



The following documentation is an electronically-submitted vendor response to an advertised solicitation from the *West Virginia Purchasing Bulletin* within the Vendor Self-Service portal at [wvOASIS.gov](http://wvOASIS.gov). As part of the State of West Virginia's procurement process, and to maintain the transparency of the bid-opening process, this documentation submitted online is publicly posted by the West Virginia Purchasing Division at [WVPurchasing.gov](http://WVPurchasing.gov) with any other vendor responses to this solicitation submitted to the Purchasing Division in hard copy format.

Header @ 7

List View

- General Information**
- Contact
- Default Values
- Discount
- Document Information
- Clarification Request

Procurement Folder: 1305710  
 Procurement Type: Central Master Agreement  
 Vendor ID:    
 Legal Name: AUDITBOARD INC  
 Alias/DBA:  
 Total Bid: \$0.00  
 Response Date:    
 Response Time:   
 Responded By User ID:    
 First Name:   
 Last Name:   
 Email:   
 Phone:

SO Doc Code: CRFQ  
 SO Dept: 0803  
 SO Doc ID: DOT2400000036  
 Published Date: 11/7/23  
 Close Date: 11/9/23  
 Close Time: 13:30  
 Status: Closed  
 Solicitation Description:   
 Total of Header Attachments: 7  
 Total of All Attachments: 7



Department of Administration  
 Purchasing Division  
 2019 Washington Street East  
 Post Office Box 50130  
 Charleston, WV 25305-0130

**State of West Virginia  
 Solicitation Response**

**Proc Folder:** 1305710  
**Solicitation Description:** Auditing SaaS RFQ (81240046)  
**Proc Type:** Central Master Agreement

| Solicitation Closes | Solicitation Response        | Version |
|---------------------|------------------------------|---------|
| 2023-11-09 13:30    | SR 0803 ESR11082300000002285 | 1       |

**VENDOR**  
 VS0000041967  
 AUDITBOARD INC

**Solicitation Number:** CRFQ 0803 DOT2400000036  
**Total Bid:** 0  
**Response Date:** 2023-11-09  
**Response Time:** 10:11:20

**Comments:** See attachments for commercials. Delivery is approximate based on 10-12 week implementation. We do not offer payment discount percentages but volume or multi-year agreement discounts can be discussed.

**FOR INFORMATION CONTACT THE BUYER**  
 John W Estep  
 304-558-2566  
 john.w.estep@wv.gov

**Vendor Signature X** **FEIN#** **DATE**

All offers subject to all terms and conditions contained in this solicitation

| Line | Comm Ln Desc                      | Qty     | Unit Issue | Unit Price    | Ln Total Or Contract Amount |
|------|-----------------------------------|---------|------------|---------------|-----------------------------|
| 1    | Cloud-based software as a service | 0.00000 | EA         | 214000.000000 | 0.00                        |

| Comm Code | Manufacturer | Specification | Model # |
|-----------|--------------|---------------|---------|
| 81162000  |              |               |         |

**Commodity Line Comments:** Please see all attachments for technical response and commercial terms. We do not offer discounts for early payment. However, if AuditBoard is awarded the contract, we can discuss volume discounts or multi-year commitment discounts depending on timing, number of licenses purchased, etc. The pricing submitted above is based on Year 1 subscription + Implementation fee for 25 users of the system. Delivery days can range from 8-12 weeks depending on level of effort and complexity and the readiness of the WVDOT team to assist with design sessions.

We understand that per your general terms and conditions, by submitting documentation through wvOasis we have reviewed this Solicitation/Contract in its entirety and will comply with the requirements unless otherwise stated.

**Extended Description:**

Auditing SaaS RFQ (81240046)



Department of Administration  
Purchasing Division  
2019 Washington Street East  
Post Office Box 50130  
Charleston, WV 25305-0130

State of West Virginia  
Centralized Request for Quote  
Info Technology

|  |                            |                                 |                |
|--|----------------------------|---------------------------------|----------------|
| <b>Proc Folder:</b> 1305710                          |                            | <b>Reason for Modification:</b> |                |
| <b>Doc Description:</b> Auditing SaaS RFQ (81240046) |                            | Addendum No. 2                  |                |
| <b>Proc Type:</b> Central Master Agreement           |                            |                                 |                |
| <b>Date Issued</b>                                   | <b>Solicitation Closes</b> | <b>Solicitation No</b>          | <b>Version</b> |
| 2023-11-06   | 2023-11-09 13:30           | CRFQ 0803 DOT2400000036         | 3              |

**BID RECEIVING LOCATION**

BID CLERK  
DEPARTMENT OF ADMINISTRATION  
PURCHASING DIVISION  
2019 WASHINGTON ST E  
CHARLESTON WV 25305  
US

**VENDOR**

**Vendor Customer Code:**

**Vendor Name :** AuditBoard, Inc.

**Address :** 12900 Park Plaza Dr., Suite 200 Cerritos, CA 90703-9329

**Street :** 12900 Park Plaza Drive Suite 200

**City :** Cerritos

**State :** CA

**Country :** USA

**Zip :** 90703-9329

**Principal Contact :** Sean Mergenthal

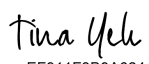
**Vendor Contact Phone:** 856-381-7892

**Extension:**

**FOR INFORMATION CONTACT THE BUYER**

John W Estep  
304-558-2566  
john.w.estep@wv.gov

Vendor  
Signature X

DocuSigned by:  
  
EF911F3B9A6241C...

**FEIN#** 47-1299245

**DATE** 11/8/2023

All offers subject to all terms and conditions contained in this solicitation

**ADDITIONAL INFORMATION**

Addendum No. 2

To move the bid opening date from 11/07/2023 to 11/09/2023. The bid opening time remains at 1:30 pm.

See attached pages.

**INVOICE TO****SHIP TO**DEPT. OF TRANSPORTATION  
1900 KANAWHA BLVD E,  
BLD. 5 RM-720DEPT. OF TRANSPORTATION  
1900 KANAWHA BLVD E,  
BLD. 5 RM-720CHARLESTON WV  
USCHARLESTON WV  
US

| Line | Comm Ln Desc                      | Qty     | Unit Issue | Unit Price | Total Price |
|------|-----------------------------------|---------|------------|------------|-------------|
| 1    | Cloud-based software as a service | 0.00000 | EA         |            |             |

**Comm Code****Manufacturer****Specification****Model #**

81162000

**Extended Description:**

Auditing SaaS RFQ (81240046)

**SCHEDULE OF EVENTS**

| <u>Line</u> | <u>Event</u>                       | <u>Event Date</u> |
|-------------|------------------------------------|-------------------|
| 1           | Technical questions due by 2:00 pm | 2023-10-25        |

# SOLICITATION NUMBER: DOT2400000036

## Addendum Number: 2

---

The purpose of this addendum is to modify the solicitation identified as (“Solicitation”) to reflect the change(s) identified and described below.

### Applicable Addendum Category:

- Modify bid opening date and time
- Modify specifications of product or service being sought
- Attachment of vendor questions and responses
- Attachment of pre-bid sign-in sheet
- Correction of error
- Other

### Description of Modification to Solicitation:

- 1. To move the bid opening date from 11/07/2023 to 11/09/2023. The bid opening time remains at 1:30 pm.**

**Additional Documentation:** Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

### Terms and Conditions:

1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.
2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

**ADDENDUM ACKNOWLEDGEMENT FORM**  
**SOLICITATION NO.: DOT2400000036**

**Instructions:** Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

**Acknowledgment:** I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

**Addendum Numbers Received:**

(Check the box next to each addendum received)

- |  |  |
|--|--|
| <input type="checkbox"/> Addendum No. 1            | <input type="checkbox"/> Addendum No. 6  |
| <input checked="" type="checkbox"/> Addendum No. 2 | <input type="checkbox"/> Addendum No. 7  |
| <input type="checkbox"/> Addendum No. 3            | <input type="checkbox"/> Addendum No. 8  |
| <input type="checkbox"/> Addendum No. 4            | <input type="checkbox"/> Addendum No. 9  |
| <input type="checkbox"/> Addendum No. 5            | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

AuditBoard, Inc.

\_\_\_\_\_  
Company

DocuSigned by:  
*Tina Yeh*  
EF911F3B9A6841C

\_\_\_\_\_  
Authorized Signature

11/8/2023

\_\_\_\_\_  
Date

NOTE: This addendum acknowledgment should be submitted with the bid to expedite document processing.





Department of Administration  
Purchasing Division  
2019 Washington Street East  
Post Office Box 50130  
Charleston, WV 25305-0130

State of West Virginia  
Centralized Request for Quote  
Info Technology

|  |                            |                                 |                |
|--|----------------------------|---------------------------------|----------------|
| <b>Proc Folder:</b> 1305710                          |                            | <b>Reason for Modification:</b> |                |
| <b>Doc Description:</b> Auditing SaaS RFQ (81240046) |                            | Addendum No. 3                  |                |
| <b>Proc Type:</b> Central Master Agreement           |                            |                                 |                |
| <b>Date Issued</b>                                   | <b>Solicitation Closes</b> | <b>Solicitation No</b>          | <b>Version</b> |
| 2023-11-07   | 2023-11-09 13:30           | CRFQ 0803 DOT2400000036         | 4              |

#### BID RECEIVING LOCATION

BID CLERK  
DEPARTMENT OF ADMINISTRATION  
PURCHASING DIVISION  
2019 WASHINGTON ST E  
CHARLESTON WV 25305  
US

#### VENDOR

**Vendor Customer Code:**

**Vendor Name :** AuditBoard, Inc.

**Address :** 12900 Park Plaza Dr., Suite 200 Cerritos, CA 90703-9329

**Street :** 12900 Park Plaza Drive Suite 200

**City :** Cerritos

**State :** CA

**Country :** USA

**Zip :** 90703-9329

**Principal Contact :** Sean Mergenthal

**Vendor Contact Phone:** 856-381-7892

**Extension:**

#### FOR INFORMATION CONTACT THE BUYER

John W Estep  
304-558-2566  
john.w.estep@wv.gov

Vendor  
Signature X

DocuSigned by:

*Tina Yeh*

EF911F9B9A6241C...

**FEIN#** 47-1299245

**DATE** 11/8/2023

All offers subject to all terms and conditions contained in this solicitation

**ADDITIONAL INFORMATION**

Addendum No. 3

Response to vendor question attached. See attached pages.

The bid opening remains on 11/9/2023 at 1:30 pm.

No other changes.

**INVOICE TO****SHIP TO**DEPT. OF TRANSPORTATION  
1900 KANAWHA BLVD E,  
BLD. 5 RM-720DEPT. OF TRANSPORTATION  
1900 KANAWHA BLVD E,  
BLD. 5 RM-720CHARLESTON WV  
USCHARLESTON WV  
US

| Line | Comm Ln Desc                      | Qty     | Unit Issue | Unit Price | Total Price |
|------|-----------------------------------|---------|------------|------------|-------------|
| 1    | Cloud-based software as a service | 0.00000 | EA         |            |             |

**Comm Code****Manufacturer****Specification****Model #**

81162000

**Extended Description:**

Auditing SaaS RFQ (81240046)

**SCHEDULE OF EVENTS**

| <u>Line</u> | <u>Event</u>                       | <u>Event Date</u> |
|-------------|------------------------------------|-------------------|
| 1           | Technical questions due by 2:00 pm | 2023-10-25        |

# SOLICITATION NUMBER: DOT2400000036

## Addendum Number: 3

---

The purpose of this addendum is to modify the solicitation identified as (“Solicitation”) to reflect the change(s) identified and described below.

### Applicable Addendum Category:

- Modify bid opening date and time
- Modify specifications of product or service being sought
- Attachment of vendor questions and responses
- Attachment of pre-bid sign-in sheet
- Correction of error
- Other

### Description of Modification to Solicitation:

- 1. To provide responses to vendor questions. See attached pages. The bid opening remains 11/09/2023 at 1:30 pm.**

**Additional Documentation:** Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

### Terms and Conditions:

1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.
2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

# ATTACHMENT A

## ADDENDUM NO. 3

### CRFQ DOT24\*36

#### Questions:

Q1: Normally it is permissible to pay for Software upfront vs. in arrears (Point 14). However, should the State cancel the contract, I would think the State has provisions in place to be credited/refunded upon cancellation. I have not had any experience with a cancelled contract - is there State Code or SAO guidelines on how this is handled?

A1: Review item numbers 14 and 19 in the State's Terms and Conditions to address the vendor's concerns. Item number 14 indicates that the State is permitted to for software maintenance, licenses, or subscriptions in advance. Item number 19 indicates a thirty-day written notice would be provided in advance for cancellation.

#### Other Information:

1. The bid opening remains on 11/9/2023 at 1:30 pm.

**ADDENDUM ACKNOWLEDGEMENT FORM**  
**SOLICITATION NO.: DOT2400000036**

**Instructions:** Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

**Acknowledgment:** I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

**Addendum Numbers Received:**

(Check the box next to each addendum received)

- |  |  |
|--|--|
| <input type="checkbox"/> Addendum No. 1            | <input type="checkbox"/> Addendum No. 6  |
| <input type="checkbox"/> Addendum No. 2            | <input type="checkbox"/> Addendum No. 7  |
| <input checked="" type="checkbox"/> Addendum No. 3 | <input type="checkbox"/> Addendum No. 8  |
| <input type="checkbox"/> Addendum No. 4            | <input type="checkbox"/> Addendum No. 9  |
| <input type="checkbox"/> Addendum No. 5            | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

AuditBoard, Inc.

\_\_\_\_\_  
Company

DocuSigned by:

*Tina Yeh*

EF911F3B9A6241C

\_\_\_\_\_  
Authorized Signature

11/8/2023

\_\_\_\_\_  
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.

**Certificate Of Completion**

|   |                                |
|---|--------------------------------|
| Envelope Id: F29EFA906D064CA8945B87AF11A31C45   | Status: Completed              |
| Subject: Complete with DocuSign: WVDOT_AuditBoard_Addendum No 2.pdf, WVDOT_AuditBoard_Addendum No 3.pdf |                                |
| Source Envelope:  |                                |
| Document Pages: 9   | Signatures: 4                  |
| Certificate Pages: 5  | Initials: 0                    |
| AutoNav: Enabled  | Envelope Originator:           |
| Enveloped Stamping: Enabled   | Zennia Sotelo                  |
| Time Zone: (UTC-08:00) Pacific Time (US & Canada)   | 12900 Park Plaza Drive ste 200 |
|   | Cerritos, CA 90703             |
|   | zsotelo@auditboard.com         |
|   | IP Address: 75.175.144.171     |

**Record Tracking**

|                      |                        |                    |
|----------------------|------------------------|--------------------|
| Status: Original     | Holder: Zennia Sotelo  | Location: DocuSign |
| 11/8/2023 2:10:39 PM | zsotelo@auditboard.com |                    |

**Signer Events**

Tina Yeh  
 tyeh@auditboard.com  
 SVP, Finance and Operations  
 AuditBoard, Inc.  
 Security Level: Email, Account Authentication (None)

**Signature**

DocuSigned by:  
  
 EF911F3B9A6241C...  
 Signature Adoption: Pre-selected Style  
 Using IP Address: 76.82.160.39

**Timestamp**

Sent: 11/8/2023 2:16:09 PM  
 Viewed: 11/8/2023 9:55:59 PM  
 Signed: 11/8/2023 9:56:09 PM

**Electronic Record and Signature Disclosure:**  
 Accepted: 9/18/2020 8:29:33 AM  
 ID: f149eb11-f7a1-4ec7-b0df-0146f8f8b45a

**In Person Signer Events**

**Signature**

**Timestamp**

**Editor Delivery Events**

**Status**

**Timestamp**

**Agent Delivery Events**

**Status**

**Timestamp**

**Intermediary Delivery Events**

**Status**

**Timestamp**

**Certified Delivery Events**

**Status**

**Timestamp**

**Carbon Copy Events**

**Status**

**Timestamp**

Rosa Em  
 rem@auditboard.com  
 Security Level: Email, Account Authentication (None)

**COPIED**

Sent: 11/8/2023 2:16:08 PM  
 Viewed: 11/8/2023 3:09:17 PM

**Electronic Record and Signature Disclosure:**  
 Not Offered via DocuSign

AB Legal  
 legal@auditboard.com  
 Commercial Counsel  
 Security Level: Email, Account Authentication (None)

**COPIED**

Sent: 11/8/2023 9:56:10 PM

**Electronic Record and Signature Disclosure:**  
 Accepted: 9/23/2020 6:29:28 PM  
 ID: e054cb61-ff46-425e-b0ba-c301358cc0f5

**Witness Events**

**Signature**

**Timestamp**

**Notary Events**

**Signature**

**Timestamp**

| <b>Envelope Summary Events</b> | <b>Status</b>    | <b>Timestamps</b>    |
|--------------------------------|------------------|----------------------|
| Envelope Sent                  | Hashed/Encrypted | 11/8/2023 2:16:08 PM |
| Certified Delivered            | Security Checked | 11/8/2023 9:55:59 PM |
| Signing Complete               | Security Checked | 11/8/2023 9:56:09 PM |
| Completed                      | Security Checked | 11/8/2023 9:56:10 PM |

| <b>Payment Events</b> | <b>Status</b> | <b>Timestamps</b> |
|-----------------------|---------------|-------------------|
|-----------------------|---------------|-------------------|

| <b>Electronic Record and Signature Disclosure</b> |
|---|
|---|

## **ELECTRONIC RECORD AND SIGNATURE DISCLOSURE**

From time to time, AuditBoard, Inc. (we, us or Company) may be required by law to provide to you certain written notices or disclosures. Described below are the terms and conditions for providing to you such notices and disclosures electronically through the DocuSign system. Please read the information below carefully and thoroughly, and if you can access this information electronically to your satisfaction and agree to this Electronic Record and Signature Disclosure (ERSD), please confirm your agreement by selecting the check-box next to 'I agree to use electronic records and signatures' before clicking 'CONTINUE' within the DocuSign system.

### **Getting paper copies**

At any time, you may request from us a paper copy of any record provided or made available electronically to you by us. You will have the ability to download and print documents we send to you through the DocuSign system during and immediately after the signing session and, if you elect to create a DocuSign account, you may access the documents for a limited period of time (usually 30 days) after such documents are first sent to you. After such time, if you wish for us to send you paper copies of any such documents from our office to you, you will be charged a \$0.00 per-page fee. You may request delivery of such paper copies from us by following the procedure described below.

### **Withdrawing your consent**

If you decide to receive notices and disclosures from us electronically, you may at any time change your mind and tell us that thereafter you want to receive required notices and disclosures only in paper format. How you must inform us of your decision to receive future notices and disclosure in paper format and withdraw your consent to receive notices and disclosures electronically is described below.

### **Consequences of changing your mind**

If you elect to receive required notices and disclosures only in paper format, it will slow the speed at which we can complete certain steps in transactions with you and delivering services to you because we will need first to send the required notices or disclosures to you in paper format, and then wait until we receive back from you your acknowledgment of your receipt of such paper notices or disclosures. Further, you will no longer be able to use the DocuSign system to receive required notices and consents electronically from us or to sign electronically documents from us.

### **All notices and disclosures will be sent to you electronically**



Unless you tell us otherwise in accordance with the procedures described herein, we will provide electronically to you through the DocuSign system all required notices, disclosures, authorizations, acknowledgements, and other documents that are required to be provided or made available to you during the course of our relationship with you. To reduce the chance of you inadvertently not receiving any notice or disclosure, we prefer to provide all of the required notices and disclosures to you by the same method and to the same address that you have given us. Thus, you can receive all the disclosures and notices electronically or in paper format through the paper mail delivery system. If you do not agree with this process, please let us know as described below. Please also see the paragraph immediately above that describes the consequences of your electing not to receive delivery of the notices and disclosures electronically from us.

### **How to contact AuditBoard,Inc.:**

You may contact us to let us know of your changes as to how we may contact you electronically, to request paper copies of certain information from us, and to withdraw your prior consent to receive notices and disclosures electronically as follows:

To contact us by email send messages to: [slachini@auditboard.com](mailto:slachini@auditboard.com)

### **To advise AuditBoard,Inc. of your new email address**

To let us know of a change in your email address where we should send notices and disclosures electronically to you, you must send an email message to us at [slachini@auditboard.com](mailto:slachini@auditboard.com) and in the body of such request you must state: your previous email address, your new email address. We do not require any other information from you to change your email address.

If you created a DocuSign account, you may update it with your new email address through your account preferences.

### **To request paper copies from AuditBoard,Inc.**

To request delivery from us of paper copies of the notices and disclosures previously provided by us to you electronically, you must send us an email to [slachini@auditboard.com](mailto:slachini@auditboard.com) and in the body of such request you must state your email address, full name, mailing address, and telephone number. We will bill you for any fees at that time, if any.

### **To withdraw your consent with AuditBoard,Inc.**

To inform us that you no longer wish to receive future notices and disclosures in electronic format you may:

- i. decline to sign a document from within your signing session, and on the subsequent page, select the check-box indicating you wish to withdraw your consent, or you may;
- ii. send us an email to [slachini@auditboard.com](mailto:slachini@auditboard.com) and in the body of such request you must state your email, full name, mailing address, and telephone number. We do not need any other information from you to withdraw consent.. The consequences of your withdrawing consent for online documents will be that transactions may take a longer time to process..

### **Required hardware and software**

The minimum system requirements for using the DocuSign system may change over time. The current system requirements are found here: <https://support.docusign.com/guides/signer-guide-signing-system-requirements>.

### **Acknowledging your access and consent to receive and sign documents electronically**

To confirm to us that you can access this information electronically, which will be similar to other electronic notices and disclosures that we will provide to you, please confirm that you have read this ERSD, and (i) that you are able to print on paper or electronically save this ERSD for your future reference and access; or (ii) that you are able to email this ERSD to an email address where you will be able to print on paper or save it for your future reference and access. Further, if you consent to receiving notices and disclosures exclusively in electronic format as described herein, then select the check-box next to ‘I agree to use electronic records and signatures’ before clicking ‘CONTINUE’ within the DocuSign system.

By selecting the check-box next to ‘I agree to use electronic records and signatures’, you confirm that:

- You can access and read this Electronic Record and Signature Disclosure; and
- You can print on paper this Electronic Record and Signature Disclosure, or save or send this Electronic Record and Disclosure to a location where you can print it, for future reference and access; and
- Until or unless you notify AuditBoard,Inc. as described above, you consent to receive exclusively through electronic means all notices, disclosures, authorizations, acknowledgements, and other documents that are required to be provided or made available to you by AuditBoard,Inc. during the course of your relationship with AuditBoard,Inc..



Department of Administration  
Purchasing Division  
2019 Washington Street East  
Post Office Box 50130  
Charleston, WV 25305-0130

State of West Virginia  
Centralized Request for Quote  
Info Technology

|  |                            |   |                |
|--|----------------------------|---|----------------|
| <b>Proc Folder:</b> 1234689                          |                            | <b>Reason for Modification:</b>   |                |
| <b>Doc Description:</b> Auditing SaaS RFQ (81230134) |                            | To attach vendor questions and responses.<br>Bid opening remains June 28, 2023 at 1:30PM Eastern Time<br>No other changes |                |
| <b>Proc Type:</b> Central Master Agreement           |                            |   |                |
| <b>Date Issued</b>                                   | <b>Solicitation Closes</b> | <b>Solicitation No</b>  | <b>Version</b> |
| 2023-06-16   | 2023-06-28 13:30           | CRFQ 0803 DOT2300000145   | 2              |

#### BID RECEIVING LOCATION

BID CLERK  
DEPARTMENT OF ADMINISTRATION  
PURCHASING DIVISION  
2019 WASHINGTON ST E  
CHARLESTON WV 25305  
US

#### VENDOR

**Vendor Customer Code:**

**Vendor Name :** AuditBoard, Inc.

**Address :** 12900 Park Plaza Drive Suite 200, Cerritos, CA 90703-9329

**Street :** 12900 Park Plaza Drive

**City :** Cerritos

**State :** CA

**Country :** USA

**Zip :** 90703-9329

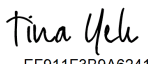
**Principal Contact :** Sean Mergenthal

**Vendor Contact Phone:** 856.381.7892

**Extension:**

#### FOR INFORMATION CONTACT THE BUYER

Larry D McDonnell  
304-558-2063  
larry.d.mcdonnell@wv.gov

DocuSigned by:  
  
Vendor Signature X EF911F3B9A6241C...

**FEIN#** 47-1299245

**DATE** 6/20/2023

All offers subject to all terms and conditions contained in this solicitation

**ADDITIONAL INFORMATION****REQUEST FOR QUOTATION:**

The West Virginia Purchasing Division is soliciting bids on behalf of West Virginia Department of Transportation (WVDOT) to establish an open-end contract for auditing cloud-hosted SaaS to be utilized by the WV Transportation Division, per the attached documentation.

**INVOICE TO****SHIP TO**

DEPT. OF TRANSPORTATION  
1900 KANAWHA BLVD E,  
BLD. 5 RM-720

DEPT. OF TRANSPORTATION  
1900 KANAWHA BLVD E,  
BLD. 5 RM-720

CHARLESTON WV  
US

CHARLESTON WV  
US

| Line | Comm Ln Desc                      | Qty     | Unit Issue | Unit Price | Total Price |
|------|-----------------------------------|---------|------------|------------|-------------|
| 1    | Cloud-based software as a service | 0.00000 | EA         |            |             |

| Comm Code | Manufacturer | Specification | Model # |
|-----------|--------------|---------------|---------|
| 81162000  |              |               |         |

**Extended Description:**

Auditing SaaS RFQ (81230134). See attached pricing page and CRFQ documentation.

**SCHEDULE OF EVENTS**

| <u>Line</u> | <u>Event</u>                           | <u>Event Date</u> |
|-------------|--|-------------------|
| 1           | Technical Questions due by 4:00 pm EST | 2023-06-15        |

|               | Document Phase | Document Description         | Page |
|---------------|----------------|------------------------------|------|
| DOT2300000145 | Final          | Auditing SaaS RFQ (81230134) | 3    |

**ADDITIONAL TERMS AND CONDITIONS**

See attached document(s) for additional Terms and Conditions

## EXHIBIT A - PRICING PAGE - CRFQ DOT23\*145

Please note that the contents of this document and any relating to pricing are confidential.

| Auditing Cloud-Hosted SaaS RFQ (81230134)   |   |                 |                     |                    |                               |                                 |                                |                                |                     |
|---|---|-----------------|---------------------|--------------------|-------------------------------|---------------------------------|--------------------------------|--------------------------------|---------------------|
| LOCATION: BUILDING 5, ROOM A-720, CHARLESTON, WV 25305  |   |                 |                     |                    |                               |                                 |                                |                                |                     |
| Contract Item Number  | Description*  | Unit of Measure | Estimated Quantity* | Year One Unit Cost | Optional - Year Two Unit Cost | Optional - Year Three Unit Cost | Optional - Year Four Unit Cost | Optional - Year Five Unit Cost | Extended Cost       |
| <b>Auditing Cloud-Hosted SaaS Subscription / License</b>  |   |                 |                     |                    |                               |                                 |                                |                                |                     |
| 4.1.1, 4.1.2, 4.1.1.2.  | Enterprise SaaS Subscription - Must at a minimum include 25 core user licenses, 1500 audits annually, 100 integration workflows (automation) annually, 50 integration monitors (automation) annually and unlimited stakeholders | LS              | 1                   | \$164,000.00       | \$164,000.00                  | \$164,000.00                    | \$164,000.00                   | \$164,000.00                   | \$820,000.00        |
| 4.1.1, 4.1.2, 4.1.1.2.1   | Enterprise SaaS Subscription Per Additional Core User (per license)   | EA              | 1                   | \$5,400.00         | \$5,400.00                    | \$5,400.00                      | \$5,400.00                     | \$5,400.00                     | \$27,000.00         |
| <b>Auditing Cloud-Hosted SaaS Services**</b>  |   |                 |                     |                    |                               |                                 |                                |                                |                     |
| 4.1.3.1   | Initial Cloud-Hosted SaaS Implementation Fee (lump sum)   | LS              | 1                   | \$50,000.00        |                               |                                 |                                |                                | \$50,000.00         |
| 4.1.3.2   | Initial Cloud-Hosted SaaS Virtual Instructor Led Training (hourly rate)   | EA              | 4                   | \$0.00             |                               |                                 |                                |                                | \$0.00              |
| 4.1.3.3   | Virtual Instructor Led-Training (hourly rate)   | EA              | 25                  | \$250.00           | \$250.00                      | \$250.00                        | \$250.00                       | \$250.00                       | \$31,250.00         |
| 4.1.3.4   | Virtual Administrator Training (hourly rate)  | EA              | 25                  |                    |                               |                                 |                                |                                | \$0.00              |
| 4.1.3.4   | On-Site System Administrator Training (hourly rate)   | EA              | 25                  | \$250.00           | \$250.00                      | \$250.00                        | \$250.00                       | \$250.00                       | \$31,250.00         |
| 4.1.5   | Cloud-Hosted SaaS Professional Services Support On-Site Rate (hourly rate)  | EA              | 25                  | \$250.00           | \$250.00                      | \$250.00                        | \$250.00                       | \$250.00                       | \$31,250.00         |
| 4.1.5   | Cloud-Hosted SaaS Professional Services Support Virtual Rate (hourly rate)  | EA              | 25                  |                    |                               |                                 |                                |                                | \$0.00              |
|   |   |                 |                     |                    | <b>Total Overall Cost:</b>    |                                 |                                |                                | <b>\$990,750.00</b> |
| <p>* The estimated purchase volume for new licenses represents the approximate volume of anticipated purchases only. No future use of the Contract or any individual item is guaranteed or implied.</p> <p>**TRAVEL: Vendor shall be responsible for all mileage and travel costs, including travel time, associated with performance of this Contract. Any anticipated mileage or travel costs may be included in the flat fee or hourly rate listed on Vendor's bid, but such costs will not be paid by the Agency separately. Location: 1900 Kanawha Boulevard E. Building 5, Charleston, WV 25305</p> <p>***Optional Renewals- Year Two through Year Five may be renewed by Change Order upon mutual agreement between the Vendor and Agency.</p> |   |                 |                     |                    |                               |                                 |                                |                                |                     |

AuditBoard Notes

Current listed cost is for the current description. As licenses or other metrics increase, pricing may deviate.

Additional cose per license is \$5,400. Discounts may be discussed depending on volume

Included with subscription

Go through the initial training and onboarding - many customers feel they dont need this.

Included with subscription as a self service option with AuditBoard academy. You also have access to a dedicated Customer Success Manager who can train you to use that platform that is included in the subscription.

Unlimited and included with subscription

Sean Mergenthal Electronic signature - 11/8/23

Vendor Signature

**SOLICITATION NUMBER: CRFQ DOT2300000145**  
**Addendum Number: 1**

---

The purpose of this addendum is to modify the solicitation identified as (“Solicitation”) to reflect the change(s) identified and described below.

**Applicable Addendum Category:**

- Modify bid opening date and time
- Modify specifications of product or service being sought
- Attachment of vendor questions and responses
- Attachment of pre-bid sign-in sheet
- Correction of error
- Other

**Description of Modification to Solicitation:**

To attach vendor questions and responses.

Bid opening remains June 28, 2023 at 1:30PM Eastern Time

No other changes

**Additional Documentation:** Documentation related to this Addendum (if any) has been included herewith as Attachment A and is specifically incorporated herein by reference.

**Terms and Conditions:**

1. All provisions of the Solicitation and other addenda not modified herein shall remain in full force and effect.
2. Vendor should acknowledge receipt of all addenda issued for this Solicitation by completing an Addendum Acknowledgment, a copy of which is included herewith. Failure to acknowledge addenda may result in bid disqualification. The addendum acknowledgement should be submitted with the bid to expedite document processing.

# ATTACHMENT A



# CRFQ DOT23000000145

## Auditing SaaS RFQ - Technical Questions

### Question 1

Can you please provide high-level detail around the types of audits per year, such as Financial; Performance; Compliance; IT?

### Response 1

Refer to specification: 4.1.1.1 regarding the capacity requirements for audit files. Note there is none specified to the types of audit engagements and 4.1.1.4 regarding the flexibility of the program to create workpapers, audit programs, reports and templates for use.

### Question 2

Are there any testing templates (aka audit programs) currently in place to streamline the process for each type of audit? If so, how many?

### Response 2

Refer to specification: 4.1.1.4 regarding the flexibility of the program to create workpapers, audit programs, reports and templates for use.

### Question 3

How many unique final report/opinion templates do you use?

### Response 3

Refer to specification: 4.1.1.4 regarding the flexibility of the program to create workpapers, audit programs, reports and templates for use.

### Question 4

Do you need any capabilities around audit risk assessments (either at the audit plan level or individual audit)?

### Response 4

Refer to specification: 4.1.1.4 regarding the flexibility of the program to create workpapers, audit programs, reports and templates for use.

Question 5

Are controls tested or documented during audit processes? If yes, how many? How many would need to be pre-loaded for implementation?

Response 5

Refer to specification: 4.1.1.4 regarding the flexibility of the program to create workpapers, audit programs, reports and templates for use.

Question 6

Do you need any capabilities around tracking audit findings, action plans, and remediation status? If so, how many audit findings and action plans would need to be pre-loaded for implementation?

Response 6

Refer to specification 4.1.1.2. for the capability to create and maintain a library of findings and create templates by individual client or engagement. Note no quantity specified.

Question 7

Do you have more than one (1) final slide deck/presentation that you want setup as part of the implementation? If yes, please confirm and indicate how many? For example, sometimes audit management teams request the setup of one (1) quarterly audit committee slide deck during implementation, in addition to other slide decks/presentations that require separate templates.

Response 7

Refer to spec 4.1.1.28 for capability of the software to provide data information in report format.

Question 8

Does the Agency have a specific control framework(s) (e.g., COSO or Greenbook) they follow to populate the control library?

Response 8

No.

Question 9

Section 4.1.1.2 is the first section that uses the term “client”. Can you explain this term and indicate whether this is a related or unrelated party to the State of West Virginia’s Department of Transportation?

Response 9

This specification refers to the software capability or flexibility for the finding's library and template creation and organization. The specifications do not define a client on purpose as it will be variable.

Question 10

Section 4.1.1.3 mentions "automated integration workflows" and "automated integration monitors". Can you explain these terms or provide examples?

Response 10

Automation integration workflow is a unit of automation that will pull evidence from another system, (eg; wvOASIS (ERP)).

Automated Integration Monitors are a workflow that will run automated tested procedures defined by WVDOT.

Question 11

Can you provide any details on the macros mentioned in Section 4.1.1.21?

Response 11

Vendors must meet 4.1.1.21 specification to allow the full functionality of using Microsoft Office Suite Software.

Question 12

Can you provide any details on the interfaces mentioned in Section 4.1.1.31?

Response 12

Refer to specification 4.1.1.31. , vendors proposed system must have the ability for end-users (WVDOT) to configure reporting dashboards straightforward without the need for vendor support or enchantment.

Question 13

Can you provide any details on the scope of integration required by Section 4.1.1.33?

Response 13

Refer to specification 4.1.1.33, vendors proposed solution must integrate with agency-owned Microsoft Power BI report and visualization software.

**ADDENDUM ACKNOWLEDGEMENT FORM**  
**SOLICITATION NO.: CRFQ DOT23\*145**

**Instructions:** Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

**Acknowledgment:** I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

**Addendum Numbers Received:**

(Check the box next to each addendum received)

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Addendum No. 1 | <input type="checkbox"/> Addendum No. 6  |
| <input type="checkbox"/> Addendum No. 2            | <input type="checkbox"/> Addendum No. 7  |
| <input type="checkbox"/> Addendum No. 3            | <input type="checkbox"/> Addendum No. 8  |
| <input type="checkbox"/> Addendum No. 4            | <input type="checkbox"/> Addendum No. 9  |
| <input type="checkbox"/> Addendum No. 5            | <input type="checkbox"/> Addendum No. 10 |

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor’s representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

AuditBoard, Inc.

Company

DocuSigned by:

*Tina Yeh*

EF911F3B9A6241C  
Authorized Signature

6/20/2023

Date

NOTE: This addendum acknowledgment should be submitted with the bid to expedite document processing.

Revised 6/8/2012

REQUEST FOR QUOTATION  
CRFQ DOT23\*145  
**Open-End Contract for Auditing Cloud-Hosted SaaS (81230134)**

**SPECIFICATIONS**

**3. QUALIFICATIONS:** Vendor, or Vendor's staff if requirements are inherently limited to individuals rather than corporate entities, shall have the following minimum qualifications:

3.1. Vendor must provide, upon request, documentation showing their experience with having successfully completed implementation of an existing Auditing Cloud-hosted SaaS with workflows within an organization of similar size and complexity or larger than WVDOT.

Upon further request, we are more than happy to provide documentation. We work with a large range of clients across different industries as well as organization size, from pre-IPO companies all the way to Fortune 10. Our solution is scalable and works well across different industry verticals. Our clients are utilizing AuditBoard for a variety of modules, from SOX compliance to audit management. AuditBoard has over 1,800+ clients and is the top rated audit management solution on the market. Current clients utilizing our audit management solution include Walmart, United Bank, Lockheed Martin, BlackRock, Apple, Ralph Lauren, CVS, Intel, Party City, Miami Dade county, and many more including many more state run and public entities.

3.2. Vendor must provide, upon request, proof as an authorized reseller of the proposed Auditing Cloud-hosted SaaS or a Sole Source letter if the Cloud-hosted SaaS is proprietary to the vendor before contract award.

Confirmed. Upon further request, we can provide proof.

3.3. Vendor must provide, upon request, proof their proposed solution is ISO 27001 certified (SOC-2).

Both documents can be provided upon further request.

## 4. GENERAL REQUIREMENTS:

**4.1. Mandatory Contract Item Requirements:** The Vendor shall provide Agency with the Contract Items listed below. Contract Items must meet or exceed the mandatory requirements listed below.

### 4.1.1. General Auditing Cloud-hosted SaaS Operating Requirements

**4.1.1.1.** Cloud-hosted SaaS must have the capability to store hundreds of audit files per fiscal year.

AuditBoard allows for unlimited data usage and for any file type or file size to be uploaded to the system.

**4.1.1.2.** Cloud-hosted SaaS must have the capability to create and maintain a library of findings and create templates by individual client or engagement.

During implementation, our onboarding team will work with you to set up any reporting templates. In addition, a sub-set of end users (e.g. methodology team) will be trained to create and edit any master templates on a go-forward basis. Once a template has been imported into an audit, the template may be uniquely edited for that audit. Access to make edits may be restricted as needed.

**4.1.1.3.** Cloud-hosted SaaS must include a subscription for up to a minimum of twenty-five (25) users in the audit work papers system concurrently from multiple locations, allow for at least one thousand five hundred (1500) audits annually, allow at least one hundred (100) automated integration workflows annually, allow at least fifty (50) automated integration monitors annually and must include unlimited stakeholders.

AuditBoard's Enterprise package offers 25 Core Users (i.e. Auditors), and unlimited stakeholder user licenses (i.e. Auditees) with the annual subscription. Specified numbers of audits, workflows, and monitors can all be accommodated by the enterprise level subscription.

**4.1.1.3.1.** Cloud-Hosted SaaS must have the ability to add additional core user licenses as requested and purchased by the Agency.

WVDOT will have full access over user maintenance to add, edit, or delete users. what was

**4.1.1.4.** Cloud-hosted SaaS must have the capability for the client to create work papers, audit programs, reports, and templates for use.

During implementation, our onboarding team will work with you to set up any templates, including audit program steps. In addition, a sub-set of end users (e.g. methodology team) will be trained to create and edit master templates on a go-forward basis. These may be imported to an audit step at the creation of the audit or ad hoc.

**4.1.1.5.** Cloud-hosted SaaS must filter work papers by client, engagement type, fiscal year, or by auditor.

AuditBoard is highly configurable, where data fields, workflows, views,

dashboards and reports can be configured by the end user. Client, engagement type, fiscal year, and auditor can be configured within our list views.

- 4.1.1.6.** Cloud-hosted SaaS must support and integrate with agency owned Microsoft Office Suite, Google Workspace, Adobe Acrobat Professional and Bluebeam Revu (PDF) programs for searching, retrieval and saving of documents.

AuditBoard offers a full integration with Microsoft Office suite (i.e., Excel, PowerPoint, Word, and Visio), Google, Lucidchart, and PDF that enables our clients to generate documents in their preferred format. Documents can be edited on the platform directly or downloaded onto native format, based on client preferences.

- 4.1.1.7.** Cloud-hosted SaaS must be compatible with states Google email system.

Confirmed.

- 4.1.1.8.** Cloud-hosted SaaS must have the ability to assign hierarchy of roles for users.

Roles are always granted on the theory of least-privileged access, and only after being formally requested and approved by management.

- 4.1.1.9.** Cloud-hosted SaaS must have the capability of add/alter client information, auditors, approvers, reviewers, and administrative personnel.

Client will have visibility to review and export user access listings. System administrators will be trained to add, remove, or adjust user access as appropriate. Additionally, AuditBoard includes unlimited customer support to assist with any updates.

- 4.1.1.10.** Cloud-hosted SaaS must be able to create assignments to specific users.

Confirmed. Assignments and tasks (e.g. document requests) can be provided to individual users within the platform.

- 4.1.1.11.** Cloud-hosted SaaS must have the capability to retrieve prior audit information from agency owned Teammate Software. This information would reference prior completed set of working papers for a particular entity.

Due to the proprietary nature of audit software, AuditBoard would not be granted access to Teammate's audit software nor would Teammate ever be granted access to AuditBoard. For customers using any existing system, clients are responsible for extracting their own data and migrating the data into AuditBoard templates. We have hundreds of customers who have migrated over from Teammate and the templates will provide instruction on how to populate the data.

- 4.1.1.12.** Cloud-hosted SaaS must have the capability to convert past audit work papers from agency owned current TEAMMATE software.

Once data is initially extracted from Teammate and provided to us within the AuditBoard templates, AuditBoard handles the upload process for

your current year audit plan and any outstanding issues. Prior fiscal year audit data for engagements and issues that have been fully closed will be uploaded to the perm files section in their original formats (excel, pdf etc.) for reference.

**4.1.1.13.** Cloud-hosted SaaS must allow users have the capability to view, alter and create multiple workpapers at the same time.

Coarse grained authorization in the AuditBoard platform is based on RBAC (role-based access control). Fine grained authorization is determined by specific assignments within the platform, or ABAC (attribute-based access control). The combination of these access control mechanisms allows clients to have full control over how data is accessed and permissioned within the platform.



- 4.1.1.14.** Cloud-hosted SaaS must have evidence of workpaper completion and review by whom and the date completed.

Confirmed. Each working paper has its own workflow including tester and reviewer sign-offs. All sign-offs are marked with a timestamp and responsible individual. Once a staff has signed off on the working paper, the Manager / Director will receive automated email and platform notifications, which indicate the working paper is ready for review. Status of workpapers drives real-time dashboards.

- 4.1.1.15.** Cloud-hosted SaaS must have controls over workpaper sharing and have the capability for different employees to alter same work paper.

Workpapers are maintained electronically within the platform. During implementation, our onboarding team will work with you to set up any templates you may need. In addition, a sub-set of end users (e.g. methodology team) will be trained to create and edit templates on a go-forward basis as well.

- 4.1.1.16.** Cloud-hosted SaaS must allow peer review team to view work papers.

Confirmed. Each working paper has its own workflow including tester and reviewer sign-offs. All sign-offs are marked with a timestamp and responsible individual.

- 4.1.1.17.** Cloud-hosted SaaS must have the capability to leave reviewer comments notes for work paper corrections that can be removed by reviewer.

AuditBoard has fully integrated Commenting functionality available throughout the platform which allows users to tag each other and even tag entire teams. Notes or comments can then be removed or permissioned off to only be visible to certain roles.

- 4.1.1.18.** Cloud-hosted SaaS must have indicators that work papers have been altered and needs reviewed.

Confirmed. Each working paper has its own workflow including tester and reviewer sign-offs. All sign-offs are marked with a time-stamp and responsible individual. Once a staff has signed off on the working paper, the Manager / Director will receive automated email and platform notifications, which indicate the working paper is ready for review. Frequency and content of email notifications may be configured based on your needs (e.g. daily digest, weekly digest, etc.).

- 4.1.1.19.** Cloud-hosted SaaS must have the capability to reference or link support documentation.

Confirmed. AuditBoard has a full integration with the Microsoft Office Suite and Adobe PDF which allows end users to continue

using the applications and functionality they are used to using today. All uploaded files include hyperlinks which may be inserted throughout the platform for quick and easy reference. Any external URLs (e.g., your share drive protected by a firewall) may be referenced and click-able within the platform, as well.

- 4.1.1.20.** Cloud-hosted SaaS must automatically generate audit reports to agency owned Microsoft Office Suite, Google Workspace, Adobe Acrobat Professional and Bluebeam Revu with indicators of each engagement in progress.

Confirmed. Audit issues can be linked within audit reports. By utilizing an audit report template, you can automatically pull issues into your final audit report with a drag and drop capability for prioritizing audit issues. Reports generated will include the latest status of the audit issue and remediation plan. Templates can be configured based on customer preference.

- 4.1.1.21.** Cloud-hosted SaaS must have the capability to run macros in agency owned Microsoft Office Suite software while in the audit Cloud-hosted SaaS system.

AuditBoard offers a full integration with Microsoft Office suite (i.e., Excel, PowerPoint, Word, and Visio) and Adobe PDF that enables our clients to generate documents in their preferred format. Documents can be edited on the platform directly or downloaded onto native format, based on client preferences.

- 4.1.1.22.** Cloud-hosted SaaS must have the capability to lock down work papers and have the capability of removing this lock this if necessary.

AuditBoard is a fully role based platform with granular permissions functionality. Permissions can easily be set for workpapers or projects that need to be locked down to a small subset of users.

- 4.1.1.23.** Cloud-hosted SaaS must have the capability to access multiple clients working files at the same time.

Confirmed.

- 4.1.1.24.** Cloud-hosted SaaS must have the ability to spell and grammar-check text fields.

Confirmed. Given AuditBoard is a web-based application, spell check would work. There is a spell check that comes with Chrome/the Internet Browser.

- 4.1.1.25.** Cloud-hosted SaaS must have the capability to store client files on an external hard drive.

N/A - Everything is hosted in the cloud. AuditBoard is a SaaS cloud-based platform hosted on AWS (Amazon Web Services). AuditBoard leverages core AWS services with multi-availability zone configurations (EC2, RDS, S3). All data on our private and public networks are always transported via encryption. We use

TLS 1.2 to encrypt data in transit and AES-256 to encrypt all customer data at rest.

Cloud-hosted SaaS must have the capability to tick mark or reference agency owned Acrobat Adobe Professional or Bluebeam PDF software. AuditBoard has a full integration with the Microsoft Office Suite and Adobe PDF which allows end users to continue using the applications and functionality they are used to using today. All uploaded files can be hyperlinked to one another, which may be inserted throughout the platform and within documents for quick and easy reference. Also, our embedded document and spreadsheet editors allow full Rich Text editing.

- 4.1.1.26.** Cloud-hosted SaaS must have indicators that work paper has been changed after reviewer sign off.

AuditBoard includes a complete audit log of all changes made in the platform. Each record in the log includes a date and timestamp as well as who made the change. Each working paper has its own workflow including tester and reviewer sign-offs. All sign-offs are marked with a timestamp and responsible individual. Once a staff has signed off on the working paper, the Manager / Director will receive automated email and platform notifications, which indicate the working paper is ready for review. Status of workpapers drives real-time dashboards.

- 4.1.1.27.** Cloud-hosted SaaS must have the capability to run reports to compile data information such as number of audits completed, number of audits in progress, number of findings issued, audit hours per engagement, audit hours per auditor, audit hours per fiscal year for a section and for entire Division.

All data points can be displayed in our dashboards and reports, which can be filtered to slice and dice all aspects of your audit plan completions, including individual or aggregate audit progress, hours, findings, and more.

- 4.1.1.28.** Cloud-hosted SaaS must have a dedicated audit workflow process and pages for each audit with configurable sections for planning, fieldwork, reporting, etc in a straightforward to navigate user interface.

AuditBoard supports full audit lifecycle management from planning, fieldwork and reporting. Testing can be organized and configured into test phases. Real time dashboards allow for progress tracking and the solution has the ability to send out automated reminders. AuditBoard was developed by auditors for auditors and is purpose-built to work the same way auditors think and act. As such, the application is intuitive and easy to use.

- 4.1.1.29.** Cloud-hosted SaaS must provide the ability for end-users to configure

reporting dashboards straightforward without the need for vendor support or enchantment.

Users have the ability to configure custom dashboards and reporting with PowerBI. Additionally, a Reports module allows you to build any additional custom reports.

- 4.1.1.30.** Cloud-hosted SaaS must provide the ability for WVDOT to update configuration of interface key field names, layout and attributes without requiring vendor assistance.

AuditBoard is highly configurable, where data field labels, workflows, views, dashboards and reports can be configured by the end user.

- 4.1.1.31.** Cloud-hosted SaaS must accommodate any file size or file type with very small data load latency issues.

AuditBoard accepts any file type without size restrictions. Latency is not a measure of the application. Latency is a measure of the distance of the user to the service. Impact of latency on user experience is a function of the user's tolerance relative to the performance of the application. We have global users of the AuditBoard service who experience upwards of 300ms.

- 4.1.1.32.** Cloud-hosted SaaS must integrate with agency-owned Microsoft Power BI report and visualization software.

AuditBoard Intelligence (ABI Dashboards) powered by our integration with Microsoft Power BI, provides user-friendly and real-time dashboarding and data visualizations. Users can customize and configure dashboards to reflect their reporting requirements. These dashboards enable users to build visualizations, report on desired metrics, and allow for trend insights / analysis.

#### **4.1.2. Auditing Cloud-hosted SaaS Security Requirements**

- 4.1.2.1.** Cloud-hosted SaaS Servers must be replicated and load-balanced across data centers and regions.

The AuditBoard application is a single page app that requires initial load of assets and then incremental web service calls to function properly. This architecture is designed to auto-scale based on load and functions effectively on any bandwidth. We maintain no minimum bandwidth requirements to function properly. We have redundancy across our entire stack and rely on managed services provided by AWS, which each have their own built-in redundancy.

- 4.1.2.2.** Cloud-hosted SaaS must take real-time backups, continuously, that allow for data recovery at one second intervals.

Database backups are made every 24 hours and kept in storage for 35 days. Backups of your database instance will be taken before version upgrades and before your yearly archive.

Additionally, all database transactions are logged continuously allowing for recovery at 1-second granularity.

- 4.1.2.3.** Cloud-hosted SaaS must save daily encrypted database backups that are also stored in encrypted, redundant, and versioned storage.

AuditBoard relies on Amazon Web Services (AWS) infrastructure to manage backups and system availability. All data is continuously backed up to s3 Storage with 1-sec granularity. Full database backups are made every 24 hours and kept in storage for 35 days using versioned S3 storage. All AuditBoard client data backups are stored in Amazon S3 storage with multi-datacenter redundancy. This storage is encrypted at rest and physically secured inside Amazon's data-centers.

- 4.1.2.4.** Cloud-hosted SaaS must have built in redundancies at the regional, datacenter, hardware, container, and data levels.

The AuditBoard architecture was designed for redundancy and high-availability:

Hardware Redundancy - All components leverage AWS services with multi-availability zone configurations (EC2, RDS, S3).

Regional Redundancy - Production resources are primarily hosted in the US-WEST-2 AWS Region (Oregon). US-EAST-1 (Virginia) is considered the failover region in the case of a full US-WEST-2 regional failure.

Container Redundancy - In the case of a container (pod) failure or host (node) failure, Kubernetes will automatically restart and reschedule the Container onto a new host.

Data Redundancy - All data is continuously backed up to S3 with 1-sec granularity. Full database backups are made every 24 hours and kept in storage for 35 days using versioned S3 storage.

- 4.1.2.5.** Cloud-hosted SaaS must be able to export all data and files to common formats such as CSV.

End users have the ability to export all data from AuditBoard in standard formats (ZIP, PDF, CSV, etc.). Details of the format types are as follows:

Controls: Excel, CSV, PDF

Narratives: PDF

Test-Sheets: Excel, JSON

Workpapers and attachments: original file format (Word, Excel, PDF, etc.)

Flowcharts: PDF and original file format (e.g. Visio)

- 4.1.2.6.** Cloud-hosted SaaS must be accessible and have full functionality from web browsers (eg: Chrome, Edge Firefox)

We support all operating systems, all you need is an internet browser to connect to our platform. We are best optimized on the following versions: Google Chrome (40+), Microsoft Internet Explorer (11+), Microsoft Edge, Apple Safari (8+), Mozilla Firefox (38+).

- 4.1.2.7.** Cloud-hosted SaaS servers must have 24/7/365 physical security monitoring.

The physical and environmental security controls for the

organization's production environments are carved out and the responsibility of AWS. From AWS "We monitor our data centers using our global Security Operations Centers, which are responsible for monitoring, triaging, and executing security programs. They provide 24/7 global support by managing and monitoring data center access activities, equipping local teams and other support teams to respond to security incidents by triaging, consulting, analyzing, and dispatching responses."

- 4.1.2.8.** Cloud-hosted SaaS must have single sign-on ability and work with State owned Active Directory.

AuditBoard supports Single Sign-On through SAML 2.0, which allows for integration with Active Directory (ADFS), Azure Active Directory, Okta, OneLogin, Google Apps, SiteMinder, Ping and more. We also support multi-factor authentication.

- 4.1.2.9.** Cloud-hosted SaaS must have an out of the box role-based permission(s) or allow for custom roles to restrict what can be viewed or edited down to field level.

Coarse grained authorization in the AuditBoard platform is based on RBAC (role-based access control). Fine grained authorization is determined by specific assignments within the platform, or ABAC (attribute-based access control). The combination of these access control mechanisms allows clients to have full control over how data is accessed and permissioned within the platform.

- 4.1.2.10.** Cloud-hosted SaaS must have the ability for two-factor authentication.

Two factor authentication is required for any access, on-site or remotely, to the company assets.

- 4.1.2.11.** Cloud-hosted SaaS must have data protection and at a minimum have end-to-end TLS 1.2 encryption or better.

All data in transport uses TLSv1.2 for encryption.

Please see attached, 'Data Security Policy'.

- 4.1.2.12.** Cloud-hosted SaaS must have storage encryption and protect all WVDOT auditing files, databases and backups with at least AES-256 bit encryption or better before being written to permanent disk storage.

AuditBoard utilizes AES-256 Encryption for data at rest (on disk).

- 4.1.2.13.** Cloud-hosted SaaS must have data integrity features and protect WVDOT's data from loss, manipulation, or corruption by at a minimum using cryptographic hashing controls that enforce versioning and provide secure transactional abilities.

The application contains business logic that validates data before and/or after queries are executed to ensure the integrity of the data submitted. All database change transactions are done using parameterized queries and TLS to secure the transmission of data.

Secure tokens are used to authenticate each session. Customer files are stored encrypted in AWS S3, with versioning enabled. The S3 native integrity checking mechanisms are used to ensure file integrity.

Since we are a SaaS application, we cannot enforce DLP on a customer's network or endpoints. We do however enforce DLP Protection on our own internal services (like on employee devices, and enterprise communications applications). Customers should consider enforcing DLP within their own environment or consider limiting the ability to export data to particular roles within the application. We also offer IP whitelisting to only allow connections from a customer's network.

- 4.1.2.14.** Cloud-hosted SaaS must use NIST-compliant data sanitization procedures to securely delete data requested by WVDOT that has reached the end of use life.

When a storage device has reached the end of its useful life, AWS procedures include a decommissioning process that is designed to prevent customer data from being exposed to unauthorized individuals. AWS uses the techniques detailed in DoD 5220.22-M (“National Industrial Security Program Operating Manual”) or NIST 800-88 (“Guidelines for Media Sanitization”) to destroy data as part of the decommissioning process. If a hardware device is unable to be decommissioned using these procedures, the device will be degaussed or physically destroyed in accordance with industry-standard practices. Refer to AWS Cloud Security Whitepaper for additional details - available at <http://aws.amazon.com/security>.

- 4.1.2.15.** Cloud-hosted SaaS audit trails must be strictly monitored to ensure performance, availability, and security.

The following systems are used for logging and security monitoring: LogDNA, Stackrox, Signal Sciences, CloudWatch, CloudTrail, GuardDuty, Azure performance/utilization tools, and Rollbar.

AuditBoard maintains full audit log of all login attempts into our systems. AuditBoard also maintains a full audit log of changes made to WVDOT’s data. These audit logs are available to WVDOT 24/7/365. Access to the audit logs is fully permission-able, the WVDOT can decide who has access to the audit logs.



## REQUEST FOR

### Open End Contract for Auditing Cloud-Hosted SaaS (81230041)

**4.1.2.16.** Cloud-hosted SaaS audit trails must have audit logs that track every data change made in the system against an authenticated user.

Our platform maintains a full audit log of all changes that are made. End users may revert back to previous versions of documents to resolve any conflicts.

**4.1.2.17.** Cloud-hosted SaaS audit trail must have every successful or failed attempt to access WVDOT SaaS Cloud-hosted instance. This data must be recorded and viewable by WVDOT/WVOT.

AuditBoard maintains full audit log of all login attempts into our systems. AuditBoard also maintains a full audit log of changes made to WVDOT's data. These audit logs are available to WVDOT 24/7/365. Access to the audit logs is fully permission-able, the WVDOT can decide who has access to the audit logs.

#### **4.1.3. Training & Implementation**

**4.1.3.1.** Vendor must implement, configure, build and setup proposed cloud-hosted SaaS for WVDOT.

Confirmed. An average implementation takes 10 weeks (regardless of modules). Start date is defined as the day Customer provides their documentation and end date is go-live date which marks the end of user acceptance testing (UAT). AuditBoard's responsibilities are to configure the system to be ready for use, it is the Customer's responsibility to test the system. We generally support Customers for 4 weeks during the UAT period.

**4.1.3.2.** Vendor shall provide the Agency with virtual training within five (5) working days of Cloud-hosted SaaS implementation.

All Customers will have access to AuditBoard Academy (ABA), our online training portal after contract sign.

Customers with Enterprise subscriptions also have 4 hours of virtual Instructor Led Training (vILT) and can choose from a course catalog.

**4.1.3.3.** Vendor shall provide on-going training rates for virtual instructor led training.

All Customers will have access to AuditBoard Academy (ABA), our online training portal after contract sign. Customers with Enterprise subscriptions also have 4 hours of virtual Instructor Led Training (vILT) and can choose from a course catalog. 4 hours of custom training led by a professional trainer. Customers can choose from a course catalog for up to 4 hours of lessons. Courses vary in length, generally 1 to 2 hours per course. The trainings are tailored to the customer's environment and are conducted virtually. The trainings are recorded for playback and distribution.

**4.1.3.4.** Vendor shall provide on-going training rates for virtual and on-site administrator training.

## REQUEST FOR

Our training is typically done remotely.

All Customers will have access to AuditBoard Academy (ABA), our online training portal after contract sign. Customers with Enterprise subscriptions also have 4 hours of virtual Instructor Led Training (vILT) and can choose from a course catalog. 4 hours of custom training led by a professional trainer. Customers can choose from a course catalog for up to 4 hours of lessons. Courses vary in length, generally 1 to 2 hours per course. The trainings are tailored to the customer's environment and are conducted virtually. The trainings are recorded for playback and distribution.

### **4.1.4. Technical Support**

**4.1.4.1.** Vendor shall provide technical support for the Cloud-hosted SaaS utilizing a primary technical support phone number, ticket portal or primary technical support email address.

Support agents are available for support via phone & email.

Once the user is logged into AuditBoard Site, they can click on the ? icon located in the bottom left corner, then click on 'Contact Support'. Other method is to send an email directly to [support@auditboard.com](mailto:support@auditboard.com).

Our Customer Support Team is available 24/7/365 to assist with any needs to all of our customers on our platform. They are located in our Headquarters in Southern California. Our guarantee is a reply within 24 business hours.

**4.1.4.2.** Vendor shall provide a minimum response time of two (2) hours call back for support requests during normal business hours of 8:00 a.m. through 5:00 p.m. Eastern Standard Time Monday through Friday excluding WV state holidays.

Currently our Customer Support Team is available 6AM-6PM PST to assist with any needs to all of our customers on our platform. They are located in our Headquarters in Southern California. Our guarantee is a reply within 24 business hours. A 24 hour answering service is also available for outage and incident reporting.

### **4.1.5. Cloud-Hosted SaaS Professional Services Support**

**4.1.5.1.** Experienced Cloud-hosted SaaS consultants, analysts and software developers shall be available to assist WVDOT with software/workflow installation/ configuration/ customizations.

We do not offer professional services. Our training is typically done remotely from our Southern California HQ's by our implementation team. The AuditBoard implementation team will do their best to accommodate different time zones to ensure a successful implementation. We have

## REQUEST FOR

teams located in Western, Central, and Eastern parts of the US, in addition to an office located in the UK. Also, our Support Team is based at our HQ's and are available 24/7/365 to assist with any needs to all of our customers domestically and globally.

- 4.1.5.2.** Vendor shall provide both a virtual and on-site rate.  
The product is a Cloud based Saas application fully managed by AuditBoard. Deployment to a customer on-prem or virtual environment is not supported.
- 4.1.5.3.** A Statement of Work (SOW) shall be developed that identifies the following:
  - 4.1.5.3.1.** Tasks to be performed.
  - 4.1.5.3.2.** Deliverables.
  - 4.1.5.3.3.** Staff assigned, resumes and experience level.
  - 4.1.5.3.4.** Cost breakdown based on the rates bid in this RFQ.
  - 4.1.5.3.5.** WVDOT shall review and approve the SOW before commencing of any services

Please refer to our website:

<https://www.auditboard.com/implementations/>

### **4.1.6. Terms and Conditions**

- 4.1.6.1.** Vendor should provide with their bid a copy of any software licensing and or support terms and conditions to which the State of West Virginia or the Agency must agree to or accept, either in writing or digitally, in order to receive the commodities or services offered as part of this contract. Written terms will be required prior to the award of any contract resulting from this solitacaton. Failure to provide additional terms and conditions may result in disqualification or cancellation of the vendor's bid or contract.

- 4.1.6.2.** Please refer to our website for the Subscription Agreement:  
<https://www.auditboard.com/subscription-agreement/>

## **5. CONTRACT AWARD:**

**5.1. Contract Award:** The Contract is intended to provide the Agency with a purchase price on all Contract Items. The Contract shall be awarded to the Vendor that provides the Contract Items meeting the required specifications for the lowest overall total cost as shown on the Pricing Pages.

**5.2. Pricing Pages:** Vendor should complete the Pricing Pages by completing the cost table included as Exhibit A. Vendor should complete the Pricing Pages in their entirety as failure to do so may result in Vendor's bids being disqualified.

The Pricing Pages contain a list of the Contract Items and estimated purchase volume. The estimated purchase volume for each item represents the approximate volume of anticipated purchases only. No future use of the Contract or any individual item is guaranteed or implied.

Vendor should type or electronically enter the information into the Pricing Page to prevent errors in the evaluation. [Confirmed. Our pricing has been filled out in the 'Pricing Pages'.](#)

## **6. ORDERING AND PAYMENT:**

**6.1. Ordering:** Vendor shall accept orders through wvOASIS, regular mail, facsimile, e-mail, or any other written form of communication. Vendor may, but is not required to, accept on-line orders through a secure internet ordering portal/website. If Vendor has the ability to accept on-line orders, it should include in its response a brief description of how Agencies may utilize the on-line ordering system. Vendor shall ensure that its on-line ordering system is properly secured prior to processing Agency orders on-line. [Confirmed.](#)

**6.2. Payment:** Vendor shall accept payment in accordance with the payment procedures of the State of West Virginia.

**7. DELIVERY AND RETURN:**

**7.1. Shipment and Delivery:** Vendor shall deliver the Contract Items within ten (10) working days after being awarded this Contract and receiving a purchase order or notice to proceed.

**7.2. Late Delivery:** The Agency placing the order under this Contract must be notified in writing if the shipment of the Contract Items will be delayed for any reason. Any delay in delivery that could cause harm to an Agency will be grounds for cancellation of the Contract, and/or obtaining the Contract Items from a third party.

Any Agency seeking to obtain the Contract Items from a third party under this provision must first obtain approval of the Purchasing Division.

**7.3. Delivery Payment/Risk of Loss:** Vendor shall deliver the Contract Items F.O.B. destination to the Agency's location. Vendor shall include the cost of order delivery charges in its bid pricing/discount and is not permitted to charge the Agency separately for such delivery.

**7.4. Return of Unacceptable Items:** If the Agency deems the Contract Items to be unacceptable, the Contract Items shall be returned to Vendor at Vendor's expense and with no restocking charge. Vendor shall either make arrangements for the return within five (5) days of being notified that item(s) are unacceptable or permit the Agency to arrange for the return and reimburse Agency for delivery expenses. If the original packaging cannot be utilized for the return, Vendor will supply the Agency with appropriate return packaging upon request. All returns of unacceptable items shall be F.O.B. the Agency's location. The returned product shall either be replaced, or the Agency shall receive a full credit or refund for the purchase price, at the Agency's discretion.

**7.5. Return Due to Agency Error:** Items ordered in error by the Agency will be returned for credit within 30 days of receipt, F.O.B. Vendor's location. Vendor shall not charge a restocking fee if returned products are in a resalable condition. Items shall be deemed to be in a resalable condition if they are unused and in the original packaging. Any restocking fee for items not in a resalable condition shall be the lower of the Vendor's customary restocking fee or 5% of the total invoiced value of the returned items.

**8. VENDOR DEFAULT:**

8.1. The following shall be considered a vendor default under this Contract.

**8.1.1.** Failure to provide Contract Items in accordance with the requirements contained herein.

REQUEST FOR  
**Open End Contract for Auditing Cloud-Hosted SaaS (81230041)**

- 8.1.2.** Failure to comply with other specifications and requirements contained herein.
- 8.1.3.** Failure to comply with any laws, rules, and ordinances applicable to the Contract Services provided under this Contract.
- 8.1.4.** Failure to remedy deficient performance upon request.

**8.2.** The following remedies shall be available to Agency upon default.

- 8.2.1.** Immediate cancellation of the Contract.
- 8.2.2.** Immediate cancellation of one or more release orders issued under this Contract.
- 8.2.3.** Any other remedies available in law or equity.

**9. MISCELLANEOUS:**

- 9.1. No Substitutions:** Vendor shall supply only Contract Items submitted in response to the Solicitation unless a contract modification is approved in accordance with the provisions contained in this Contract.
- 9.2. Vendor Supply:** Vendor must carry sufficient inventory of the Contract Items being offered to fulfill its obligations under this Contract. By signing its bid, Vendor certifies that it can supply the Contract Items contained in its bid response.
- 9.3. Contract Manager:** During its performance of this Contract, Vendor must designate and maintain a primary contract manager responsible for overseeing Vendor's responsibilities under this Contract. The Contract manager must be available during normal business hours to address any customer service or other issues related to this Contract. Vendor should list its Contract manager and his or her contact information below.

**Contract Manager:** Tina Yeh

\_\_\_\_\_ T

**Telephone Number:** 877.769.5444

**Fax Number:** 877.769.5444

**Email Address:** tyeh@auditboard.com



# RFQ Response for Auditing Cloud- Hosted SaaS (Technical Proposal)

SOLICITATION NO.: CRFQ 0803 DOT2300000145

## PRESENTED TO

Larry McDonnell, Senior Buyer

\*Per Section 21 of your instruction to vendors, if awarded and you are going to publish our proposal to a public website, we are more than happy to provide a redacted version.

## SALES ADVISORY TEAM

Sean Mergenthal, Account Executive  
Chris Kane, Manager Product Solutions

June 28, 2023





AuditBoard, Inc.  
12900 Park Plaza Drive, Suite 200  
Cerritos, CA 90703

June 28, 2023

West Virginia Department of Transportation  
Department of Administration, Purchasing Division  
2019 Washington Street East  
Charleston, WV 25305-0130  
Attn: Larry McDonnell

RE: AuditBoard RFQ response to WVDOT

Dear Mr. McDonnell,

On behalf of AuditBoard, Inc. ("AuditBoard" or "We"), we thank you for the opportunity to propose our Auditing Cloud-Hosted SaaS to West Virginia Department of Transportation ("WVDOT" or "Client").

We understand that choosing a GRC platform to meet your Audit & Compliance needs and business requirements can be a daunting task. Features and functionality among current platforms are a given. The tipping point that positions one platform over another is the level of experience of their executive leadership, customer success, and technical teams, the ease of use of the platform, and a smooth and efficient implementation process. All of these attributes make a service provider relationship that creates tangible value.

Thank you for this opportunity to present our RFQ response to become the Internal Audit Tool for WVDOT. If you have any questions, please do not hesitate to contact me as your account executive.

\*Per Section 21 of your instruction to vendors, if awarded and you are going to publish our proposal to a public website, we are more than happy to provide a redacted version.

Yours sincerely,

Sean Mergenthal  
Account Executive  
smergenthal@auditboard.com  
856.381.7892



# TABLE OF CONTENTS

|                         |       |
|-------------------------|-------|
| Executive Summary       | 4     |
| AuditBoard & WV DOT     | 5-10  |
| Account Management Team | 11    |
| Staffing Strategy       | 12    |
| Appendices              | 13-16 |

Per your request, the following documents have also been filled out and returned to you:

- CRFQ DOT23\_145 Addendum 01
- CRFQ DOT23\_145 Exhibit A Pricing Page Auditing SaaS RFQ
- CRFQ DOT23\_145 General Terms and Conditions
- CRFQ DOT23\_145 Software as a Service Addendum
- CRFQ DOT23\_145 Specifications (doc)
- Final CRFQ\_0803\_DOT2300000145\_2\_WV\_CRFQ\_FORM

This document contains proprietary and confidential information for the intended user only. The information contained in this document is AuditBoard, Inc. proprietary and confidential commercial or financial information that is exempt from disclosure. The information contained within this document may not be disclosed to third parties without prior written consent from AuditBoard and should not be duplicated, used or disclosed for any purpose other than the originally intended purpose. By accessing and utilizing this information, you acknowledge the confidential nature of the information.

# Executive Summary

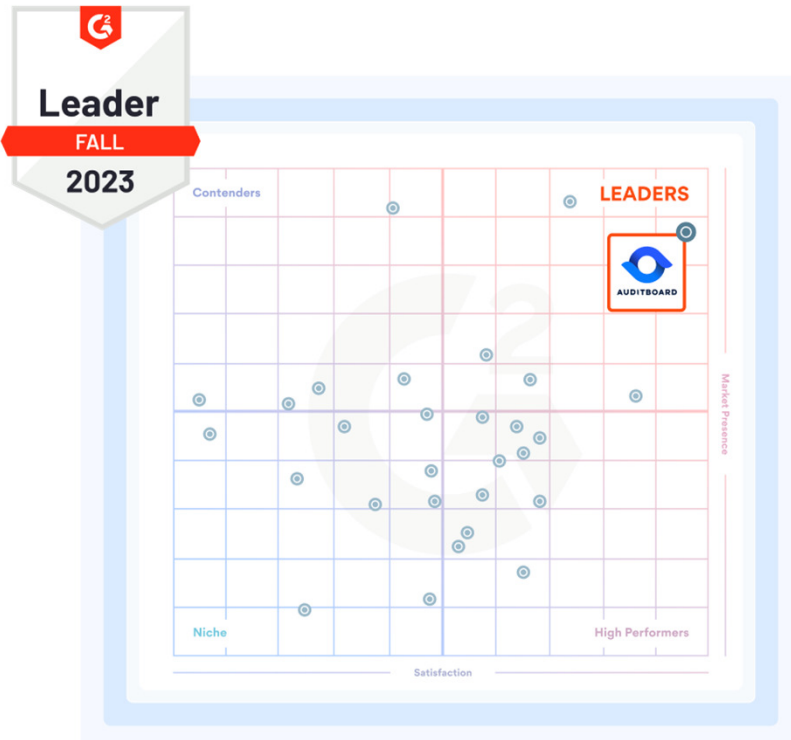
Designed by industry professionals, AuditBoard's top-rated audit, risk, and compliance platform unlocks your team's potential and elevates strategic value.

Whether you are looking to simplify your SOX program, streamline internal audit, centralize risk management, or unify compliance management. AuditBoard provides the connectivity, efficiency, and flexibility you need to deliver on today's goals and tomorrow's vision.

We have thousands of audit, risk, and compliance professionals on our platform daily, from companies that went through the IPO process like TrueCar and TradeDesk to Fortune 500 companies including Walmart, Apple, and Intel. What these companies have in common is that they selected AuditBoard after exhaustive evaluation processes and extensive hands-on solution testing. AuditBoard is the top-rated GRC and audit management software on Gartner Peer Insights, G2.com, Capterra, and was recently ranked for the second year in a row as one of the 100 fastest-growing technology companies in North America by Deloitte.

# AuditBoard Facts

Software comparison websites including G2, Gartner Peer Insights, and Capterra provide detailed reviews of AuditBoard by verified product users.



## Audit Management Leader

AuditBoard User Ratings ★★★★★



**Ease of Use**  
GRC Platforms Average: 8.5



**Quality of Support**  
GRC Platforms Average: 9.0



**Ease of Setup**  
GRC Platforms Average: 8.2

# AuditBoard Facts

# 500<sup>TM</sup>

Technology **Fast 500**  
2022 NORTH AMERICA  
**Deloitte.**

## Deloitte's Technology | Fast 500 Ranking

AuditBoard was recently ranked for the third year in a row as one of the 100 fastest-growing technology companies in North America by Deloitte.

# 6

## Companies from Fortune Top 10

Six of the Fortune Top 10 companies use AuditBoard to automate and streamline their audit department operations.

# 35%

## Companies from Fortune Top 1000

30% of the Fortune Top 100 and Fortune 1000 companies use AuditBoard.

# 1800<sup>+</sup>

## Companies that Use AuditBoard

The AuditBoard Platform is used by audit, risk, and compliance teams at over 1800+ companies.

# 1M<sup>+</sup>

## Saved hours in 2022

AuditBoard clients collectively saved more than a million man hours in 2022.

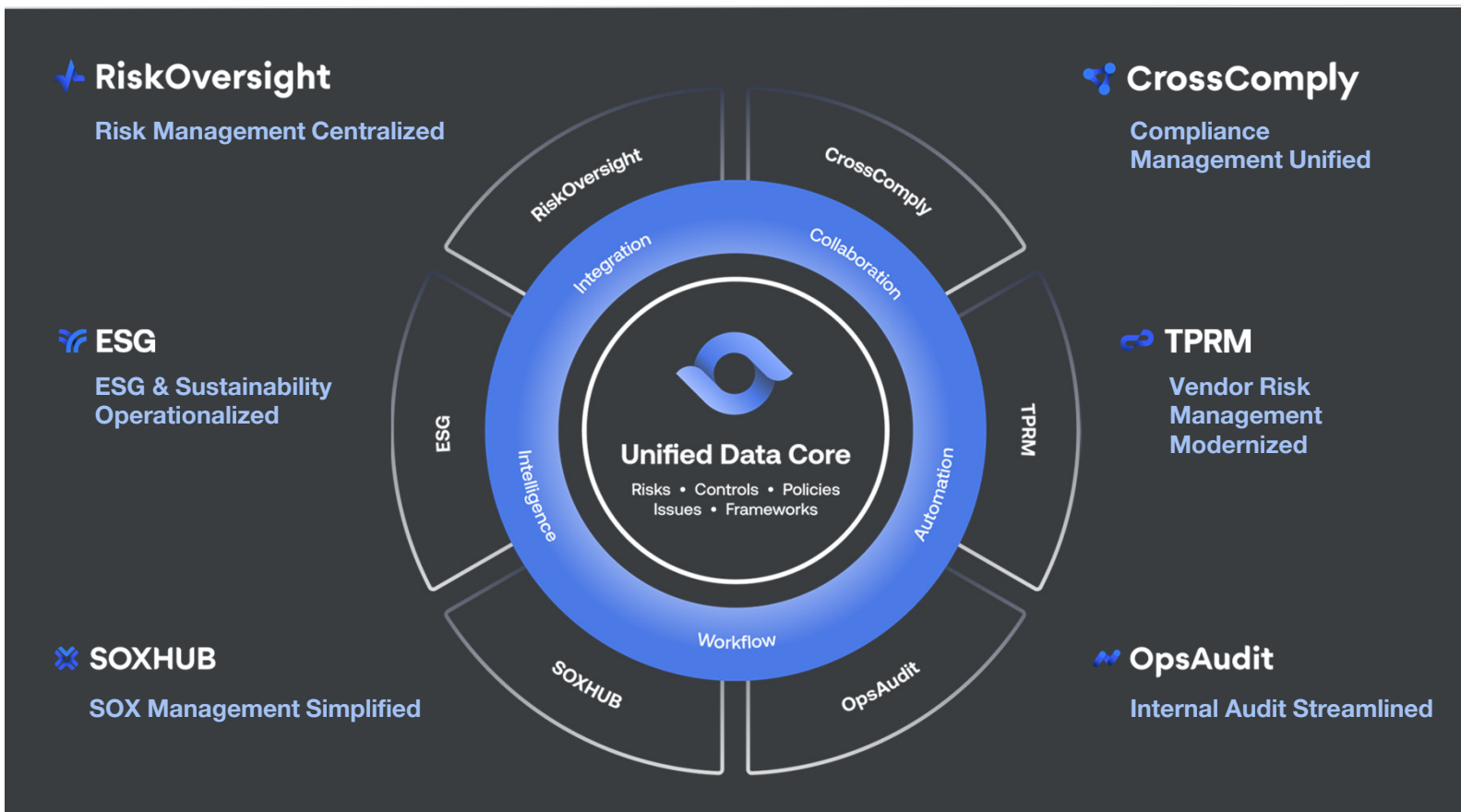
# 98%

## Renewal Retention

98% renewal retention among among AuditBoard clients.


# The Modern Connected Risk Platform


- Free up teams to focus on the risks that matter
- Break down silos & embed risk awareness into the front lines
- Assess risk/value with more clarity and continuously recalibrate



AuditBoard’s top-rated connected risk platform unlocks your team’s potential and helps you deliver more strategic value. Whether you are looking to simplify your SOX program, streamline internal audit, unify compliance management, or centralize risk management, AuditBoard provides the connectivity, efficiency, and flexibility you need to deliver on today’s goals and tomorrow’s vision.

**I#5 - Airfare Bookings - Days in Advance** Open

 **TESTER**  
 Andrew Johnson

 **REMIEDIATION OWNER**  
 Barry Byrd

---

**Identified By**  
 Internal Audit

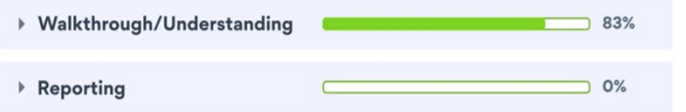
**Identified Date**  
 2022-09-30

**Issue Description**  
 Employee flights booked less than 7 days in advance, costing company approx \$244k (based on average ticket prices).

**Issue Severity**  
 Medium

- ▶ **Planning**
- ▼ **Fieldwork**

|                                      |  |                                       |            |   |   |   |   |  |
|--------------------------------------|--|---------------------------------------|------------|---|---|---|---|--|
| <span style="color: red;">▲</span> 1 | <span style="border: 1px solid red; border-radius: 50%; padding: 2px;">R1</span> | Real-time, online data for instant... | 2022-10-12 | P | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">JI</span> | R | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">SS</span> | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">2</span> |
| <span style="color: red;">▲</span> 1 | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">0</span> | Duplicate Checks                      | 2022-09-15 | P | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">JI</span> | R | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">SS</span> | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">1</span> |
|                                      | <span style="color: green;">✔</span>   | User Access and Authorizations        | 2022-08-01 | P | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">JI</span> | R | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">SS</span> | <span style="border: 1px solid gray; border-radius: 50%; padding: 2px;">6</span> |



## OpsAudit

### Internal Audit Transformed

- **Gain real-time visibility** into audit activities and findings. Automate audit committee reporting.
- **Add value** at every stage of the internal audit process from audit planning to fieldwork, testing, and reporting.
- **Centralize** documentation, audit procedures, evidence, findings, and prior year work.

# Account Management Team

## Your AuditBoard Team

The AuditBoard Team working on your account will have a high level of internal and external audit experience and can speak your language when it comes to understanding your environment's business requirements. This is true across our business development, product, and customer implementation and success teams.



### **SEAN MERGENTHAL** | Account Executive, Enterprise

- Over 10+ Years of Internal Audit, SOX, and Risk experience
- PwC and EY
- CISA



### **CHRIS KANE** | Product Solutions Manager

- 6+ years of SOX and External Audit experience
- Former PwC Manager
- Certified Public Accountant (CPA)

# Staffing Strategy

## Your Customer Success Team

### Fast Implementation

With the fastest implementation process in the industry, get up and running in just a couple of months.

### Experienced Onboarding and Customer Success Teams

The entire AuditBoard team is based in the United States. The Customer Success and Onboarding Teams working on your account bring a high level of SOX and audit knowledge, averaging 10+ years of professional experience. We speak your language when it comes to understanding your obstacles and unique business requirements. The below team members are a representation of the caliber of team leads who will be staffed on the implementation project for WVDOT.

We anticipate the implementation team for WVDOT to be comprised of three (3) individuals, in addition to the team lead, who will work on the implementation and training for a period of six full-time weeks, considering all offerings in scope and the timing required by WVDOT.

### Let Us Do the Heavy Lifting

Implementing a software solution does not have to disrupt your current operations. Our experienced onboarding team will perform most of the software set up - all we need from you is your current testing documentation, testing templates, reports, and a couple hours each week for a status update call.



#### **CHRIS ROTANTE** | Director of Implementation

- Background in finance & accounting
- 6+ years Big 4 experience including both KPMG & PwC
- Specialized in SOX IT audit, internal audits, SOX reviews, cybersecurity reviews, & BCP/DR



#### **ANNA FRY** | Director of Implementation & COE

- 10 Years+ of SOX & Internal Audit Experience
- Experience includes SOX, Internal Audits, Enterprise Risk, and Compliance at KPMG
- High level of expertise in SOX and operational audits



#### **EMMA KONG** | Director of Implementation

- 8+ Years of Internal and External Audit experience
- 4 years of system implementations experience
- Onboarded 100+ OpsAudit customers including top Fortune 500 companies



# Appendix A | **Technology & Security**

## Technology & Security



AuditBoard was built by industry experts. It's our shared mission to improve your organization's risk and compliance posture. That's why we design our products with industry leading security practices and multiple layers of security controls that ensure security, confidentiality, integrity and availability for our customers and their data.

- Industry leading secure cloud-based architecture
- Robust and customizable access controls
- Data encryption in transit and at rest
- Designed for performance, scalability and resilience
- Integration ready with SAML support for SSO and two-factor authentication
- Focus on industry standards and compliance

For more information about AuditBoard's technology and security, please visit [auditboard.com/technology-security](https://auditboard.com/technology-security).



Scan QR code  
to learn more.

# Appendix B

## REVIEWS

### Peer Reviews for AuditBoard:

- **G2:** <https://www.g2.com/products/auditboard/reviews>
- **Gartner:** <https://www.gartner.com/reviews/market/audit-management-solutions/vendor/auditboard/product/auditboard>
- **Capterra:** <https://www.capterra.com/p/148230/SOXHUB/>

### Summary of Similar Projects:

- Estee Lauder: <https://www.auditboard.com/blog/estee-lauder-success-story/>
- Eagle Materials: <http://go.auditboard.com/rs/961-ZQV-184/images/Case-Study-Eagle-Materials-CS.pdf>
- Additional Customer Success Stories: <https://www.auditboard.com/customer-success/>

### Customer Quotes:

#### **Emily Williams, Sr. Manager, Global Audit Services, Walmart**

“We implemented AuditBoard in 2018 and the implementation process went very smoothly. We have now been using AuditBoard for 8 months now and have had an amazing experience. Customer service continues to be responsive and quickly addresses our needs. The tool is very user friendly, and our audit team collectively agrees that it exceeds our previous tool in nearly every way.”

#### **Michael Stowers, Vice President, Internal Audit, Eagle Materials**

“Audits that would typically take us 150 hours, we were completing in 100 hours. The same went for our fieldwork: each week, we were able to put a bow on it, and it didn't carry over to the following week”

# Appendix B

## Solution Benefits of ROI

**Measurable Business Impact and Savings.** AuditBoard will fundamentally improve daily operations and increase the strategic value your department can provide to the organization. Because the AuditBoard Platform is predicated on intuitive use, rapid implementation, and providing users with solutions they can use instinctively; you'll experience significant increased efficiencies and associated cost-savings.



*"After year 1, our Department will be **saving approximately 35% a year** if every one of our 26 auditors save just 1 minute a day due to this, we've gained over 108 audit hours in a year!"*

**Courtney Sheff, Senior IA Manager**



*"Audits that would typically take us **150 hours**, we are now completing in 100 hours."*

**Michael Stowers, Vice President, Internal Audit**



*"We re-deployed **1000 hours annually** from administrative planning efforts to added value tasks and **120 hours quarterly** on completing certifications."*

**Shannon Murray, Manager, Internal Audit**



*"If we didn't have AuditBoard today, I think we'd need two more junior staff people just to manage the admin tasks — in a team of 20-25, that's **10% more**."*

**Erich Manz, Corporate Controller**



*"We used pretty conservative estimates, and found that **within the first year we recouped our investment**."*

**Andrew Ganey, Director of Internal Audit**



*"I'd estimate that just in terms of providing reconciliation information to our external auditor, implementing AuditBoard has **saved us anywhere from a half to three quarters of an FTE worth of time**."*

**Alex Chin, Director of Internal Audit**



# RFQ Response for Auditing Cloud- Hosted SaaS (Cost Proposal)

SOLICITATION NO.: CRFQ 0803 DOT2300000145

## PRESENTED TO

Larry McDonnell, Senior Buyer

\*Per Section 21 of your instruction to vendors, if awarded and you are going to publish our proposal to a public website, we are more than happy to provide a redacted version.

## SALES ADVISORY TEAM

Sean Mergenthal, Account Executive

Mike Rissmiller, Manager Product Solutions

June 28, 2023





AuditBoard, Inc.  
12900 Park Plaza Drive, Suite 200  
Cerritos, CA 90703

June 28, 2023

West Virginia Department of Transportation  
Department of Administration, Purchasing Division  
2019 Washington Street East  
Charleston, WV 25305-0130  
Attn: Larry McDonnell

RE: AuditBoard RFQ response to WVDOT

Dear Mr. McDonnell,

On behalf of AuditBoard, Inc. ("AuditBoard" or "We"), we thank you for the opportunity to propose our Auditing Cloud-Hosted SaaS to West Virginia Department of Transportation ("WVDOT" or "Client").

We understand that choosing a GRC platform to meet your Audit & Compliance needs and business requirements can be a daunting task. Features and functionality among current platforms are a given. The tipping point that positions one platform over another is the level of experience of their executive leadership, customer success, and technical teams, the ease of use of the platform, and a smooth and efficient implementation process. All of these attributes make a service provider relationship that creates tangible value.

Thank you for this opportunity to present our RFQ response to become the Internal Audit Tool for WVDOT. If you have any questions, please do not hesitate to contact me as your account executive.

\*Per Section 21 of your instruction to vendors, if awarded and you are going to publish our proposal to a public website, we are more than happy to provide a redacted version.

Yours sincerely,

Sean Mergenthal  
Account Executive  
smergenthal@auditboard.com  
856.381.7892

# TABLE OF CONTENTS

Enterprise Pricing

4-5

Per your request, the following documents have also been filled out and returned to you:

- CRFQ DOT23\_145 Addendum 01
- CRFQ DOT23\_145 Exhibit A Pricing Page Auditing SaaS RFQ
- CRFQ DOT23\_145 General Terms and Conditions
- CRFQ DOT23\_145 Software as a Service Addendum
- CRFQ DOT23\_145 Specifications (doc)
- Final CRFQ\_0803\_DOT2300000145\_2\_WV\_CRFQ\_FORM


This document contains proprietary and confidential information for the intended user only. The information contained in this document is AuditBoard, Inc. proprietary and confidential commercial or financial information that is exempt from disclosure. The information contained within this document may not be disclosed to third parties without prior written consent from AuditBoard and should not be duplicated, used or disclosed for any purpose other than the originally intended purpose. By accessing and utilizing this information, you acknowledge the confidential nature of the information.

# Solution Pricing and Services

---

## The Future of Audit, Risk, and Compliance.

Elevate your teams with the most user-centric, efficient, and collaborative platform on the market.

|   |                            |                          |
|---|----------------------------|--------------------------|
|   | <b>Plan License Metric</b> | <b>Stakeholder Users</b> |
|  <b>OpsAudit</b> | Features + Core Users      | Unlimited                |

AuditBoard’s scalable pricing is made up of an annual subscription fee and a one-time implementation fee.

- Pricing plans based on need and maturity
- Flexibility to choose the best solution or combination of solutions
- All Solutions include:
  - ◆ **Unlimited data** storage in the application
  - ◆ **Automatic updates & feature enhancements**
  - ◆ **Top-rated technical support** and response times
  - ◆ Access to **AuditBoard Academy & Support Center**
  - ◆ Access to **AuditBoard Community**



| Solution Capabilities                                  | Enterprise |
|--|------------|
| Audit Forms  | ✓          |
| Audit Project Management                               | ✓          |
| Audit Issue Management (Standard)                      | ✓          |
| Inventory / Auditable Entities                         | ✓          |
| Document Requests & Surveys                            | ✓          |
| Word-Based Audit Reports                               | ✓          |
| Timesheets   | ✓          |
| Work Step Preparer Digest                              | ✓          |
| AB Annotate  | ✓          |
| Risk Assessment Survey                                 | ✓          |
| Audit Scoping  | ✓          |
| Audit Universe Risk Assessment (Standard)              | ✓          |
| Audit Universe Risk Assessment (Custom)                | ✓          |
| Risk-Based Audit Frequencies                           | ✓          |
| Microsoft Office Add-in                                | ✓          |
| Basic Audit Planning                                   | ✓          |
| Audit Issue Management (Custom)                        | ✓          |
| Audit Planning   | ✓          |
| Resource Planning                                      | ✓          |
| File & Workpaper Approval                              | ✓          |
| Platform Capabilities                                  | Enterprise |
| AuditBoard Intelligence (ABI Dashboards)               | ✓          |
| Reports Module   | ✓          |
| WorkStream (Standard)                                  | ✓          |
| Integrations - Standard                                | ✓          |
| Rest API   | ✓          |
| Required Fields  | ✓          |
| Reports API  | ✓          |
| WorkStream (Custom)                                    | ✓          |
| WorkStream Recurrence                                  | ✓          |
| WorkStream Conditional Questions                       | ✓          |
| Integrations - Project Management                      | ✓          |
| Integrations - SSO Pack                                | ✓          |
| Integrations - Testing Automation                      | ✓          |
| Integrations - Analytics Database Access               | ✓          |
| Integrations - Continuous Monitoring                   | ✓          |
| Integrations - Automated Evidence Collection           | ✓          |
| Automated User Provisioning (SCIM API)                 | ✓          |
| Sandbox  | ✓          |
| Pricing and Usage                                      | Enterprise |
| Annual Subscription Fee (starting at)                  | \$119,000  |
| Core Users   | 15         |
| Number of Audits                                       | 1,500      |
| Included Integration Workflows (Automation)            | 100        |
| Included Integration Monitors (Automation)             | 50         |
| Price per additional Core User (Upon Signing Contract) | \$4,500    |
| Stakeholders   | Unlimited  |
| Implementation   | Enterprise |
| One-time Implementation Fee - Standard                 | \$50,000   |

\*\* New Enterprise plan subscribers only (not those upgrading to a higher tier): 4 hours of virtual instructor-led training included.