIS IS A REQUEST FOR INFORMATION ("RFI") ONLY.**

This RFI is issued solely for information and planning purposes. It does not constitute a solicitation (Request for Proposal) or a promise to issue a solicitation in the future. This RFI does not commit the Office of the Washington State Auditor (SAO) to contract for any service or product, and the SAO is not seeking proposals at this time. All costs associated with responding to this RFI will be solely at the responding party's expense, and the SAO will not pay for any information or administrative costs incurred in response to this RFI.

Any information received in response to this RFI that is marked PROPRIETARY will be safeguarded and handled in accordance with the applicable regulations. Proprietary information or trade secrets should be clearly identified as such. SAO shall not be liable for or suffer any consequential damages for any proprietary information not properly identified.

SAO will not be obligated to pursue any particular acquisition alternative as a result of this RFI. Responses to the RFI will not be returned. Not responding to this RFI does not preclude participation in any future solicitation, if one is issued.

**I. REQUEST FOR SPECIFICATIONS**

1. **OVERVIEW**

The Office of the Washington State Auditor (SAO) is soliciting information from vendors for options to replace or upgrade their existing audit documentation and management software solution. The information submitted should be for software that securely supports work processes and central data collection for multiple concurrent users. The software should be expandable with little impact to the users. The software should be fully compatible and integrated with MS Windows and all MS Office Products and should have the ability to achieve the following functions: Electronic Workpaper Management, User Authentication, Edit / Sign-off / Review tracking, Edit History, Data Collection / Analysis / Reporting, and supports both online (connected) and offline (no internet) environments.

2. **PROJECT INFORMATION**

The Office of the Washington State Auditor (SAO) performs audits of state agencies and local governments as set forth in the State's Constitution and laws. SAO conducts a wide variety of audit work as described in our 2019 annual report. All our audit work is performed using our current audit documentation software. For example:

- Over 2,700 audits of different types are performed annually on approximately 1,900 local governments and 200 state agencies of all types. Audits are organized into approximately 1,700 audit files and result in over 5,000 recommendations annually.

- Audit work includes financial statement audits, single audits, performance audits, compliance audits, investigations and attestation engagements in accordance with *Generally Accepted Government Auditing Standards* and/or state law. Most audits are regularly scheduled on a 1-4 year cycle, but certain types of audits may be done as needed. Most audits are conducted on a single government entity, however some audits are conducted on multiple governments or a particular topic.

- Audit work includes large audits of multi-billion dollar entities such as the State of Washington or City of Seattle, as well as audits of the smallest governments such as cemetery districts spending only a few thousand dollars.

- Auditors use a knowledge base of 1,600+ template steps and workpapers when developing documentation.

- Audits are performed by a staff of approximately 350 audit staff located in 15 offices throughout Washington. Work is performed in SAO offices, on-site at government locations throughout the state and teleworking. Audit work and review is often done remotely. Currently, audit staff primarily work with lap-tops connected to a second screen.

Information submitted should detail how the software meets the following:

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

2. Customizable User Interface, perspectives (user views) and terminology that allow the workflow to be customized

3. In addition to laptops and desktop computers, ability to use mobile devices and tablets for access

4. All associated server environment data (operating system, data base brand and architecture, required framework and/or stack)

5. Ability to operate on current MS Windows 10 OS and future patch releases and updates

6. Compatible and fully integrated with latest versions of MS Office Products, including Office 365 (cloud and desktop clients) and Office 2016

7. Compatible with latest versions of common web browsers (Google Chrome and Microsoft Edge)

8. Compatible with common electronic document file types and associated 3$^{rd}$ 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

9. Ability to attach external files (i.e. pdf, docx, xlsx, jpg, bmp, tif, etc.) to all work flow items

10. Workflow tracking (edit history) including status designations (such as prepared and supervisor reviewed)

11. Electronic workpaper management including version control and automated assignment of workpaper identification numbers (audit reference codes)

12. Ability to restrict editing or changes to engagement projects or workpapers for retention purposes (i.e. finalization, freezing or archiving procedures)

13. Ability to set engagements and workpapers as confidential (limited or restricted access)

14. Ability to search by keywords, attributes, and/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

16. Exception and audit issue tracking for follow-up corrective action

17. Ability to support real-time digital collaboration through dashboard reports and supervisor reviews (edit comments)

18. Provide real-time tracking of work flow and project status

19. Ability to add hyperlinks and bookmarks for cross-referencing and efficient navigation

20. Ability to create and maintain templates of our knowledge base which can be imported into the audit documentation software

21. Administrative capabilities to establish and update user accounts, system polices, and workflow preferences

22. Administrative rights to specify user access policies and permissions (controlled user access). User permission and access controlled by System Administrator

23. Open APIs or other means for integration with other software modules and applications, dashboards and reports

24. Ability to copy, duplicate, transfer, and generate printable reports for all work product within the software solution

25. Offline System Capable, without network connection to cloud or main server, while maintaining central database

26. Supports data backup and recovery. Prefer ability to recover individual audit files without having to roll back the entire database

27. Auto-Sync Capable with conflict identification and resolution features

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

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

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.

31. Online tutorial and offline manual and help functions

32. System Training to cover administrative needs and availability during regular business hours to support product issues

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)

34. Vendor offers enterprise level product and/or service

Vendors are encouraged to describe to what extent they can meet or exceed these requirements, and well as the technical hardware and software system requirements for operating systems, web servers, and database servers.

Upon request, vendors should be able to provide a product presentation to demonstrate functions, features, and how their software can meet or exceed these requirements.

Vendors are encouraged to provide sample per-user and tiered pricing for annual operating and maintenance fees, system upgrades, licensing fees, technical support or training, and equipment offered in their response.

### 3. RESPONSE PROCESS

After a review of the Request for Information (RFI) responses and assessment of the marketplace, SAO may or may not choose to issue a Request for Proposal (RFP) for an audit documentation and management software solution.

Participation in the RFI process is not a requirement for any subsequent competitive procurement, although the results of this RFI may be used to build and refine an RFP.

SAO reserves the right to refrain from issuing an RFP or any other formal solicitation process for this product. This RFI is not a formal solicitation and no contract will be awarded as a result.

## II. VENDOR's RESPONSE

Firms/individuals should submit an electronic response with a subject line "RFI Response – Audit Documentation and Management Solution from ["Your Entity or Individual Name"] and attach your response in electronic format and email to:

contractmanager@sao.wa.gov

**Responses must be in an electronic format and must be received by 5:00 P.M., December 4, 2020.**

Questions about the program or the Office of the Washington State Auditor intent should be directed to:
Charleen Patten
P.O. Box 40031
Olympia, WA 98504-0031
(564) 999-0941
contractmanager@sao.wa.gov