RFP 22-68200 Clarification

Instructions: *Please provide responses to the clarification question(s)/prompt(s) below. Information provided in the clarification responses will be considered as part of the respondent's proposal. Where appropriate, supporting documentation may be referenced by specific page and/or paragraph number(s). If any of the responses contain confidential information, as defined by IC 5-14-3, please reference the attached confidential material and separate from the rest of this response document. Otherwise, a redacted version of this clarification document will need to be submitted.*

RESPONDENT: Deloitte
DUE DATE: September 2, 2021 BY 3:00 PM EDT

Section/Topic	Clarification Question	Respondent Response
2.4.1.1	Within the response, the Respondent indicates it is compatible with Microsoft products such as Word, Excel, and PowerPoint. Please confirm they are compatible with all Microsoft products. Specifically, confirm they are compatible with Visio.	The Workiva Platform is an end-to-end solution for Audit Management and Internal Controls Management, meaning best practice is to use the Workiva Platform for all audit and internal controls related activities, communication, documentation, processes, storage, and workflows. The Workiva Platform functions as the DOR's new system of work, replacing Microsoft Office (MO) products. In reference to specific MO compatibility, the DOR can: • Export Workiva files in the following MO file formats: .csv, .docx, .htm, .pdf, .pptx, .xhtml, .xlsx; and, • Import the following MO files formats into Workiva: .csv, .docx, .pptx, .xlsx. In reference to specific Visio compatibility, the Workiva Platform's presentation-editor and associated features and functions replace the use of Visio. The implementation team imports and converts Visio files provided by the DOR into Workiva's presentation-editor. The DOR uses the presentation-editor to build future flowcharts or edit current flowcharts, as needed. The importing and exporting of Visio files is not available to the DOR, and the DOR cannot export presentation-editor files in Visio format. Using Workiva's presentation-editor enables the DOR to link information between the risk control matrix, flowcharts and testing, and the DOR can upload Visio file types (i.e., .vsdx) as attachments whether for evidence or for storage and retention purposes. Lastly, the Workiva Platform supports the upload of an extensive list of file types as attachments (e.g., for evidence, for storage and retention purposes, etc.,) including but not limited to the following: accdb, .accde, .accdr, .accdt, .arf, .bmp, .cgm, .css, .csv, .dfb, .dfx, .dif, .doc, .docm, .docx, .dot, .dotm, .dotx, .egp, .emf, .eml, .eps, .gif, .hwp, .icml, .ics, .jpe, .jpeg, .jpg, .jtd, .jtt, .lis, .log, .lst, .met, .mht, .mml, .mp4, .msg, .mwv, .odg, .odm, .odp, .ods, .odt, .one, .onetoc2, .oth, .otg, .ott, .pct, .pcx, .pdb, .pbm, .pdf, .pgm, .pictclipping, .pfx, .plt, .png, .pot, .potm, .potx, .ppa, .ppam, .ppm, .pps, .ppsm, .ppsx, .ppt, .pptm, .pptx, .prn, .psd, .psw, .pxl, .ras, .rtf, .rtp, .sda, .sdc, .sdd, .sdp, .sdw, .sgf, .sgv, .sgl, .sld, .slk, .smf, .sql, .stc, .sti, .stw, .svg, .svm, .sxc, .sxg, .sxi, .sxm, .sxw, .tga, .tif, .tiff, .txt, .uof, .uop, .uos, .uot, .vdw, .vor, .vsd, .vsdm, .vsdx, .vss, .vssm, .vssx, .vst, .vstm, .vstx, .wb2, .wdesk, .wks, .wk1, .wmf, .wmv, .wpd, .wps, .xbm, .xla, .xlam, .xls, .xlsb, .xlsm, .xlsx, .xlt, .xltm, .xltx, .xlw, .xpm, .xps, .xsd, .123, .602.
2.4.1.5	Respondent's response regarding scheduling, review, reminders, etc. seemed to dwell on the audit side. Please confirm the same is true for the internal control side.	Yes, the Workiva Platform offers the same value-add features and functions related to scheduling, review and approval workflow, and automated reminders in the Internal Controls Management solution.

2.4.3.5	Is the FedRAMP Moderate cloud for government? If not, are there plans to have access to GCC? When?	Workiva uses the AWS East/West and Google Cloud Platform (GCP). These AWS and GCP environments are FedRAMP authorized at the moderate level. In addition, the Workiva Platform is FedRAMP authorized at the moderate level and authorized to operate by the Department of Justice, Department of Energy, Department of Housing and Urban Development, General Services Administration, National Science Foundation, and Tennessee Valley Authority. At this time, there are no plans to deploy to Microsoft cloud environments or AWS GovCloud.
2.4.3.6	Due to requirements from the IRS, we are required to respond to security incidents within 24 hours. Workiva's incident metric is 48 hours. There is no wiggle room. Can Workiva commit to a 24 hour response time?	Workiva can commit to a 24-hour response time.
General Question 1	How does the Respondent ensure functionality between its product and Office 365 with regard to patches? How does it ensure it is still compatible and in sync with Office 365?	Workiva does not control nor have any responsibility for patches or functionality updates to Microsoft products. The integration with Office 365 simply provides users with the option to review and modify key supporting documentation in Office 365 via a link in the Workiva Platform. The link takes users to the Office 365 environment where they can log in with their username and password, and update spreadsheets and word documents as necessary. The updates are saved accordingly, and as long as there is internet access. It is the DOR's license with Microsoft that gives DOR users access to the Office 365 environment. Any issues the DOR experiences in the Office 365 environment should be directed to Microsoft.
General Question 2	Please provide a copy of Respondent's Disaster Recovery and Business Continuity plans.	We can provide the Business Continuity and Disaster Recovery Executive Summary and Business Continuity and Disaster Recovery Testing Results. Both are included in the Security Pack that Workiva sent in March 2021. These documents require an NDA be signed and returned.

General Question 3	What is the change release management cycle for updates and enhancements?	Workiva Platform updates and enhancements are released regularly (e.g., daily, weekly). Workiva uses an Agile SDLC methodology so there are no maintenance windows with the application. Workiva pushes minor releases to the platform as needed. Updates to Workiva's Platform are released into production by Release Management and Operations Engineering on a regular basis as work is completed. A proprietary, automated system checks that any code is accepted into the master code repository; has received all required unit and integration tests, code reviews, and security reviews. Members of Product Development, Information Technology, Quality Assurance, and InfoSec with knowledge and training in software and IT security form a committee to review code which is responsible for application security and data integrity.
General Question 4	Please provide a copy of Respondent's System Security Plan.	We can provide a copy of the System Security Plan (SSP). It requires an NDA be signed and returned. The SSP was sent to Philip Dimon, John Hightower, and Cameron Loepker on March 2, 2021.
General Question 5	Please clarify who occupies the Administrator role? Is it a Respondent resource or DOR resource? If a DOR resource, will there be training for that person?	DOR would act as the Administrators of the DOR Workiva Platform instances (i.e., Audit Management, Internal Controls Management). During implementation, Deloitte provides organization and workspace roles training while Workiva's Support Team provides on-going help in addition to the standard 24x7 support line.
General Question 6	How much storage is being provided by the Respondent?	The Workiva Platform is designed to handle significant growth in an elastic manner, leveraging Google and Amazon's cloud services. There is no specific storage limit. This capability means the DOR has a highly scalable tool to support large-scale, complex data and files.
General Question 7	What does initial data load look like? What is the Respondent expecting from DOR?	The initial data load and getting start begins with DOR providing the respondent with copies of all in-scope documents in native file formats (e.g. .docx / .xlsx / .pptx). As well as all in-scope data sources and sample output files.

General Question 8	Please provide Word, Excel, or proprietary "work papers" which show an example of the audit trail detail provided. The expectation is the ability to see each and every change down to the cell or "track changes" level which shows time, identity, and the nature of what was changed, and how it appeared before the change. An example of a business need might be a process narrative or Excel spreadsheet is accessed and changed by several people; the final reviewer may wish to view each and every change to the document, performed by who and when. If the Respondent solution's audit capability exists at this level, please provide relevant examples.	Please refer to the Respondent Response and supporting images on the following page.