

**RFP 24-75439  
TECHNICAL PROPOSAL  
ATTACHMENT F**

**Instructions: Please supply all requested information in the areas shaded yellow and indicate any attachments that have been included to support your responses.**

**2.4.1 General Requirements and Definitions**

- 2.4.1.1 Please list any additional terms and definitions used by your company or industry that you would like the State to consider incorporating in the contract. The State will not accept terms and definitions introduced after award during contract finalization and implementation.

**None**

- 2.4.1.2 Please confirm you have carefully reviewed all requirements listed in RFP Section 1.4. Should your company have any exceptions, substitutions, or conditions for the State's consideration, please list them below. The State will not accept exceptions, substitutions, or conditions introduced after award, during contract finalization and implementation.

**Confirmed, we do not have exceptions or substitutions to the scope as described in RFP Section 1.4.**

2.4.1.3 Please provide a brief history of your organization's experience with providing security control audit services.

**Firm Overview**

Founded 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. RubinBrown has offices located in the St. Louis, Denver, Chicago, Kansas City, Las Vegas, Nashville metropolitan areas. We are committed to supporting the long-term success of our clients and communities. Combined, RubinBrown has more than 750 team members, including more than 120 partners. This provides us with a national network of thought leadership and knowledge sharing that we will pass along to the State.

**Business Advisory Services**

RubinBrown has a dedicated consulting practice that includes team members with over 20 years of providing compliance, management consulting and process improvement services to entities within the public sector. While our practice extends across offices, our business advisory services team is comprised of 60 team members, located in St. Louis, Denver and Kansas City that provide consulting services. Our talented professionals provide cost-effective, value-added solutions to improve the security controls for our clients.

**Security Control Audit Experience**

We have provided IT audit services since 2008 when Audrey Katcher joined the firm after 18 years as a Partner at PwC. Audrey recruited Rob Rudloff, who was serving as a Chief Information Security Officer at the time, to found the technical security services team in 2015. The lead practitioners in our proposal each have more than 20 years of IT and cyber security experience.

2.4.1.4 Please identify the industry accepted standards that will be used during the audit (IT, operational, accounting, etc.)

The primary standards used will be the World Lottery Association Security Control Standard (WLA-SCS) and ISO/IEC 27001 for the readiness portion of the effort as stated in the RFP. In addition, we will use a combination of NIST Cyber Security Framework, other applicable standards, and commonly accepted business practices as they apply to the environment.

2.4.1.5 Please provide resumes of all key team members planned to be part of the engagement, including their involvement on similar engagements. Also identify how the team will be organized, while demonstrating that sufficient resources exist to conduct the services being requested within this RFP.

**Dedicated Team to Serve the State**

Our team of Business Advisory and Assurance Services professionals possesses knowledge and expertise that matches the needs of the State. The staff assigned to your engagement specializes in providing investigative services. They will be responsible for the fieldwork and testing necessary to meet the objectives of the specific audit projects.



**Rob Rudloff, CISSP, CISA, QSA – Lead Cyber Security Partner**  
**Executive MBA, University of Denver, Daniels College of Business**  
**M.S. Systems Management, Capitol College**  
**B.A., Physics, University of Colorado at Boulder**  
**Years of Experience: 25+**

Rob has more than 25 years of information security experience on security reviews, mitigation, strategy, and architecture development. He consults with clients on a variety of information security projects ranging from penetration testing, to security assessments, to the implementation of security architectures. His background includes security work for the Air Force, NSA, Pentagon and PwC. Previously serving as a Chief Information Security Officer at the University of Denver, Rob brings strategic consulting expertise balanced with a voice of reason.

Rob will serve as the security audit partner responsible for the engagement, ensuring the audit is performed with the highest level of quality and service.



**Brandon Loeschner, CPA, CISA, CGMA – Gaming Partner**  
**B.S., Accounting Information Systems, Maryville University**  
**B.S., Accountancy, Maryville University**  
**Years of Experience: 17+**  
**Years of Lottery Experience: 7**

Brandon is a National Practice Leader for RubinBrown's Gaming Services practice and a Partner in RubinBrown's Business Advisory Services/Risk Services/Audit practice. He brings the Lottery a background in IT Audit and IT Risk, which will assist in the understanding and evaluation of the IT environment for the audit.

As a practice leader for RubinBrown's Gaming Services, Brandon focuses on the understanding of gaming regulations and the expansion of the practice nationally. Through this focus, Brandon has assisted multiple state regulatory authorities in developing new Minimum Internal Control Standards and gaming compliance audit programs outside of his day-to-day client service.

Brandon also specializes in serving operators and regulators within the newly formed sports gaming industry. Brandon has assisted retail, online, and daily fantasy sports operators understand and comply with new state laws legalizing sports gaming.

Brandon will serve as the gaming partner responsible for oversight and quality assurance on the security audit. Brandon will also bring to the Lottery and the engagement team insights on risks and procedures impacting operations affected by emerging emerge with technologies or new game offerings and sales outlets.

**\*\*REDACTED\*\***

- 2.4.1.6 Please explain in detail the proposed audit plan describing the specific steps that will be performed as part of the audit, including a list of deliverables that will be included. Please include audit objectives, control objectives, audit procedures used to conclude upon objectives, staff members assigned, and hours proposed for each audited area. The audit areas are listed in Section 1.4.A Summary Scope of Work of the RFP.

#### **Our Approach**

**\*\*REDACTED\*\***

#### **Security Department Management, Duties, and Procedures Review:**

**\*\*REDACTED\*\***

#### **Physical Security**

**\*\*REDACTED\*\***

#### **Information Systems Security**

**\*\*REDACTED\*\***

#### **Security Surrounding Draw Game Drawings**

**\*\*REDACTED\*\***

#### **Business Continuity Planning**

**\*\*REDACTED\*\***

#### **Best-practices assessment of Lottery practices and investigating potential fraud**

**\*\*REDACTED\*\***

#### **Penetration Testing and Vulnerability scanning**

**\*\*REDACTED\*\***

#### **Personnel Assignments**

Details of the hours, assigned tasks, and related information are provided in Attachment D.

#### **Deliverables**

- Draft Report by the week of November 13, 2023
- Second Draft Report with Management Responses by the week of November 27, 2023
- Final Report by No later than 4:00 P.M. EST, December 11, 2023

Drawings, Fraud, etc.) we will schedule additional interviews, observations, and walk-throughs. We will provide a list of the anticipated review areas during the planning meetings and update them throughout the project as data and evidence are collected. Where possible we will perform short update/validation meetings to verify the information we need to complete the overall security assessment described in the RFP.

2.4.1.7 Please provide a timeline indicating when each phase of the engagement will be completed, including important milestones.

Dates	Work Effort / Deliverable	Personnel
TBD	<ul style="list-style-type: none"> <li>Award of Contract</li> <li>Contract Negotiations</li> <li>Background Checks</li> <li>Scheduling Assignments Initial Planning Meeting</li> </ul>	<ul style="list-style-type: none"> <li>Lottery POC</li> <li>Lottery Contracting Personnel</li> <li>RubinBrown Partner</li> </ul>
No Later Than the week of August 7	<ul style="list-style-type: none"> <li>Project Kick-off Meeting Work Plan</li> <li>Finalization and Agreement Lottery Document Request</li> <li>Project Communication Plan Finalized Key Contacts Introduced</li> <li>Contact Information Coordination</li> <li>Finalize Work Plan / Dates</li> <li>Confirm Data / Documentation Request</li> </ul>	<ul style="list-style-type: none"> <li>RubinBrown Partner</li> <li>Lottery POC</li> </ul>
August 7 to 25	<ul style="list-style-type: none"> <li>Documentation Review</li> <li>Update Work Plan as needed</li> <li>External Penetration Testing</li> </ul>	<ul style="list-style-type: none"> <li>RubinBrown Team</li> <li>Lottery POC</li> </ul>
Week of August 28	<ul style="list-style-type: none"> <li>Kick-off Meeting</li> <li>Address New Items as needed</li> <li>Schedule Interviews, Site Visits, and Observations</li> <li>Execute and Collect Network Detective</li> </ul>	<ul style="list-style-type: none"> <li>RubinBrown Team</li> <li>Lottery team</li> </ul>
Weekly Status Updates	<p>Weekly Status Updates</p> <ul style="list-style-type: none"> <li>Timeline/Progress Updates</li> <li>Interim Findings Updates</li> <li>Coordination Support Requests</li> <li>Forecast Coordination Requirements</li> <li>Address New Items as needed</li> </ul>	<ul style="list-style-type: none"> <li>RubinBrown Key Personnel</li> <li>Axon Advisors PM</li> <li>Lottery Chief of Staff</li> </ul>
September 5 to 15	<ul style="list-style-type: none"> <li>Security Department Management, Duties, and Procedures</li> <li>Physical Security</li> <li>Business Continuity Plan</li> <li>Best Practices Assessment of Lottery Practices Investigating Potential Fraud</li> </ul>	<ul style="list-style-type: none"> <li>Axon Advisors PM</li> <li>Moore Accounting (BCP)</li> <li>Bravia Services (Physical Security)</li> <li>RubinBrown Team</li> <li>Lottery POC</li> </ul>

September 18 to 29	<ul style="list-style-type: none"> <li>• Information Systems Security Audit</li> <li>• Security Over Draw Game Drawings</li> <li>• Internal Penetration Testing</li> <li>• Internal Vulnerability Scanning</li> </ul>	<ul style="list-style-type: none"> <li>• Axon Advisors PM</li> <li>• Moore Accounting (Draw Security)</li> <li>• RubinBrown Team</li> <li>• Lottery Team</li> </ul>
October 2 to 20	Follow up, Analysis and Reporting Finalize DRAFT recommendations	<ul style="list-style-type: none"> <li>• RubinBrown Team</li> <li>• Lottery Team</li> </ul>
Week of October 23	Executive Director Briefing Review and Update DRAFT FOR REVIEW report	<ul style="list-style-type: none"> <li>• RubinBrown Team</li> <li>• Lottery Team</li> </ul>
Week of November 13	Deliver Final DRAFT FOR REVIEW Report with updates	<ul style="list-style-type: none"> <li>• RubinBrown Team</li> <li>• Lottery Team</li> </ul>
No Later Than December 11	Delivery of Final Report	<ul style="list-style-type: none"> <li>• RubinBrown Key Personnel</li> <li>• Lottery POC</li> <li>• Lottery Team</li> </ul>

**2.4.1.8 Please describe in detail how your organization will analyze and summarize the results of your findings.**

**Analysis and Summary of Results**

Analysis is conducted ongoing throughout the assessment effort. We often find elements of one assessment area can be used as context, or supporting information, for another area. As a result, the team will be continuously reviewing information as it is collected and documented. Where possible these supporting cross-references will be identified in the detailed reporting.

We will provide an overall summary of the strengths and vulnerabilities identified throughout the assessment in an executive summary. Attached the Executive Summary will be detailed summaries and findings for each area included in the assessment effort. The detailed areas will match the areas identified in Section 1.4 of the RFP.

One of our primary goals in these assessments is to provide actionable, reasonable, recommendations tailored to the environment and available resources. We do this so management has as much information as possible to make informed decisions.

The following describes the deliverables we anticipate producing for the Lottery as part of the assessment effort.

**Deliverables**

**Deliverables: Planning/Entrance and Concluding/Exit Meetings**

We will coordinate Planning and Concluding Meetings. As described in our proposed timeline of activities, we intend to hold a planning/entrance meeting, kickoff meeting, interim status update meetings, draft report review meetings and a concluding/exit meeting.

The planning meeting will include a discussion for the work plan, protocol for contacting Lottery personnel, fieldwork dates, key staff that needs to be available during fieldwork, documentation requests and other subjects as needed. No later than one week after the end of fieldwork, as described in our timeline, an exit meeting will be held to review the results and findings of the report, audit documentation reviews, corrective action plans, a post mortem on the project process and activities, and other subjects as needed.

**Deliverables: Work Plan**

The detailed work plan and project schedule are included in this proposal. We will update the plan as part of our planning and kick-off meetings, as needed, to accommodate personnel schedules.

**Deliverables: Status Reports**

We will provide a weekly status update to the Lottery's Chief of Staff or their designee on a weekly basis, in a mutually agreed-upon format and medium. We propose holding weekly status meetings via conference call and in person during field work, to review current work efforts, timeline/progress updates, interim findings updates and forecast upcoming coordination requirements.

**Deliverables: Executive Director Presentation**

Following the assessment effort and preparation of the DRAFT FOR REVIEW report, we will brief the Executive Director and/or designated staff on the results of the work performed, including a discussion of each proposed recommendation in the DRAFT FOR REVIEW report.

**2.4.1.9 Describe in detail how your organization will provide recommendations for improving current processes where deficiencies have been identified.**

**Deliverables: Assessment Report**

We will provide the Lottery with the following in our report:

1. An overall assessment of the environment and the Lottery's security posture as well as a by-area assessment.
2. System Description including a description of the operating environment; types of systems, applications, and cloud solutions in use; and security controls.
3. Detailed assessment results including the controls tracking matrix (Smartsheet) described in our proposal.
4. Detailed Findings, by-area of assessment, for each assessment effort.
5. Raw details from the tools we use to perform our assessments (if desired).

The Assessment Report will include tactical and strategic recommendations detailing our recommendations for improving security for the Lottery. The results often include elements of people, process, and technology efforts to improve security or address compliance requirements.

Deficiencies, or findings, are provided in the detail sections of each assessment area with specific recommendations related to each finding. In addition, we try and look at findings in their entirety to assist in identifying root causes or underlying systemic issues. These are addressed in our tactical and strategic recommendations customized to the environment and resources.