

## 24-75439 BUSINESS PROPOSAL ATTACHMENT E

**Instructions:** Please provide answers in the shaded areas to all questions. Reference all attachments in the shaded area.

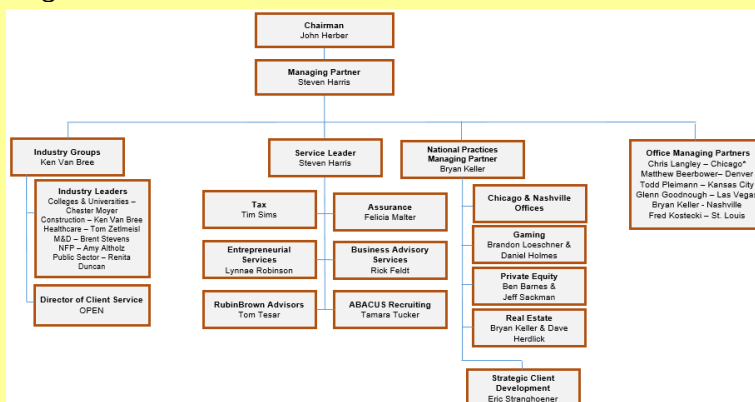
### Business Proposal

**2.3.1 General (optional)** - Please introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFP.

RubinBrown brings you an engagement team with over 50 years of experience performing security and risk assessments for organizations in highly regulated environments - including audits and assessments for gaming, sports gaming and lottery organizations. The proposed engagement team has experience as assessors, auditors, consultants, and operational support. This experience and their perspectives bring the Lottery an understanding of the comfort needed regarding the integrity of the lottery games and draws. This experience helps RubinBrown deliver an enhanced, risk-adjusted security audit approach with practical improvement solutions.

**2.3.2 Respondent's Company Structure** - Please include in this section the legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization. If the organization includes more than one (1) product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization. Please enter your response below and indicate if any attachments are included.

RubinBrown is a Limited Liability Partnership with more than 120 partners. All partners are disclosed at <https://www.rubinbrown.com/About-Us/management-team.aspx>. RubinBrown was founded in Missouri in 1952. RubinBrown has been providing professional services to individuals, businesses, governmental entities and not-for-profit organizations for more than 70 years. During that time, the firm has grown to be one of the largest firms in the nation. INSIDE Public Accounting lists RubinBrown as the 39th largest firm in the United States.



**2.3.3 Respondent's Diversity, Equity and Inclusion Information** - With the Cabinet appointment of a Chief Equity, Inclusion and Opportunity Officer, on February 1, 2021, the State of Indiana sought to highlight the importance of this issue to the state. Please share leadership plans or efforts to measure and prioritize diversity, equity, and inclusion. Also, what is the demographic compositions of Respondents' Executive Staff and Board Members, if applicable.

RubinBrown has a written diversity policy that speaks to providing equal opportunities to all team members. We celebrate individual differences, life experiences, knowledge, inventiveness, innovation, self-expression, unique capabilities and talent of our team members. We embrace and encourage our team member's differences in race or color, sex, gender identity or expression, sexual orientation, ethnicity, language, genetic information, family or marital status, religion, national origin, age, disability (with or without reasonable accommodation), veteran status, and any other characteristics that make our team members unique.

Approximately 21% of our executive/sr. officials and managers are women, minorities, or persons with disabilities. In addition, firm-wide 46% of our team members are women and 13% of our total team are racial minorities.

**2.3.4 Company Financial Information** - This section must include documents to demonstrate the Respondent's financial stability. Examples of acceptable documents include most recent Dunn & Bradstreet Business Report (preferred) or audited financial statements for the two (2) most recently completed fiscal years. If neither of these can be provided, explain why, and include an income statement and balance sheet, for each of the two most recently completed fiscal years.

If the documents being provided by the Respondent are those of a parent or holding company, additional information should be provided for the entity/organization directly responding to this RFP. That additional information **should explain the business relationship between the entities and demonstrate the financial stability of the entity/organization which is directly responding to this RFP.**

RubinBrown's policy prohibits the submission of confidential financial information. However, the firm is in strong financial condition and well-capitalized. If necessary, our CFO and Controller are happy to discuss this with you via phone conversation. INSIDE Public Accounting lists RubinBrown as the 39<sup>th</sup> largest firm in the United States. RubinBrown's annual revenues are more than \$160 million. We are 100% Partner-financed and have no external long-term debt. We have included the current Dunn & Bradstreet Business Report at the end of this Business proposal.

**2.3.5 Integrity of Company Structure and Financial Reporting** - This section must include a statement indicating that the CEO and/or CFO, of the responding entity/organization, has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board

members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The CFO can attest that the financial information provided was ordered from Dunn & Bradstreet. We are a Partnership, not a Corporation and make the following assertions on our control environment:

- The firm participates in the AICPA peer review program. Our last peer review opinion was favorable
- The Finance Committee oversees and manages the financial management department. The lead of the committee is a non-board member, and the Finance Committee reports to the Board
- The Firm has a Risk Management Committee that also reports to the board and monitors a variety of current and potential risks
- Internal control reviews are periodically performed by the firm's consulting department

### **2.3.6 Contract Terms/Clauses - Please provide the requested information in RFP Section 2.3.6.**

Upon selection as the successful bidder, certain terms and conditions as referenced in the RFP will require negotiation to comply with accounting professional standards, insurance carrier requirements and/or RubinBrown policies. RubinBrown has successfully resolved similar agreements with government entities and RubinBrown is confident the parties will successfully resolve all matters. RubinBrown sincerely appreciates the Lottery's consideration and understanding.

RubinBrown looks forward to working with the Lottery on this engagement. The following are specific areas we believe will require some modification:

- Section 4. Access to Records. We request a minor change for our standard record and email retention language.
- Section 12. Confidentiality of State Information. Language addressing subpoenas needs to be added.
- Section 19. Employment Option. This item is N/A for this contract, we request striking the item.
- Section 24. Indemnification. We request changes to remove the obligation to "defend"; add language limiting indemnity to actual losses, not mere claims; add triggering event language (a finding of fault on our party by a third-party adjudicator); and add an indemnity cap.
- Section 28. Insurance, Subsection B:
  - Subsection 3. We request modification to limit this clause similar to indemnification.
  - Subsection 5. Our insurance carriers only allow subrogation on certain policies.
- Section 36. Ownership of Documents and Materials. We request a minor change to address our work paper retention requirements.
- Section 46. Termination for Default.
  - Subsection B. Request add "commercially reasonable" before "excess costs".
- Section 48. Waiver of Rights. Request a reasonable limitation of liability (e.g., fees billed).

**2.3.7 References** - Reference information is captured on **Attachment H** Respondent should complete the reference information portion of the **Attachment H** which includes the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information if the State elects to do so. The rest of **Attachment H** should be completed by the reference and **emailed DIRECTLY** to the State. The State should receive **three (3) Attachment Hs** from clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP. **Attachment H** should be submitted to [idoareferences@idoa.in.gov](mailto:idoareferences@idoa.in.gov). **Attachment H** should be submitted no more than ten (10) business days after the proposal submission due date listed in Section 1.24 of the RFP. Please provide the customer information for each reference.

<b>Customer 1</b>	
Legal Name of Company or Governmental Entity	Colorado Statewide Portal Authority
Company Mailing Address	1300 Broadway, Suite 440
Company City, State, Zip	Denver, CO 80203
Company Website Address	<a href="http://Sipa.colorado.gov">Sipa.colorado.gov</a>
Contact Person	Mr. Jerrod Roth
Contact Title	Chief Technology Officer
Company Telephone Number	720.409.5632
Company Fax Number	
Contact E-mail	<a href="mailto:jerrod@cosipa.gov">jerrod@cosipa.gov</a>
Industry of Company	Government (State of Colorado)
<b>Customer 2</b>	
Legal Name of Company or Governmental Entity	Gilpin County
Company Mailing Address	2960 Dory Hill Road
Company City, State, Zip	Black Hawk, CO 80422
Company Website Address	<a href="http://www.gilpincounty.org">www.gilpincounty.org</a>
Contact Person	Mr. Nathan Whittington
Contact Title	Director of Emergency Management
Company Telephone Number	303.515.4320
Company Fax Number	
Contact E-mail	<a href="mailto:nwhittington@gilpincounty.org">nwhittington@gilpincounty.org</a>
Industry of Company	Government
<b>Customer 3</b>	
Legal Name of Company or Governmental Entity	Pollard Banknote Limited
Company Mailing Address	140 Otter Street
Company City, State, Zip	Winnipeg, Manitoba, Canada R3T 0M8
Company Website Address	<a href="https://www.pollardbanknote.com">https://www.pollardbanknote.com</a>

Contact Person	May Sheve-Reardon
Contact Title	Vice President of Government Relations
Company Telephone Number	204.474.2323
Company Fax Number	
Contact E-mail	<a href="mailto:mreardon@pbl.ca">mreardon@pbl.ca</a>
Industry of Company	Lottery, Vendor Supplier
<b>Customer 4</b>	
Legal Name of Company or Governmental Entity	Colorado North Central All-Hazards Region
Company Mailing Address	13101 E. Broncos Pkwy
Company City, State, Zip	Centennial, CO 80112
Company Website Address	<a href="http://ncrcolorado.org">ncrcolorado.org</a>
Contact Person	Scott Kellar
Contact Title	Homeland Security Coordinator
Company Telephone Number	303.768.8732
Company Fax Number	
Contact E-mail	<a href="mailto:skellar@arapahoe.gov.com">skellar@arapahoe.gov.com</a>
Industry of Company	Public Sector

**2.3.8 Registration to do Business** – Per RFP 2.3.8, Respondents providing the products and/or services required by this RFP must be registered to do business by the Indiana Secretary of State. The Secretary of State contact information may be found in Section 1.18 of the RFP. This process must be concluded prior to contract negotiations with the State. It is the successful Respondent’s responsibility to complete the required registration with the Secretary of State. Please indicate the status of registration, if applicable. Please clearly state if you are registered and if not provide an explanation.

RubinBrown practices in the State of Indiana under our business license C0363F. The firm is properly licensed in the State of Missouri and in good standing with the Missouri State Board of Accountancy and will continue to be in good standing throughout the duration of the contract. You can find copies of our license and certificate of good standing in the appendix of this proposal.

**2.3.9 Authorizing Document** - Respondent personnel signing the Executive Summary of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement. Please enter your response below and indicate if any attachments are included.

RubinBrown partners are authorized to represent the firm, empowered to submit the bid, and authorized to sign a contract with the Lottery. For this specific proposal and contract, Rob Rudloff is authorized to represent the firm.

**2.3.10 Subcontractors** - The Respondent is responsible for the performance of any obligations that may result from this RFP and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Per instructions in **Attachment J**, either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered by the Respondent must be in compliance with all State statutes and will be subject to the provisions thereof. For each portion of the proposed products and services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address, and the state in which formed that are proposed to be used in providing the required products and/or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority Business Enterprise, Women's Business Enterprise, or Veteran Owned Business under IC 4-13-16.5-1 and IC 5-22-14-3.5. See Sections 1.21, 1.22 and **Attachments A/A1** for Minority, Women, and Veteran Business information.

IVOSB entities (whether a prime or subcontractor) must have a Bidder ID. If registered with IDOA, this should have already been provided (as with MWBEs). IVOSBs that are only registered with the Federal Center for Veterans Business Enterprise will need to ensure that they also have a Bidder ID provided by IDOA (please see section 2.3.7 for details).

RubinBrown will be the prime contractor for this engagement. We will be supported by Axon Advisors (WBE), Moore Accounting (MBE), and Bravia (veteran).

Axon Advisors, LLC , Bidder No:0000045100

333 N. Alabama Street, Suite 350, Indianapolis, IN 46204

Subcontractor responsibilities: Axon Advisors will provide project management, meeting coordination, and weekly update meetings throughout the project.

Subcontractor fees: \$8,7500

Form of organization: Limited Liability Company (LLC)

Appropriate supporting documents are provided in Attachment A

Moore Accounting, LLC, Bidder No.: 0000027663

9465 Counselors Row, Suite 200, Indianapolis, IN 46240

Subcontractor responsibilities: Moore Accounting will observe drawings and perform the Business Continuity Plan review.

Subcontractor fees: \$6,300

Form of organization: Limited Liability Company (LLC)

Appropriate supporting documents are provided in Attachment A

Bravia Services, Bidder No.: 0000061704

9465 Counselors Row, Suite 200, Indianapolis, IN 46240

Subcontractor responsibilities: Bravia Services will perform the physical security assessment.

Subcontractor fees: \$4,200

Form of organization: Limited Liability Company (LLC)

Appropriate supporting documents are provided in Attachment A

**2.3.11 Evidence of Financial Responsibility – [Removed at the request of the agency].**

**2.3.12 General Information** - Each Respondent must enter your company's general information including contact information.

<b>Business Information</b>	
Legal Name of Company	RubinBrown LLP
Contact Name	Robert Rudloff, CISSP, CISA, QSA
Contact Title	Partner, Cyber Security Services
Contact E-mail Address	<a href="mailto:Rob.rudloff@rubinbrown.com">Rob.rudloff@rubinbrown.com</a>
Company Mailing Address	7676 Forsyth Blvd., Suite 2100
Company City, State, Zip	St. Louis, MO 63105
Company Telephone Number	314.290.3300
Company Fax Number	314.290.3400
Company Website Address	<a href="http://www.rubinbrown.com">www.rubinbrown.com</a>
Federal Tax Identification Number (FTIN)	43-0765316
Number of Employees (company)	750+
Years of Experience	Established 1952 (70 years)
Number of U.S. Offices	7
Year Indiana Office Established (if applicable)	N/A
Parent Company (if applicable)	N/A
Revenues (\$MM, previous year)	\$160 million
Revenues (\$MM, 2 years prior)	\$145 million
% Of Revenue from Indiana customers	\$700,000

- a. Does your Company have a formal disaster recovery plan? Please provide a yes/no response. If no, please provide an explanation of any alternative solution your company has to offer. If yes, please note and include as an attachment.

Yes.

RubinBrown has processes and plans in place designed to minimize downtime in the event of a disaster, however, we have yet to experience such an event. We are confident, given the nature of our business and accompanied with our plans and processes, that in the event of a disaster, RubinBrown will promptly stabilize and recover. The data we collect from clients for our projects, as well as the workpapers and reports with retention requirements are stored in secure solutions with appropriate disaster recovery plans.

Our Chief Information Officer is happy to meet with you and review our disaster recovery plans, but due to sensitive information contained in our plan, we will not release it as part of a proposal. RubinBrown's Chief Information Officer prepares an annual "RubinBrown IT Security and Risk Overview". The file is confidential, but we can share the document upon request. The Overview is used as a high level overview to supplement our official SOC 2 report.



**b. What is your company's technology and process for securing any State information that is maintained within your company?**

Technology is utilized throughout the engagement to improve efficiency and coordination between our team and yours. Our procedures and documentation are contained in a nearly paperless format. This approach allows our engagement team to conduct the assessment in an efficient manner and provides for greater accessibility to relevant data and supporting documentation.

To ensure seamless coordination with your team, we will use a communication portal to share information between teams. We understand the number of individuals on both sides that will be requesting and providing documentation and want to have one central location where this information can be accessed, tracked and coordinated. Not only will this provide a secure information exchange method, our clients tell us that it reduces duplicate requests of data because messages/documents are not residing in only one person's in-box and are commonly accessible to all members of both the assessor and assessed teams (subject to access controls that you define).

Our document storage and transmission systems encrypt data at rest and data in transit. We can adapt to your systems if preferred.

Our goal is to work with you to clearly set documentation expectations at the beginning of the project and to meet timeline requests for having information documented, reviewed, approved and loaded in the database. A demo is available upon request.

RubinBrown's Chief Information Officer prepares an annual "RubinBrown IT Security and Risk Overview". The file is confidential, but we can share the document upon request. The Overview is used as a high level overview to supplement our official SOC 2 report.

**2.3.13 Experience Serving State Governments - Please provide a brief description of your company's experience in serving state governments and/or quasi-governmental accounts.**

RubinBrown is a recognized leader in providing services to public sector, gaming, and lottery organizations. To better serve our clients in these industries, we have dedicated industry groups for public sector and gaming. Currently, RubinBrown serves over 150 public sector clients.

As a testament to our commitment to quality, RubinBrown is proud to be an original member of the AICPA Governmental Audit Quality Center (GAQC). GAQC is a firm-based voluntary membership Center designed to help CPAs meet the challenges of performing quality audits in the unique and complex public sector industry. The primary purpose of the Center is to promote the importance of quality governmental audits and the value of such audits to purchasers of governmental audit services. Our participation in such organizations as the Governmental Audit Quality Center helps keep us abreast of issues and trends affecting governmental organizations.

**2.3.14 Experience Serving Similar Clients** - Please describe your company's experience in serving customers of a similar size to the State with similar scope. Please provide specific clients and detailed examples.

State Lottery Organization(s) – multiple projects and services. RubinBrown provides financial and compliance audit services to several state lottery organizations. The engagements are customized to the entity and range from financial audits, to agreed-upon-procedures, evaluation of lottery technology, information systems reviews, and remote access control reviews. We have performed cyber security assessments customized to a multi-state lottery organization to assist in improving the organizations security processes, infrastructure, and posture. Specific clients include the Kansas Lottery, Illinois Gaming Board, and the Multi-State Lottery Association (MUSL). Cyber Compliance Projects – RubinBrown is actively executing projects in cyber compliance ranging from the NIST CSF, to Cybersecurity Maturity Model Certification (CMMC) readiness assessments, HIPAA/HITECH security risk assessments for healthcare, Payment Card Industry Data Security Standard (PCI DSS) assessments, and ISO readiness including 27001, 24043, and 28000. These projects are primarily for mid-size organizations, but clients range in size from less than 50 employees to several thousand employees. Specific clients include US Radiology Specialists, El Paso County (Colorado), The Korte Company, Kingland Systems, and Colorado Statewide Internet Portal Authority (CO SIPA).

**2.3.15 Payment** - Please provide the requested information in RFP Section 2.3.15.

RubinBrown has several different payment methods available to our clients including check, wire, ACH, and credit card. We will accept credit payments from the Lottery if the Lottery chooses that payment method. Details of each payment method are included on each of our invoices for clients to determine the best method of payment.