

# State of New Jersey

## Program and Process Management Auditing, Financial Auditing and Grant Management, and Integrity Monitoring/Anti-Fraud Services for Disaster Recovery Assistance (Hurricane Sandy)

### Request for Quote (RFQ) #: 768892S

### Response to Pools 1, 2, & 3

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April 8, 2013





April 8, 2013

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Subject: Request for Quote (RFQ) Audit Integrity Monitoring Solicitation No. 768892S

Dear Ms. Anderson-Thomas,

Grant Thornton is pleased to submit this proposal to provide Financial Auditing Services for the Disaster Recovery (DR) and Long Term Planning Project to the State of New Jersey. The pages following this letter make up our technical proposal and include all sections required by the Request for Quotation (RFQ).

Grant Thornton is a full-service audit, accounting and advisory firm. We have over 50 offices in the United States, including New Jersey, New York, Pennsylvania, Virginia and Washington, DC. Grant Thornton prides itself on the excellent service and value we provide to our clients. As current providers of disaster compliance services for the State of Texas, we have a number of personnel familiar with the subject matter contained in this RFQ and will be ready to begin this engagement immediately if awarded.

In response to Modification #8, dated April 4, 2013, Grant Thornton has included a request to not disclose certain information which we and our teaming partners consider proprietary and/or confidential. This request can be found in Attachment N.

Thank you for the opportunity to submit a proposal for this important project. We trust you will find that Grant Thornton provides excellent experience and qualifications to the State of New Jersey, and we look forward to the opportunity to work with you on this effort. Should you require any additional information, please contact me at (410) 961-0494 or [John.Short@us.gt.com](mailto:John.Short@us.gt.com), or our Contracts Specialist, Ms. Julie Porcelli, at (703) 373-8689 or [Julie.Porcelli@us.gt.com](mailto:Julie.Porcelli@us.gt.com). Our proposal is valid for 90 days from date of submission.

Sincerely,

John Short, Partner  
Grant Thornton LLP

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**POOL 1 RESPONSE****Section 1: Technical Proposal**

On October 21, 2012, Governor Chris Christie signed Executive Order (EO) 104 declaring a State of Emergency in New Jersey related to the aftermath of Hurricane Sandy, which caused massive property damage and loss of life. On October 30, President Obama declared New Jersey a major disaster area. The New Jersey Office of Emergency Management (NJOEM), in cooperation with the New Jersey Office of Homeland Security and Preparedness (OHSP) and other State entities, executed the State's existing Emergency Operation Plans (EOP) in responding to their needs during and immediately following the hurricane. As the State moves into the recovery phase in the aftermath of the storm, it seeks strategic consultant services designed to support all facets of intermediate and long-term recovery efforts.

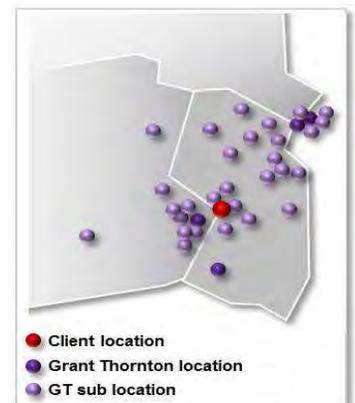


On March 12, the Office of Management and Budget (OMB) released guidance<sup>1</sup> to executive departments and agencies on the internal controls and planning required for aid received through the Disaster Relief Appropriations Act (Public Law 113-2) (Disaster Relief Act). Because relief funding of this magnitude (\$50.5 billion) carries additional risk, OMB is requiring agencies to ensure that the funds appropriated under the act are used for their intended purposes. By March 31, each Federal agency was required to submit an internal control plan to OMB, the Government Accountability Office (GAO), and the agency's Inspector General (IG).

Recently, Governor Christie unveiled the State's Community Development Block Grant Disaster Recovery (CDBG DR) Action Plan delineating the ways in which the State will spend the first phase of the funds provided by the U.S. Department of Housing and Urban Development (HUD). To address the extensive devastation caused by the storm, the plan proposes a range of programs to provide relief. As recovery efforts get underway, the State must put in place auditing of programs, processes, and finances, including monitoring the integrity of spending to ensure that funds are spent for their intended purpose. The State has issued a request for quote for firms to provide these services.

**1.1 Our Team**

Grant Thornton is a leading audit, accounting, and advisory firm with broad experience in grants monitoring, compliance reviews, and A-133 audits. We have assembled a team with the right resources and qualifications to perform all of the services across each of the three pools. We are teaming with firms specializing in disaster recovery - Science Applications International Corporation (SAIC), URS Group, Inc. (URS), and Muller Bohlin Associates; engineering – Tetra Tech and Robert Engineering Group; and accounting/financial management – TCBA Watson Rice LLP. This mix of hands-on expertise in disaster recovery and audit/financial management with a combination of large and small businesses, several of which are New Jersey-based, provides the State with the right team for meeting the needs of Using Agencies. We have multiple locations in New Jersey and neighboring states allowing us to quickly respond to your needs.



<sup>1</sup> OMB Memorandum M-13-07, "Accountability for Funds Provided by the Disaster Relief Appropriations Act", dated March 12, 2013.



**URS** is ranked as the number one engineering firm in Engineering News-Record (ENR). The firm is a Forbes Top 100 firm and a leading provider of pre- and post-disaster response and recovery program management, policy, planning, engineering, construction, and technical services for public and private sector agencies for the past 20 years. Supporting the response and recovery efforts associated with over 900 Federally declared disasters, URS is a nationally recognized leader in pre- and post-disaster Stafford Act grants management and has successfully overseen over \$20B dollars in infrastructure and housing recovery grant allocations. A global leader with local knowledge, URS has over 50,000 employees worldwide; **1,500 located in the company's New Jersey offices.**



**SAIC** is a FORTUNE 500® scientific, engineering, and technology applications company that uses its deep domain knowledge to solve problems of vital importance to the nation and the world, in national security, energy and the environment, critical infrastructure, and health. The company's approximately 40,000 employees serve customers in the U.S. Department of Defense (DOD), the Intelligence Community (IC), the U.S. Department of Homeland Security (DHS), other U.S. Government civil agencies and selected commercial markets.



**TCBA Watson Rice LLP** has served Government sector clients for over 30 years providing a wide range of accounting and audit services to Federal agencies, including contract/grant audits. As a small business, TCBA Watson Rice has more than 200 professionals with the following certifications: Certified Fraud Examiner (CFE), CPA, CIA, and CISAs; all working together to deliver the highest quality service in the areas of financial auditing, accounting, employee benefits plans, forensic accounting, tax and financial management services, business assurance and consulting, and Information Technology (IT) services. TCBA Watson Rice has offices in New Jersey, New York, Pennsylvania, Connecticut, Maryland, and Washington DC.



**Tetra Tech**, a publicly owned consulting firm, offers a full spectrum of professional engineering and planning services, including specialized management consulting and technical services in resource management, infrastructure, and construction. Tetra Tech is one of the leading firms specializing in disaster management and homeland security, with contracts in hazard mitigation; infrastructure hardening and protection; emergency response/management, planning, and preparedness; exercise design and training delivery; and grants management. As a nationally recognized leader in the development of Hazard Mitigation Plans (HMP) approved by the Federal Emergency Management Agency (FEMA), they have been preparing countywide multi-jurisdictional plans for Pennsylvania, New Jersey, and New York. The 2012 ENR magazine's ranking of the Top 500 engineering firms in the country placed Tetra Tech as the 8th largest provider of engineering and technical services (July 2012).



**Robert Engineering Group** LLC is a civil engineering and surveying firm specializing in municipal, utility, infrastructure, roadway, and site development engineering, as well as project and construction management. The firm is certified as a women business enterprise and approved as a small business enterprise by the New Jersey Commerce & Economic Growth Commission, Office of Development for Small Business, and Women and Minority Businesses. The firm's municipal engineering services are provided under appointment as engineer in municipalities in both Mercer and Monmouth Counties. As municipal engineers, they provide day-to-day engineering services for clients and prepare plans for capital construction projects, including construction administration and inspection. Many projects are funded through various State and Federal grant programs and as such, we have established very specific project frameworks for monitoring compliance with the technical and budgetary requirements set forth.



MULLER BOHLIN  
ASSOCIATES, INC.

**Muller Bohlin Associates** Muller Bohlin Associates is a woman-owned professional services small business located in Perth Amboy, New Jersey. With a dedicated staff of engineers, planners, and project managers, Muller Bohlin provides capacity for funding procurement, administration, and project management, supporting projects from concept through implementation. Our team of experts supports clients on a host of fronts, with a particular focus on grants, grant administration, and unique and proven funds tracking capabilities. With over 16 years of project experience, they have an exceptional track record and a wide range of program management experiences. The firm has Subject Matter Experts (SME) in procurement and administration of all forms of funding, including Federal, State, corporate donor, and foundation.

## 1.2 Our Value Proposition

Team Grant Thornton is comprised of highly talented firms that stand ready to meet the needs of the State of New Jersey on day one. We bring well-established methodologies and practices, grounded in strong internal controls that will help New Jersey maintain the highest integrity in its grant spending. We offer you:

- **Expert services:** Team Grant Thornton brings the talents and experience of seven firms with specializations in disaster recovery, grants management, financial management, audit/internal controls, e-Grants technology, and engineering. Our people are what make our firms, bringing a wealth of experiences with a deep skill base that for our clients to leverage. In addition to the bench of consultant and advisory resources, we bring a cadre of former Federal and State executives with reach back to assist with challenges and issues that arise at both the Federal and State level. The State of New Jersey will get the right mix of expertise and diversity from large international firms with the ability to draw on a deep bench of resources and from local New Jersey firms representing the small business community.
- **Solid prior disaster recovery expertise:** Our team has direct experience with disaster recovery from “boots on the ground” support to routine monitoring and reporting to providing strategic advice and direction on issues at the local, State, and Federal level. We have helped with FEMA, HUD, and other disaster recovery grants and are familiar with the myriad of regulations and guidance on the use of grant funding.
- **Audit perspective:** As an Independent Public Accounting firm, Grant Thornton brings deep experience and understanding on what can go wrong with the internal controls on disaster recovery grants. We have helped many Federal and State organizations with their grants monitoring functions, implementing internal control programs that monitor the right activities and outcomes. In addition, we have leveraged data effectively for fraud monitoring assisting Federal IGs with research on their hotline tips on possible fraud. At the Recovery and Accountability Transparency (RAT) Board, we research and analyze tips on possible fraud related to American Recovery and Reinvestment Act (ARRA) grants.
- **e-Grants experience:** Our team has direct experience with a variety of Federal electronic grants management software platforms, including FEMA eGrants and the National Emergency Management Information System (NEMIS) for more than a decade. eGrants is used by FEMA to track all of their non-disaster mitigation grant applications, awards, and reports. NEMIS is used to track hazard mitigation grant program dollars and program requirements. URS and its staff utilize these systems on a daily basis in support of FEMA mitigation grant programs. The team is able to bring to the State of New Jersey not only an in-depth understanding of the technical components of the system, but more importantly, the data within the system and how that data is compiled and reviewed.

## 1.3 Program and Process Management Auditing

The State of New Jersey, and ultimately its many political subdivisions throughout the impacted areas of Superstorm Sandy, are eligible to participate in numerous Federal grant programs designed to aid in short and long term recovery. Team Grant Thornton will demonstrate its unique ability to provide grantees and subgrantees with a framework, based on a long history of previous performance, to successfully administer and manage these programs.

### **1.1.1 Task A: Development of processes, controls and technologies to support the execution of the following FEMA-administered programs: Public Assistance (PA), Hazard Mitigation, and Individual Assistance (HMGP); HUD-administered Community Development Block Grant (CDBG) program; and other Federal and State grant and assistance programs in compliance with Federal and State guidance, including OMB circulars.**

Critical to the success of any major grant administration program are the development of repeatable processes and controls and the use of technologies to manage massive volumes of data and records that represent billions of Federal dollars. Team Grant Thornton has worked with several States and the Federal agencies to design repeatable processes for the administration of the major Federal grant programs including FEMA PA and FEMA Hazard Mitigation Assistance (HMA); grant programs including HMGP, HUD CDBG Disaster Recovery (DR), Federal Highway Administration- Emergency Relief (FHWA-ER), and Natural Resource Conservation Service – Emergency Wetland Protection (NRCS-EWP).

**Figure 1** provides a screenshot of one such tool utilized for these clients.

Team Grant Thornton also has experience with OMB circulars A-123 and A-133, along with OMB disaster relief guidance. In addition to our State Government experience in designing and managing the framework for State grant programs, we have provided grant management services to hundreds of local Government and private non-profit subgrantees (including cities, counties, maritime ports, and hospitals) following major disasters.

**Process Design and Optimization:** Team Grant Thornton understands the complexities of Federal disaster grant management programs and the fact that many public sector agencies may underestimate the level of effort and time commitment associated with managing these programs. We understand that creating a repeatable process with input from all relevant stakeholders is critical to a successful grant management program. Our methodology for process design will include:

- **Data / input gathering:** To include focus group meetings with stakeholders (e.g., FEMA, HUD, NJOEM, Office of Recovery, NJDEP, local building officials, etc.) to understand requirements and concerns of all agencies;
- **Process design:** Using flow charting and other technologies to visually depict process/document/reimbursement flow, such as the one created for the State of Vermont following Hurricane Irene that illustrated the funding stream of Federal grant dollars to the State;
- **Development:** Creating forms, technology solutions, and other tools that will serve as conduits for the process flow;
- **System simulation:** Modeling process flow within the system (prior to implementation) in order to meet the requirements of administering agencies and subgrantees;
- **Process training:** Staff training, regional workshops, white papers, manuals, and other tools educate system users on process techniques. Team Grant Thornton has provided training to numerous subgrantees through Regional Planning Councils (RPCs) in Texas (H-GAC and NCTCOG) and Vermont on the process for disaster grant management. URS has supported the development of the Unified FEMA HMA Grant Guidance used by FEMA, States, and locals in addition to supporting program rollout for the Severe Repetitive Loss Grant program to numerous States across the United States, including New Jersey; and
- **System optimization:** Review and enhancing processes to remove inefficiencies throughout the period of performance. Team Grant Thornton recently assisted the State of Vermont in refining the State queue for PW review and signoff following Hurricane Irene in 2011.

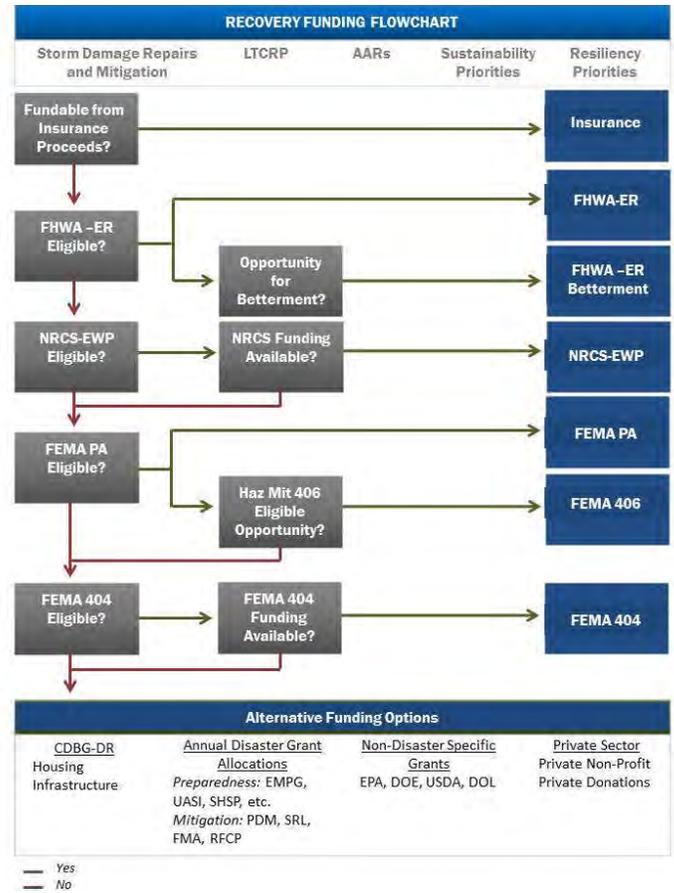


Figure 1. Recovery Funding Flowchart

**Controls:** Given the number of agencies and stakeholders involved in the grant administration process, controls must be put in place to ensure program accountability. More specifically, controls are put in place to ensure output and production. Specific controls that Team Grant Thornton will assist end-users in implementing include:

- **Progress reporting:** To include weekly meetings and progress reporting;
- **Document templates and checklists:** To ensure consistency amongst multiple users; and
- **Reviews and delegations of authority:** To ensure that critical documents are being reviewed by staff at appropriate levels within the agency particularly when they involve the expenditure of funds.

**Technology Solutions:** Technology plays a critical role in effective grant management. Given the huge volume of potential grant management staff at all levels, including applicants and Project Worksheets (PW), process managers must have effective communications, technology tools, and platforms. Team Grant Thornton routinely implements:

- Microsoft Sharepoint sites (primarily for program/project management) and custom database and document management development;
- Dashboards to summarize program statistics into easy to read formats;
- Mobile data collection technologies, including damage assessment and field inspection applications;
- Geospatial reporting (**Figure 2**) utilizing the ESRI/ArcGIS platform to display datasets, such as PW obligations, PW bundle disbursement, reimbursement requests, drawdown payments, and CDBG-DR housing projects; and
- Integration with the Sandy Integrated Recovery Operations Management System (SIROMS) (upon release by the State)



Figure 2. Geospatial Reporting.

### 1.1.2 Task B: Review and improve procedures addressing reimbursement review backlogs and financial management.

Disaster grant programs, such as the FEMA PA or HUD CDBG-DR programs, are designed to be reimbursement-based programs tied to actual expenditures associated with the scope of the repair. However, due to the size and scale of the grants at the local level, many times in the tens of millions of dollars, subgrantees are faced with additional financial hardships as they await funding disbursement.

Team Grant Thornton will provide end users with strategies to improve their financial situation as a participant in these programs. For example, we have contributed to streamlining processes for backlog reviews within the States of South Dakota, Texas, and Vermont on disasters since 2008. Specifically:

- **Review of the State PA administrative plan:** Understanding the State holdback/retainage program in place for large PWs or utilization of the State administration allowance of 3.34%, or the feasibility of the State of New Jersey to participate in local cost share (i.e., 12.5% of the 25% local match). These strategies have been implemented in numerous other States following major disaster declarations to minimize the economic impact to those subgrantees that may face financial challenges;
- **Review of the State funding disbursement program:** Understanding the New Jersey Treasury office's program to deliver PW bundles to subgrantees which will provide greater visibility and understanding of the nature of cash flow back to their general fund;
- **Development/review of the audit/closeout checklist:** Quickly disseminate an audit checklist and closeout process guidance to program participants so that they can begin close out on completed projects;
- **Develop/review process for the State project review queue:** Provide a program for the State to quickly and systematically review and approve PWs prior to entry into the FEMA EMMIE system or HMGP applications prior to NEMIS; and
- **Review of the Department of Community Affairs's CDBG-DR administration program:** Provide a review of the draw request process or program milestones to enable participants to quickly access grant funds up-front.

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Team Grant Thornton can provide guidance and tools to subgrantees that will aid in reducing the local match requirements.

- **Encouraging the use of Federal programs:** FEMA programs such as Immediate Needs Funding (IMF) or grants based on estimates to provide up-front funding for large projects; and
- **Encouraging methods of offsetting local cost shares:** Provide information on how CDBG-DR or other HUD grants may offset 25% local match for HMGP buyout costs or FEMA PA projects or documenting/accounting for donated resources to offset local cost shares. Strategies like these can maximize the use of Federal dollars while minimizing the local output for reconstruction projects.

### 1.1.3 Task C: Resources to perform workload analysis, skills gap analysis, organizational effectiveness and workforce recruiting strategies.

It is critical to the success of any grant management program to have a dedicated workforce of the appropriate size with the necessary skills and competencies to complete the project and be prepared for audit. Many times Government agencies attempt to manage a grant with existing staff resources that lack the knowledge, experience, and training to run the program or may be overwhelmed with regular duties. In managing major infrastructure and financial management programs across the US in disaster and non-disaster scenarios, Team Grant Thornton will provide subgrantees with specific strategies to improve an organization's effectiveness.

**Workload analysis:** Workload analysis utilizes historical data to predict and plan work and required skill sets. Utilizing grant management data, Team Grant Thornton will assist end users in defining reasonable production levels for assigned tasks. Team Grant Thornton will review the workload across each agency and define reasonable production levels in order to derive appropriate staffing levels. Based on the findings collected during the analysis, Team Grant Thornton senior management will review strategies to improve organizational efficiencies.

**Skills gap analysis:** Skills gap analysis involves defining the skills required for effective job completion against the current workforce skill set. Many subgrantees will lack the program management, accounting, and administrative skills necessary to successfully complete a complex or unfamiliar grant. Team Grant Thornton will customize existing forms to gather information about the subgrantee. Information about the sub recipient, such as recent staff turnover in key financial positions, frequency of disaster grant award (e.g., do they receive annual HUD allocations), size of potential grant awards (above \$10 million), and performance using the FEMA benefit-cost analysis tool and organizational size.

From more than 30 years of FEMA PA field experience, Team Grant Thornton has observed that applicants and subgrantees frequently are not eligible for certain funding because they lack a full understanding of available programs. Examples include:

- 1) Record keeping requirements for labor, equipment, and temporary and subcontract personnel are stringent under the PA program and shortcomings and mistakes can often be corrected by trained personnel before they become an issue;
- 2) Direct administrative costs for administrations of the PA program are allowed for applicant staff, including reasonable cost to procure contractors to assist in preparation and assembly of documentation to support a grant or specific project that has been completed or proposed;
- 3) Procurement of contractors using appropriate types of contracts is critical to meeting PA eligibility requirements and ensuring maximum value is received;
- 4) Alternate (restoring or enhancement of a facility at another location) and improved projects (improvements beyond pre-disaster conditions) may be eligible costs by the PA program; and
- 5) Existing insurance coverage pays first and uninsured losses are usually eligible for reimbursement.

**Organizational Effectiveness:** The ultimate goal of any major disaster grant management program is to provide funding to help a community or agency recover in the short and long term from a major disaster event. Team Grant Thornton can assist the subgrantees with understanding their opportunities to effectively leverage Federal grant dollars available to become a more disaster resilient community.

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SAIC has established over 50 workforce-recruiting centers to support post-disaster activities to include administrative, field operations, and accounting

There are over 1,000 PWs within the FEMA 2<sup>nd</sup> appeals database where subgrantees were deemed non-compliant with Federal requirements.

Information may be collected on their participation in Long Term Community Recovery Planning (LTCRP) activities; utilization of mitigation programs, such as Section 406 and 404; marrying housing and non-housing CDBG projects to revitalize impacted areas; and understanding private sector and non-traditional grants (e.g., Environmental Protection Agency [EPA], Department of Energy [DOE], and US Department of Agriculture [USDA] ).

Team Grant Thornton can assist end users in evaluating organizational effectiveness utilizing a number of proven methods including balanced scorecard and appreciative inquiry. For example, following hurricanes Katrina and Rita, Team Grant Thornton provided programmatic, technical, and operations support to the Gulf Coast Recovery Office. Specifically, we supported the PA Global Report; a weekly report used to track progress of impacted jurisdictions and the infrastructure projects underway. Through PWs, these reports tracked movement in critical sectors including healthcare, education, law, transportation, and utilities. Mitigation metrics were included in the PA global reports, quantifying the number of opportunities for Section 406 mitigation as well as the amount of Section 406 mitigation funding disbursed to date.

**Workforce Recruiting:** Quite simply, most Government agencies do not have the pre-disaster workforce (either in terms of number of employees or skill sets) to handle a major grant administration programs. Full or part-time employees or contractors must supplement the workforce; and in the case of HUD CDBG-DR programs, must meet certain hiring guidelines such as Section 3 or Davis-Bacon. Given our role as large-scale program managers for Federal, State, and local clients we are routinely assembling large workforces with specific skill sets. Team Grant Thornton has large Human Resource (HR) departments and on-boarding/recruitment programs skilled at staffing major Government programs.

#### **1.1.4 Task D: Compliance Sanctions Program for those applicants that fail to meet Federal and State Guidelines**

Disaster grant programs contain program and reporting requirements that require grantees and subgrantees to adhere to program guidelines and provide reports and data on a regularly prescribed basis. Grantees and subgrantees that fail to adhere to program guidelines, fail to report, fail to report in a timely manner, or submit reports with significant errors or material omissions should be considered a “non-compliant grantee”. For example, grantees and subgrantees must adhere to the provisions of:

- FEMA 9500 Series Guidance;
- OMB Circular A-87 Revised, Cost Principles for State, Local, and Indian Tribal Governments;
- OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments;
- FEMA 300 Series Guidance Documents;
- CDBG-DR Administrative Manual;
- Hurricane Sandy Disaster Relief Bill;
- Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended; and
- The Code of Federal Regulation, Title 44, Emergency Management and Assistance.

Examples of potential sanctions for non-compliance may include:

- Requirement for repayment of Federal grant dollars (full or partial);
- Subrogation of benefits (insurance proceeds);
- Prohibition from participating in future Federal grant programs;
- Surcharges or fees for various services until requirements are met;
- Debarment; and
- Civil and/or criminal penalties

Team Grant Thornton is prepared to assist end-users in training agency staff on how to identify and manage non-compliant grantees, particularly those grantees demonstrating an egregious level of disregard for data quality, completeness, and timeliness. Furthermore, Team Grant Thornton will assist the agencies in designing and/or managing a compliance sanctions program. Elements of a compliance sanction program may include:

- Systems that allow for grantees to file late reports and/or correct potentially erroneous data from prior reports;
- Communications that notify grantees of their continued failure to comply through a series of formal communications; and
- Progressive penalties to include payment suspensions, demands for re-payment, debarment/suspension, civil / criminal action, etc.

### **1.1.5 Task E: Consulting services to support account reconciliations necessary to control and report on existing PW accounts, applicant balances, system interfaces, and other control balances.**

Team Grant Thornton provides consulting services to support PW account reconciliation, applicant fund balances, and project controls. Most frequently, the minimum tasks implemented to support this effort include:

- Staffing programs with appropriate levels of staff with the proper skill sets and competency;
- Staff and applicant(grantee) training programs specific to PW tracking and reconciliation (including duplication of benefits tracking);
- Effective program and project management (including regular progress reporting);
- Controls including software dashboards featuring GIS-level accuracy, checklists, timelines, and accurate points of contact for support; and
- Interface with SIROMS, SAGE, and other grants management systems.

Team Grant Thornton has a program that qualifies with Disaster Assistance Policy 9525.9, Section 324 Management Costs and Direct Administrative Costs and has an extensive history in the States of Texas, Florida, Virginia, and Connecticut for implementing, reconciling, and monitoring the request for reimbursement process internally and on behalf of our Federal, State, and local clients spanning the FEMA-PA, FEMA-HMGP, FEMA Severe Repetitive Loss (SRL), and HUD CDBG-DR programs, amongst others.

### **1.1.6 Task F: Quality Assurance (QA)/Quality Control (QC) reviews and assessments associated with the payments process to ensure that they are in compliance with Federal and State regulations and conform to industry best practices.**

Team Grant Thornton uses a traditional definition of QC as a system of routine technical activities to measure and control the quality of the products and services as they are being developed. This also ensures that products and services meet the Federal and State regulations associated with receiving the grants, which could ultimately lead to deobligations of these funds by the grantor to the State. Our QA plan is designed to provide routine and consistent checks to ensure data integrity, correctness and completeness; identify and address errors and omissions; document and archive inventory material; and record all QC activities.

QA activities include a planned system of review procedures conducted by personnel not directly involved in the compilation and development process. Reviewers verify that data quality objectives are met, ensure that the products and services represent the best possible understanding given the current knowledge and data available, and support the effectiveness of the QC program.

Team Grant Thornton has built its QC and QA control reviews and assessments regarding the payment process associated with State and Federal grants to be in compliance with Federal and State regulations and to both conform to, and in some cases, exceed industry best practices. Grant Thornton will employ the use of our Microsoft Excel-based issue tracking tool to keep track of common deficiencies. The tracking tool will identify the issue, reason for the issue, an action plan to help remediate the deficiency within a prescribed period of time, and a Point of Contact (POC) for monitoring the resolution to completion. Team Grant Thornton used a similar tool at Federal Motor Carrier Safety Administration (FMCSA) to track Corrective Action Plans (CAP) related to internal control deficiencies.

### **1.1.7 Task G: Risk analysis and identify options for risk management for the Federal and State grant payment process.**

In order to manage Government grants effectively, applicants need to understand their risks and vulnerabilities. Risks can come in many different forms, including procurement risks, environmental/historical risks, improper payment risk, cash flow management risks, fraud, waste, and abuse. We accomplish the identification of risks through the use of a customized questionnaire to collect information from functional area leads to determine risk appetite and risk factors focused on the existing control environment. Qualitative data is in-depth for each functional area lead and involves personal viewpoints and opinions. For example, the grantee or subgrantee may have differing views on the severity and likelihood of risks, where one individual sees the procurement for \$100 million in reconstruction projects as the greatest risk, whereas another

believes that the challenge of maintaining Federal compliance during program execution as a much greater risk. Using that example:

- 1) We will extrapolate results from the risk assessment to create a risk appetite statement that links the risk to the strategic direction and objectives of the subgrantee;
- 2) We will inventory all identified risks and use tools, such as a risk heat map (**Figure 3**), to assign an overall rating for each risk to determine the probability/impact of the risks;
- 3) We will develop a risk register template to capture risks, including risk scores, responses, triggers, and risk owners and rank the risks in order of severity; and
- 4) We will meet with the State of New Jersey senior-level management to listen and

discuss the risk assessment findings and create a corresponding risk management plan that includes project schedule, resources, risk thresholds, risk prioritization, and mitigation plans.

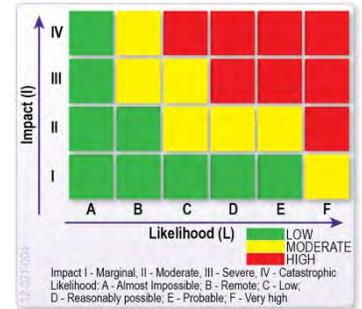


Figure 3. Risk Heat Map

**1.1.8 Task H: Consulting services to reduce the reconciliation backlog for the Request for Reimbursements process.**

In order to facilitate the request for reimbursement process and reduce the reconciliation backlog, it is important for supporting documentation to be collected, maintained, and updated throughout the duration of the recovery. Constant monitoring of grant applications, project progress, requests for reimbursement, and reimbursement received inherently reduces the backlog and aids the speed of recovery. In addition, it eases the eventual grant closeout and reduces the risk of future deobligations. There are many methods for the State to manage the request for reimbursement process associated with State and local grant programs including:

- Appropriate levels of staffing with the proper skill sets and competency;
- Staff and applicant(grantee) training programs specific to the request for reimbursement process;
- Effective program and project management (including regular progress reporting);
- Establishing information accessibility policies to maximize real-time tracking and minimize duplication of effort; and
- Controls including dashboards, checklists, timelines, and accurate points of contact for support.

Team Grant Thornton has an extensive history of implementing, reconciling, and monitoring the request for reimbursement process internally and on behalf of our Federal, State, and local clients spanning the FEMA-PA, FEMA HMA (HMGP, SRL) and HUD CDBG-DR programs amongst others. While many agencies and subgrantees still wait for reimbursement from previous disasters, such as Hurricane Irene in 2012, our goal is to leverage the spirit of the Sandy Recovery Act and expedite the economic recovery of the region through strategies such as the State closeout and audit program, PW appeals process, HMGP application review and CDBG project approval process.

**1.1.9 Task I: Consulting services providing SME knowledge of required standards for related monitoring and financial standards for Disaster Relief set forth in HUD’s Community Planning and Development Monitoring Handbook 6509.2**

Team Grant Thornton has direct experience providing detailed monitoring and reporting for CDBG-DR funds to sub-recipients and direct grantees. In our proposal, we have provided SMEs that have direct experience providing oversight and monitoring of the financial and operational requirements defined in HUD’s Community Planning and Development Monitoring Handbook 6509.2, particularly, Chapter 6: Disaster Recovery Community Block Development Grant.

Our approach that has successfully been utilized on CDBG-DR projects in Texas (e.g., City of Galveston, Bastrop, Cameron, Hidalgo, and Willacy Counties), Mississippi, and Louisiana (Terrebonne Parish). Our approach entails providing the grantee and sub-recipient with the specific requested reports and formats required by HUD and the State Administrative Agency (New Jersey Department of Community Affairs) that is also easily integrated into both HUD’s and the State’s disaster grant management systems. This minimizes compliance risk and provides timely, consistent information that can be

acted upon by the sub-recipient. The preferred systems provide 24x7 remote access and are derived from a paperless workflow design that is based on document imaging and capture. The paperless workflow provides efficiency and additional protection of documentation, versus paper files that may be at risk of destruction.

CDBG-DR project processes and functions must be continuously monitored and assessed to maintain focus on scope and remain efficient. We propose implementing an ongoing analytical process to assess project status and resource allocations of the sub-recipient and/or contractor(s) to make sure that projects remain effective and efficient. Team Grant Thornton will also use its team member, SAIC's, grant management financial reporting system eGratis (Figure 4) to track sub recipients and direct grantees allocation, progress and compliance.

The program monitoring and financial oversight activities will be coordinated with the State and include input from the team on monitoring and financial standards that are required for the CDBG-DR funds. HUD provides specific templates that can be used for reporting and monitoring. It is important that these templates and system interfaces are tested and implemented for compliance.

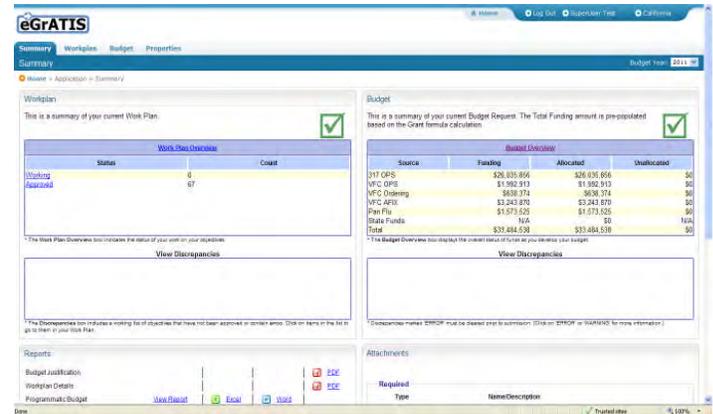


Figure 4. eGratis Reporting Tool

### 1.1.10 Task J: Conducting on-site and remote monitoring for compliance with CDBG-DR requirements, cross cutting federal requirements including Section 3 compliance, FEMA, SBA, EPA, OMB circulars and other federal and state requirements.

Based on the State's recently published SuperStorm Sandy CDBG-DR Action Plan (Action Plan), the State has allocated \$1.8B of the total \$5.4B for recovery and rebuilding efforts to local governments, residents and businesses throughout the impacted area. By accepting these grants, subgrantees are required to comply with numerous federal standards established by HUD, FEMA, Small Business Administration (SBA), EPA and OMB.

The Grant Thornton Team understands the requirements for the State and subgrantees to perform on-site and off-site monitoring of program related activities as described in Section 6.6 of the Action Plan. This may include monitoring of:

- Environmental reviews,
- Section 3 compliance,
- Davis-Bacon Act and other labor standard provisions,
- State and local procurement regulations,
- Fair housing and equal opportunity requirements,
- OMB A-87 compliance,
- Program income, and
- New Jersey Executive Order 125
- Federal Register 5582-N-01

The Grant Thornton Team will assess the subgrantees Section 3 Plans, procurement procedures, minority business enterprise reports and fair housing activity statements against HUD regulations and State Executive Orders or Statutes. During implementation, the Grant Thornton Team may utilize an electronic data collection tool and tracking/reporting spreadsheet for compliance monitoring. This will include Electronic Section 3 participation form for vendors to complete and Microsoft Excel spreadsheet for on-going tracking, monitoring and reporting.

The Grant Thornton Team will also develop the training program and conduct training for the Section 3 program. The Grant Thornton Team will provide training documents to inform staff involved on Section 3 program elements and vendors who will be required to comply with the Section 3 program. **Table 1** provides a sample of training that may be required.

Module	Description
Section 3 Awareness Training	4 hour training module for the CDBG Coordinator and subgrantee staff associated with the CDBG-DR implementation program
Section 3 Compliance Staff Training	4 hour training module for internal and external staff responsible for monitoring and reporting on compliance

Vendor Section 3 Awareness Training	30 minute awareness training module for perspective vendors who may propose on CDBG-DR funded projects
Section 3 Vendor Training	4 hour training module for selected vendors who are awarded CDBG-DR funded projects

*Table 1. Sample Training Classes*

The Grant Thornton Team will monitor vendor compliance with the CDBG-DR program through the following methods:

1. **Initial Capabilities Assessment** – Following the Compliance Vendor Training, The Grant Thornton Team will perform an assessment of the Vendor’s familiarity to HUD regulations and capabilities of maintain compliance with the program. A findings report will be generated and shared with the subgrantee.
2. **On-Site Monitoring Visit** – The Grant Thornton Team will schedule a monthly site visit with the vendor to discuss HUD CDBG-DR compliance. This could include interviews with the vendor’s Section 3 staff members and supervisor(s). In addition, The Grant Thornton Team staff will work with Vendor of subgrantee staff to review other HUD compliance activities during the same site visit. The frequency of site visits may vary based on the initial capabilities assessment for the contractor. As complex technical issues arise, the Grant Thornton Team can remain on site on an interim basis.
3. **Remote Monitoring** – Based on the performance during the on-site monitoring phase, the Grant Thornton Team will schedule and complete some monitoring activities over the telephone with the vendor and subgrantee to discuss CDBG-DR compliance. This could include an interview with the vendor’s Section 3 staff members and supervisor(s). In addition, The Grant Thornton Team staff will work with the Vendor’s HR staff to review Davis-Bacon compliance and other regulatory issues. If requested, the Grant Thornton Team can provide a Help Desk or web-based program reference guide to answer ongoing technical queries.

The use of HUD CDBG-DR funds is subject to Section 3 provisions. The goal of Section 3 is to provide job opportunity and training for persons who meet the income and location requirements in the communities where the funds are being spent. The Grant Thornton Team will work with the existing Section 3 plan and if necessary, provide a CDBG-DR plan that carries through to all subcontractors to ensure compliance with HUD requirements. We recognize that every agency that receives HUD funding, may have a different policy or approach to meeting or exceeding HUD Section 3 requirements.

**Affirmatively Furthering Fair Housing (AFFH) Planning.** The recent enabling legislation and the HUD Notice both have a requirement to consider Fair Housing concerns, including Affirmatively Furthering Fair Housing (AFFH) issues, when spending CDBG-DR Funds. This requirement is inclusive of all the housing programs. With the disparate impact rule recently released by HUD, it is important not only to avoid intentional housing discrimination, but also unintentional actions resulting in fewer services or opportunities to participate in the programs being provided to protected classes (race, color, religion, national origin, sex, disability, and familial status) than other persons.

The Grant Thornton Team suggests designing an AFFH Plan to show how program tools will be used to target housing rehabilitation or reconstruction for lower income or under-represented racial or ethnic persons in the community. The AFFH Plan would look at the race or ethnicity of buyouts of coastal properties and look for corresponding relocation opportunities for appropriate protected classes. Finally, the Grant Thornton Team would develop a data base tracking system for the race, ethnicity, and disability protected classes to ensure that they are receiving benefits in proportion to their reported damages and population totals within the impacted areas.

As provided by Section 312 of the Stafford Act, duplication of benefits is prohibited in accordance with the HUD Federal Register 5582-N-01. DCA will continuously monitor for compliance with this requirement. FEMA, National Flood Insurance Program, private insurers, the U. S. Army Corps of Engineers, SBA and other agencies will be contacted and data sharing agreements put into place to ensure that there is no duplication of benefits occurring within the various programs. The Grant Thornton Team will work with the DCA to ensure that all funded recovery projects comply with federal regulations.

1.4 Action plan for responding to requests for an engagement.

Our ability to provide the required services begins with our team and task management capabilities. Our approach to managing our teaming partners combines disciplined task order management with proactive communication for efficient coordination of team resources to deliver compliant, quality services as one, seamless team. Our task order management process, illustrated in **Figure 5**, is replicable and scalable for effective team management across multiple task orders at varying lifecycle phases. We incorporated proven methods based on best practices from the Project Management Body of Knowledge (PMBOK) and built a delivery process from Project Management Institute (PMI) standards to balance flexibility in execution with standardization of process and quality. Using this approach, we have successfully delivered task orders across our engagements within budget, on time, with exemplary performance evaluations from customers.

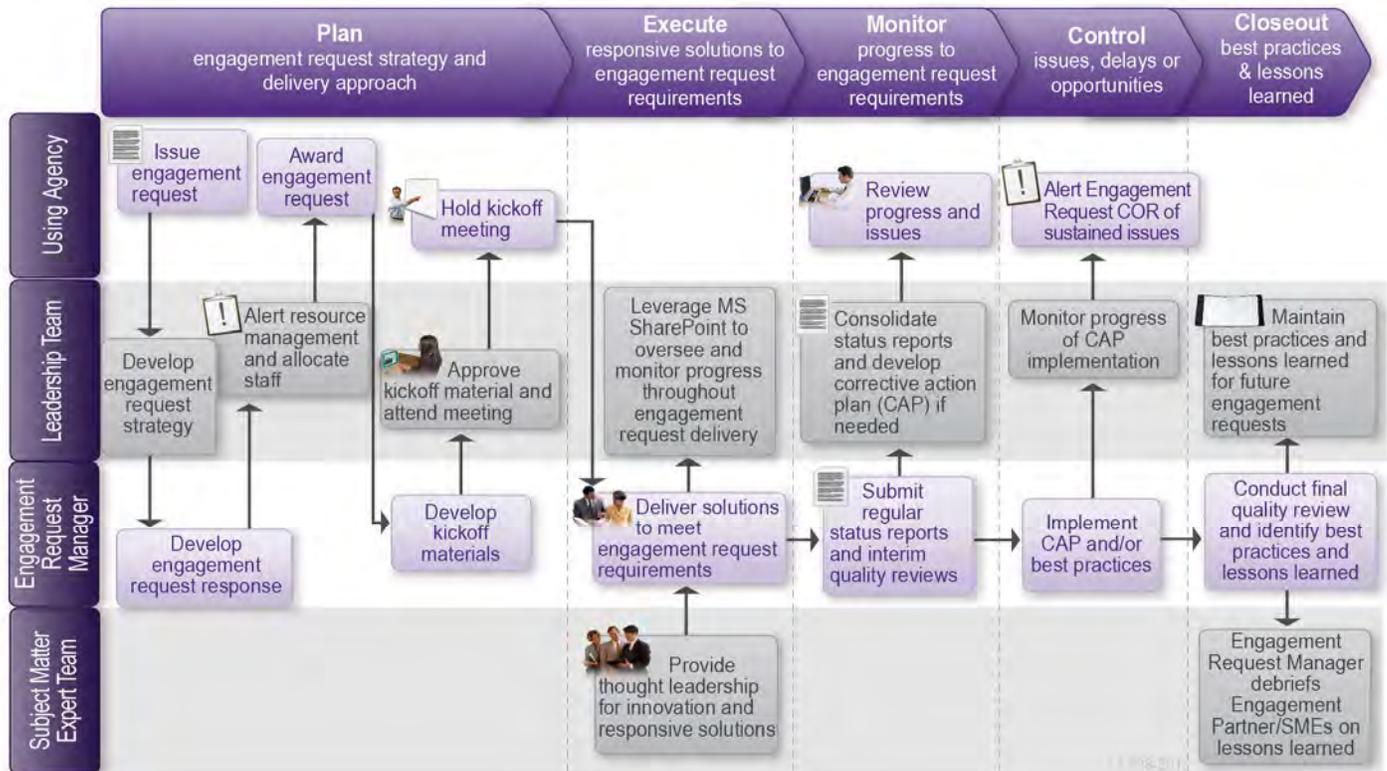


Figure 5. Task Management Process

Our teaming approach enables effective collaboration with our teaming partners. We interact well in advance of commencing a task order so teammates understand requirements, goals, and objectives, as well as quality and performance standard expectations. Our leadership team and teaming partners evaluate each task order approving final solution and resource composition to meet customer requirements and mitigate anticipated risks. This integrated teaming approach delivers our team’s best-in-class capabilities to customers.

1.5 List of previously held, or currently held, contracts with similar services provided by the bidder

Section 6 contains information on contracts held that demonstrate our experience and the value of key contracts.

**Section 2: Management Overview**

Team Grant Thornton views project planning as the first critical component of any project. We believe the key to quality in a large project is a well-defined project management approach that will ensure tasks are completed effectively, efficiently and with the highest quality. As we deploy teams to assist Using Agencies with the tasks outlined in the Statement of Work (SOW), our Project Management Process will enable our team to focus on specific deliverables within each pool, reduce project risk, improve quality and establish formal communication channels.

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Our project management process (**Figure 6**) has seven dimensions that encompass activities designed to promote completion of audit and monitoring tasks with the highest standard of quality, on time and within budget. The seven Project Management Process dimensions are:

- **Quality management:** Each task performed will be reviewed using our quality management approach to ensure all deliverables meet professional standards and your needs.
- **Scope management:** Audit boundaries are effectively controlled through continuous interaction with management.
- **Time management:** Each phase of the audit or grants management process will include the appropriate identification of activities, milestones, resources and deliverables to ensure completion within established timeframes.
- **Methodology management:** The project management process identifies specific task activities associated with the completion of testing to obtain sufficient evidence to conclude on the audit or monitoring task. In determining appropriate testing procedures, we will review the impact of the methodology as it relates to the budget and operations.
- **Talent management:** Our talent management process ensures resources assigned to the audit or monitoring task have the right skills and backgrounds to complete their assigned tasks.
- **Risk management:** Risk identification, analysis, and mitigation are key components of completing an audit or monitoring task in a timely manner.
- **Communications management:** Each phase of the audit or monitoring task will include activities associated with the collection and distribution of engagement information, including identified risks, decisions, status reports and deliverables.



*Figure 6. Project Management Process*

To manage and control the project, we will use approaches in our Engagement Management Guide, based on best practices in the PMI's PMBOK that identifies proven techniques for initiating, planning, executing, controlling and closing complex projects. Our project management approach consists of best practices in several areas, including:

- **Kickoff meeting.** As a first step toward successfully completing each project, within one week after contract award, Team Grant Thornton will conduct a kickoff meeting with the Contracting Officer (CO) and Contracting Officer's Representative (COR) and personnel whom he or she deems appropriate.
- **Project plan.** To manage schedules effectively and consistently across tasks, Team Grant Thornton PMs maintain a master project plan in MS Project. They will maintain the formal, comprehensive master project plan to describe project execution activities, activity durations and activity status for project tasks.
- **Personnel management.** Team Grant Thornton will provide experienced and qualified personnel who have performed and will perform the tasks specified in any future PWS. Team Grant Thornton will submit notification for approval of any changes to key personnel to the CO.
- **Status reporting and meetings.** Team Grant Thornton will use regular status reports and meetings to provide updates on work performed during the period, address areas of concern or potential setbacks, highlight significant findings, provide recommendations for resolution of issues, socialize completed activities and accomplished milestones, outline status of pending deliverables and discuss planned activities for the next period. We will provide a monthly report to report on the analysis of fraud detection, outlier trends, and progress by agency and contractors to correct anomalies, and system processes to provide verification of resolution and prevention of reoccurrence. We will deliver progress reports on the first business day following the conclusion of a four-week cycle. Team Grant Thornton will meet with the New Jersey State Contract Manager periodically, as outlined in the SOW. We will distribute meeting minutes within two business days of regularly scheduled occurrences.
- **Deliverables and Documentation.** Team Grant Thornton will provide copies of all status reports, monthly reports, and final reports to the Using Agency and the State Contract Manger, as well as any other regulatory agency upon request.

Copies of all deliverables and documentation developed under this contract will be maintained for a minimum of five years, and will be securely stored – as required in the SOW.

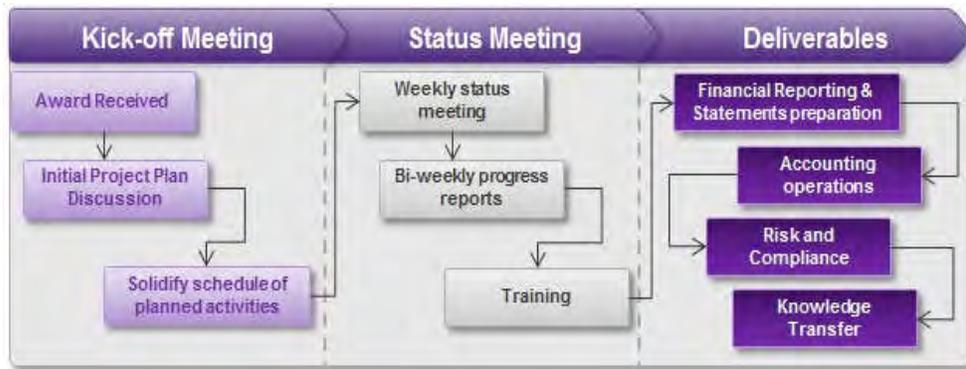
For each project, we will deliver a formal project plan with specific milestones, deliverables and activities to New Jersey EMS based on task order requirements.

**2.1 Understanding of Objectives and Nature of Required Work.**

We understand that Superstorm Sandy caused loss of life and unprecedented damage to New Jersey’s housing, business, infrastructure, health, and social services. As required by OMB’s Disaster Relief Act guidance, New Jersey must submit an internal control plan to OMB, GAO and its Inspector General’s Office. The plan must include the auditing of programs, processes and finances, including monitoring the integrity of spending to ensure that funds are spent for their intended purpose. As the State moves into the recovery phase in the aftermath of the storm, we understand that it seeks strategic consultant services designed to support all facets of intermediate and long-term recovery efforts. Team Grant Thornton is the consultant to aid the State of New Jersey in these efforts.

**2.2 Level of Effort to Successfully Complete the Contract.**

Grant Thornton will be ready to receive and begin assignments as soon as this contract is effective and manage each task effectively from beginning to end (Figure 7). Team Grant Thornton has offices throughout New Jersey that can each serve as work locations for personnel assigned to this contract. We have personnel in each location and will be available to apply their knowledge and research abilities to perform tasks required by this contract. All staff members that we



*Figure 7. Managing Tasks for Success*

initially intend to assign to this project have the required background checks, training and knowledge on monitoring, compliance, and grant administration to begin this project immediately upon award and assignment of tasks.

Grant Thornton has established proven methods for tracking and reporting on our work. We will provide weekly status reports that show the length of time each compliance review has been a part of our workload, the approved budget for each task, the labor costs to-date and any issues that our review teams have identified. We can easily adapt these reports to show assignments and progress made to-date on assignments given to us in any of the pools named in this SOW.

As proven efficient on our TXDPS engagement, we will develop internal mechanisms including a team shared web portal and Access database that allow us to track progress and share documents and findings easily. These mechanisms help us produce status reports quickly and accurately, as well as keep other information at hand that we or New Jersey might need. In addition, we have workpaper and reporting templates that standardize our work across subgrantees and PWs. We will expand and/or revise our workpapers and templates as needed to assist with the tasks under Pools 2 and 3 of the RFQ.

In short, we expect to need minimal preparation time in order to begin work under this contract. Any preparation that does take place will be done swiftly and at no cost to New Jersey EMS, and without any delay to commencement of services.

**Section 3: Contract Management**

The magnitude of the Hurricane Sandy recovery requires vast and diverse resources to ensure the necessary financial oversight. Team Grant Thornton will provide the State New Jersey with a wide array of resources and mechanisms to adequately monitor the financial integrity of this unprecedented recovery effort.

**3.1 Plan to Manage, Control, and Supervise Task Orders.**

Team Grant Thornton will work to ensure seamless communication and coordination as it relates to the management, control, and supervision of task orders. We have operated successfully under large, task order contracts. As described

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earlier in Section 1.4, we bring a proven approach to manage multiple, simultaneous task orders on time-sensitive programs. Our task order management protocol will be overseen by a joint leadership team. Task order responses and task order delivery will be signed-off on by our program manager and engagement partner, ensuring that there will be no differences in quality or level of support offered to the State or its designees between Pool 1, 2, or 3 response or task order management.

### 3.2 Communications with the State Contract Manager or Cooperative Partner

To ensure effective communication with the State Contract Manager and/or Using Agency and Cooperative Partner, we will establish a communication protocol for any task order issued. This protocol will include regular written and face-to-face communication, ensuring that we respond to top priorities and that our work is responsive, meeting client expectations.

For each task order, we will hold status meetings and provide status reports as requested by the Using Agency, but no less frequently than every two weeks. Each status report will include an update on our open assignments, activities completed, activities in process, status of action items, issues, and budget.

We will develop and maintain an integrated master schedule for the project, and our team leaders will review bi-monthly time and expense information to ensure the engagement is on budget. For the overarching contract, we will provide (1) a report every 4 weeks on analysis of data on fraud detection, outlier trends and progress by agencies or contractors to correct anomalies and system processes to provide verification of resolution and prevention of reoccurrence; and (2) Monthly reports on the resolution and closure of issues identified as result of any audit or monitoring from agencies providing oversight.

Once a task order is issued, should the Using Agency identify additional work or special projects beyond the task order, a written proposal will be submitted to the State Contract Manager for review and approval. No additional work or special projects will commence with the approval of the State Contract Manager and the Director of the Division of Purchase and Property. The State Contract Manager may also be engaged regarding any unresolved contract disputes.

All members of our Engagement Leadership team will be available to the State via phone or e-mail. We will stand ready to compile any contract or task information you request and return it to you within 24 hours.

**Contract Oversight and Compliance.** In addition to providing high quality services and deliverables, our Engagement Leadership team will work with our contract compliance specialists to ensure that we adhere to all contract provisions, including but not limited to:

- **Litigation Services:** Fully cooperating (at our own expense) with the State and providing all documentation and/or working papers necessary to represent and defend the State and any of its political sub-divisions in any matter before any Federal, State or local regulatory agency if any agency files a proceeding against the State or any of its political sub-divisions resulting from the implementation of the our recommendations.
- **Travel Expenses and Reimbursements:** Adherence to the General Services Administration (GSA) published travel rules and rates to include disaster specific amendments in accordance with the Federal Travel Regulations.
- **Data Confidentiality:** The protection and confidentiality of all data, including the completion of confidentiality agreements, security awareness and confidentiality training, and security clearances/background checks for all staff.
- **Document Retention/Material Ownership:** Document retention in accordance with Federal and State requirements and the transfer of ownership for all materials and technology solutions to the State (unless otherwise agreed to).
- **Insurance:** The maintenance of all required professional liability insurance. The insurance shall be in the amount of not less than \$5,000,000 and in such policy forms approved by the State.
- **Liquidated Damages:** The adherence to liquidated damages provisions associated with a failure to meet any required milestones, standards or deliverables, as appropriate.
- **Compensation and Payment:** Compliance with invoicing and payment terms as agreed to by the State, and in accordance with both Federal and State requirements.
- **Potential Conflicts of Interest:** The identification and avoidance of any and all potential conflicts of interest.

By providing designated Program Managers for each Pool, a standardized Project Management Process, ongoing communication, and rigorous contract oversight, Team Grant Thornton team will ensure that all Task Orders are completed to the highest standard and in accordance with all contract provisions.

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**Section 5: Resumes**

Resumes for Team Grant Thornton can be found in Attachment A.

**Section 6: Experience of Bidder on Contracts of Similar Size**

Team Grant Thornton brings a wealth of past performance experience in FEMA & HUD disaster recovery, grants management, internal controls, auditing, program management, process management/improvement, and fraud detection. We have carefully selected a representative set of engagements that best demonstrate our experience for each pool area.

**Pool 1 Past Performance:** Our experience in this pool includes disaster recovery assistance to New Jersey, Mississippi, Texas, Missouri, and Louisiana, in planning, management, execution and financial management related to the award and processing of disaster recovery grants. The technical approaches, methodologies and systems deployed demonstrate exceptional ability to plan, implement and manage the processes, risks and controls needed in the aftermath of a disaster. The State of New Jersey will benefit from our extensive hand-on experience in managing engagements of similar scope and size to that expected with Hurricane Sandy recovery efforts. **Figure 10** presents a subset of our past performances that highlight our experience in program and process management auditing.

Team Grant Thornton Experience	Task Area									
	A	B	C	D	E	F	G	H	I	J
FEMA, Public Assistance Technical Assistance Contract	☑	☑	☑	☑	☑	☑	☑			
Mississippi Development Authority, CDBG-DR Housing Program		☑	☑	☑	☑	☑	☑	☑	☑	☑
Texas General Land Office, Hurricanes Ike and Dolly CDBG-DR Implementation		☑	☑	☑	☑	☑	☑	☑	☑	☑
State of Missouri, Grant Management System Customization	☑	☑	☑	☑	☑	☑	☑	☑		
New Castle County, Construction Management			☑	☑		☑	☑		☑	
FEMA, Hazard Mitigation Assistance	☑	☑	☑		☑	☑	☑	☑		
Hudson County, Hazard Mitigation Plan	☑	☑	☑			☑	☑	☑		
City of Jersey City, Grant Writing and Administration	☑	☑	☑			☑			☑	☑
Cape May County, Hazard Mitigation Plan	☑	☑	☑			☑	☑	☑		
VA, A-123 Support Services	☑	☑		☑	☑	☑	☑			
US Virgin Islands, Grants Management Oversight		☑	☑		☑	☑	☑	☑		
State of New Jersey, Hazard Mitigation Plan Update	☑	☑	☑			☑	☑	☑		
Borough of Hightstown NJ, General Engineering Services	☑					☑			☑	☑
FMCSA, A-123 Support Services		☑	☑		☑	☑	☑	☑		
State of Texas, Compliance Audits on FEMA Grants	☑					☑				

*Figure 10. Pool 1 Past Performance Experience*

Listed below are detailed descriptions of the first three past performances from **Figure 10**.

Texas General Land Office Hurricanes Ike and Dolly CDBG-DR Implementation			
<b>Begin/End Date</b>	2012 – Present		
<b>Contact Information</b>	<b>Jorge Ramirez</b> <i>Deputy Commissioner</i> <a href="mailto:jorge.ramirez@glo.texas.gov">jorge.ramirez@glo.texas.gov</a> (866) 206-1084	<b>Javier Perez</b> <i>Housing Director</i> <a href="mailto:javier.perez@glo.texas.gov">javier.perez@glo.texas.gov</a> (866) 206-1084	
<b>Contract Value</b>	\$42.3M	<b>Contract Type</b>	IDIQ
Similarity in Size and Scope			
<p>URS provides the full spectrum of housing program management services for single and multi-family housing to the Texas General Land Office (GLO) in support of the Hurricane Ike/Dolly CDBG-DR Housing Recovery Program, Rounds 1 and 2. URS provided planning and policy development services in the pre-award cycle assisting with program development and compliance with CDBG-DR regulations and a Texas GLO Conciliation Agreement entered into with the Statewide Housing Advocates related to Fair Housing requirements and standards. URS-developed program management processes proved to be successful throughout the state and were tailored for regions with unique issues or differences.</p> <p>URS developed a process flow following major phases of the CDBG-DR program, including Operational Planning, Outreach, Intake, Eligibility, Environmental, Pre-Construction, Construction Management and Closeout. Each major phase has elements to meet the CDBG-DR requirements and support a cohesive program process. Major deliverables included Needs Assessments; Homeowner Opportunity Program (HOP) Guidelines; Outreach Plan and Materials; Intake Centers and Application Formats; Eligibility Determinations (utilizing data management systems and a process flow); GIS Systems; Standardized Plans and Specifications for Reconstructed Houses; Estimated Cost of Repair (ECR) formats and protocols for Rehabilitation; Procurement of a Statewide Contractor Pool; Construction Inspections utilizing newest technology (custom iPad app); and Project Closeout and Pay Application Process. URS provided program management and grant administration services in four communities to implement the housing recovery program in coordination with subrecipients, including:</p> <p><b>Southeast Texas Regional Planning Commission, Round 2, \$190M.</b> The Southeast Texas Regional Planning Commission (SETRPC) supports a 3-county region with 26 local incorporated communities with single and multifamily housing programs. To meet requirements of the Conciliation Agreement, URS conducted a Needs Assessment of the 3 county regions to determine Targeted Outreach Areas and focus the use of the CDBG-DR funding to the most qualified applicants. URS developed a Needs Assessment Methodology support by GIS technology that located areas of concentrated poverty, protected classes, and FEMA high risk areas to determine the best overall locations for Targeted Outreach.</p> <p><b>City of Galveston, Round 2, \$104M.</b> The scope for the program required intensive input and negotiation with Historic Preservation entities, including the Landmark Commission and the Texas Historic Commission. Severely restrictive building codes coupled with non-standard lot sizes created challenges for reconstruction compliance requiring new and creative approaches to normal program management. The URS scope includes developing a data management system; procuring a list of pre-qualified residential contractors; conducting site visits to develop work write-ups; preparing plans and specifications; building code review; conducting contractor training; preparing bid packages and bidding; conducting pre-bid conferences; making construction contract awards; conducting pre-construction conferences, making progress inspections; processing pay applications; and project closeout.</p>			

Mississippi Development Authority CDBG-DR Housing Program			
<b>Begin/End Dates</b>	2007 – 2013		
<b>Contact Information</b>	<b>Jon Mabry</b> Chief Operations Officer, Disaster Recovery Division (601) 359-2379 jmabry@mississippi.org	<b>Nell Rogers</b> Program Manager, Disaster Recovery Division (601) 359-9341 nrogers@mississippi.org	
<b>Contract Value</b>	\$53.7M	<b>Contract Type</b>	FFP/T&M Tasks
Similarity in Size and Scope			
<p>As part of the \$5.4B funding allocation from CDBG-DR for Hurricane Katrina damages, URS was contracted by the Mississippi Development Authority (MDA) to provide a variety of planning, environmental, and program and construction management services for the Housing Recovery Program along the Mississippi Gulf Coast. URS provided these services for 8 separate CDBG-DR programs, two of which were so successful they warranted a second round of funding. Individual program descriptions include:</p> <p><b>Elevation Grant Program (EGP), \$46.5M Program Funding:</b> URS processed a total of 3,266 applications representing \$46.5M in grant funding. URS provided program management, including data management, field investigations, and environmental reviews in order for the applicant to receive funding and construct their project. As part of the program guidelines development, URS created a data management and GIS system designed to streamline the approval process and move in a rapid, efficient manner so the applicants could receive their funding in a timely manner.</p> <p><b>Small Rental Assistance Program (SRAP), Rounds 1 &amp; 2, \$226.9M Program Funding:</b> The MDA contracted URS to provide program management services, consisting of application intake, application processing, eligibility review, title services, environmental review, field investigations, and data management services in support of the Small Rental Assistance Program for Mississippi residents and rental property owners that were impacted by Hurricane Katrina. The objective of the SRAP is to provide rental assistance, grants for repairs, renovations, or new construction to small rental properties. The program's intent is to increase the area's affordable rental units in Katrina impacted areas. URS processed a total of 1,861 applications disbursing more than \$226.9M in program funding.</p> <p>URS was charged with developing a process and managing 10 different disciplines (from cultural resources to IT database programmers) to implement a process to handle an intense amount of data, conduct field investigations, detailed reviews, and report to various agencies. The scope of the project included development of a Programmatic Agreement with federal, state, local, and tribal agencies that are stakeholders in the NEPA review process. SRAP was one of the most successful recovery programs resulting in a significant increase in affordable rental property and assisting with the long term recovery of the region.</p> <p><b>Neighborhood Rental Restoration Program (NRRP), \$41M Program Funding:</b> The MDA contracted URS to provide program management, which consisted of application intake, applications processing, eligibility reviews, title reviews, environmental and project management services in support of the Neighborhood Rental Restoration Program (NRRP) for Southern Mississippi residents that were impacted by Hurricane Katrina.</p> <p><b>Long-Term Workforce Housing Program, \$329.5M Program Funding:</b> The LTWH program assists individuals with low or moderate incomes attain adequate housing, destroy and prevent slums and blight, and assists communities with rapid recovery due to an immediate threat to the well-being of the residents. URS disbursed more than \$329.5M in program funds for the LTWH program consisting of more than 50 subrecipients or grantees in a two-year period.</p> <p><b>Alternative Housing Pilot Program (AHPP), \$20M Program Funding:</b> MDA contracted URS to assist with the program management services that included feasibility assessments, field investigations, foundation recommendations, environmental reviews and project closeout for this program.</p> <p><b>Neighborhood Home Program (NHP), \$132M Program Funding:</b> URS provided program management consisting of application processing, eligibility, damage assessments, environmental and construction management services in support of the NHP for Mississippi residents that were impacted by Hurricane Katrina and have unmet housing recovery needs.</p>			

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FEMA Public Assistance Technical Assistance Contract			
<b>Begin/End Dates</b>	1985 – Present (5 consecutive contracts)		
<b>Contact Information</b>	<b>Eddie Murphy</b> COTR <a href="mailto:Eddie.Murphy@fema.dhs.gov">Eddie.Murphy@fema.dhs.gov</a> (202) 646-2948	<b>James Walke</b> Risk Reduction Division Director <a href="mailto:James.Walke@fema.dhs.gov">James.Walke@fema.dhs.gov</a> (202) 646-2751	
<b>Contract Value</b>	\$1B+ (Total lifetime)	<b>Contract Type</b>	T&M
Similarity in Size and Scope			
<p>URS, as part of the NISTAC joint venture, provides post-disaster technical support and programmatic assistance to FEMA within all 10 FEMA regions. Its scope of work involves responding to all types of natural and man-made disasters, including residential housing. NISTAC has responded to 350+ disasters, 1,000+ project assignments, the concurrent management of 100+ TOs in multiple locations, and rapid deployment of staff. NISTAC's resourcefulness has enabled it to deploy staff on a less-than-48-hour notice hundreds of times, sending 400+ people to help with the 2004 hurricanes and 650+ people in response to Hurricane Katrina. To increase program efficiency and consistency, NISTAC developed a program management database and web program management tool to expedite project tracking and monthly reporting. It also developed a damage cost estimating system that FEMA's Public Assistance Division has used to estimate \$4B+ in disaster damage repairs. NISTAC's QMS uses ISO 9001:2000 protocols and incorporates strict QA controls and measures. Its QA process includes a formal client feedback survey that queries technical, management, schedule, and cost performance on completed tasks. FEMA has issued NISTAC consecutive project awards for outstanding performance since 1985 and incentive fees every year since the contract type changed to performance-based.</p> <p><b>Hurricanes Katrina, Rita, and Wilma:</b> Provided over 225 engineers, technical and senior staff to address the unprecedented response and recovery efforts. Led special technical teams to address restoration of hundreds of justice facilities, police stations, prisons, courthouses, fire stations and utilities. Provided recommendations on the restoration of public transportation and emergency transportation services. Provided senior planners to assist with Long Term Recovery efforts. Led GIS support to entire Public Assistance operation. To address the critical need to re-establish police, fire and justice system capabilities, NISTAC developed and led a specialty Justice Team that worked closely with FEMA to expedite the assessment/grant eligibility for over 220 justice facilities in Louisiana.</p> <p><b>Housing Assistance Following 1992 "Storm of the Century."</b> NISTAC was tasked with conducting the entire mobile home/travel trailer contractor selection and oversight following the "Storm of the Century" in the Florida Panhandle from Tampa to Tallahassee, FL. NISTAC developed the scope of work, selected the sites and approved the installation of mobile homes and travel trailers installed on individual homeowner's property while they completed repairs on their flood damaged homes. NISTAC also conducted the inventory for both turn over to the resident and inventory when the trailers were no longer needed.</p> <p><b>Stafford Act Programs:</b> NISTAC's recent completion of Long-Term Recovery support in Wisconsin received accolades from FEMA management for our innovative approaches and efficient and effective planning support. Our staff have detailed Fire Management Assistance experience and were the principal authors of FEMA's Fire Management Guide.</p> <p><b>Emergency Support Function (ESF) #14: Long Term Community Recovery Support.</b> NISTAC supported FEMA in development of policies, standard operating procedures for ESF #14, and coordinated meetings and conferences of ESF #14 primary and support agencies.</p>			

**Section 7: Additional Experience of Bidder**

Team Grant Thornton has assisted grantees and subgrantees through all aspects of the disaster grant cycle – to prepare, respond, and manage. We understand how to apply sound financial and Governmental accounting practices, processes, and controls to every aspect of this cycle. Most importantly, we bring to bear our significant experience in grants compliance and close-outs to enhance every aspect of the grant cycle, always working with the end-result in mind.

In the aftermath of disasters and expenditure of funds, State and subgrantees are constantly at risk of having Federal funds de-appropriated based on reviews by FEMA and OIG audits. We apply our in-depth understanding of commonly found audit exceptions, typically resulting from a failure to comply with Federal guidelines, inadequate documentation, and inadequate accounting practices, to help mitigate the de-appropriation of funds. We apply this knowledge and experience throughout every step of the grant cycle to help ensure a positive end result.

The following are examples of some of the engagements conducted to support grantees and subgrantees.

- **State of Texas, Department of Public Safety, Texas Division of Emergency Management (TDEM)** - In 2011, Grant Thornton was engaged by TDEM to conduct compliance audits of subgrantees for FEMA PA grants. The audits involve evaluating internal controls; examining the subgrantee's supporting documentation for project expenditures; evaluating their compliance with relevant statutes, regulations, and grant agreements; and reporting the audit results. Currently the contract includes reviewing \$272,000,000 in FEMA grants and performing audits of 339 PWs for 76 subgrantees. The project requires Grant Thornton to work with State and local entities across the State of Texas. Costs audited under this engagement include labor, purchases (materials and equipment), contracts, rentals, direct administrative costs, and debris removal/management.
- **Carleton College** - Grant Thornton supported Carleton College in Minnesota with its insurance claims and FEMA PA grants following area-wide flooding on September 23, 2010. We assisted the College throughout the PA grant application process, the project kickoff with State and FEMA representatives, and throughout the entire PW process. Our specific support included:
  - Participating in the planning process assisting FEMA to identify required projects;
  - Helping develop accounting procedures and controls to capture costs by PW;
  - Attending meetings with FEMA and the State to address cost eligibility and other issues;
  - Assisting Carleton in the defense of cost eligibility challenges from FEMA;
  - Collaborating with representatives of the State and FEMA in PW development; and
  - Assisting in the determination and analysis of Section 406 Hazard Mitigation.
- **FEMA Office of PA – Special Community Disaster Loans** - From April 1 through July 1, 2011, Grant Thornton analyzed Special Community Disaster Loan (SCDL) appeal requests that were submitted by several local Governments (appellants) in the States of Louisiana and Mississippi who received SCDL funds in the aftermath of Hurricane Katrina. The appeals were filed in response to FEMA's original determination that SCDL funding for those localities could only be partially cancelled or not cancelled at all. The request for SCDL forgiveness was granted to local Governments receiving SCDL funds for Hurricane Katrina under the provisions of the *U.S. Troop Readiness, Veterans Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007*. This 2007 Act provides FEMA the authority to cancel all or a portion of SCDLs that meet the cancellation criteria in Title 42 U.S.C. 5184 (Stafford Act) Section 417, *Community Disaster Loans* (c)(1), *Cancellation*. FEMA's procedures and criteria for cancellation of the SCDLs are set forth at Title 44 CFR Section 206.376, *Loan Cancellation*. Grant Thornton's analysis was done to determine if findings existed to recommend whether FEMA should modify or reverse their original decision regarding partial or no forgiveness of SCDL funds according to the terms of 44 CFR 203.376.
- **FEMA -Office of the Chief Financial Officer, Disaster Finance Center** - Grant Thornton assisted the Department Deputy Chief Financial Officer in identifying improper payments in accordance with the provisions of OMB Memorandum M-03-13, *Improper Payments Information Act of 2002, Public Law 107-300*; to determine the causes of the improper payments; and recommend action plans for addressing those causes and reduce the likelihood of such payments. Specifically our services included:
  - Performing a reassessment of risk for all programs;

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- Selecting a transaction sample using a methodology that is compliant with the OMB guidelines;
- Obtaining sufficient supporting documentation for each sample item;
- Performing detailed tests of transactions for each sample item;
- Projecting the error rate and error dollar amounts to the entire population; and
- Providing results of our tests to the Department to be reported in the Performance and Accountability Report.

### **Section 8: Disclosure**

To the best of our knowledge, Team Grant Thornton has not provided services on the State contract G-8034 Consulting: Disaster Recovery.

### **Section 9: Financial Capability of the Bidder**

Grant Thornton LLP is a private limited liability partnership. Our firm policy prohibits the release of our financial information, which is consistent with the practice of other large accounting and management advisory firms. To assist you in your consideration of our proposal, however, please consider the Confidential information contained in the Grant Thornton Letter of Financial Strength in Attachment B and will respond to further questions, as needed.

### **Section 10: Additional Requirements**

Grant Thornton has included all of the requirements under of RFQ Section 12.0, Additional Requirements, in the attachments listed in **Table 2**.

Attachment	Requirement
C	Ownership Disclosure Form
D	Disclosure of Investigations and Other Actions Involving Bidder Form
E	Disclosure of Investment Activities in Iran
F	Certification of MacBride Principles and Northern Ireland Act of 1989
G	Subcontractor Utilization Form
I	Affirmative Action Employee Information Report
J	New Jersey's Standard Terms and Conditions
K	Source Disclosure Certification Form
L	Two-Year Chapter 51/EO 117 Vendor Certification and Disclosure of Political Contributions
M	Federal Vendor Letter
N	Cooperative Purchasing Form

Table 2. List of Attachments

## POOL 2 RESPONSE

### Section 11: Technical Proposal

On October 21, 2012, Governor Chris Christie signed Executive Order (EO) 104 declaring a State of Emergency in New Jersey related to the aftermath of Hurricane Sandy, which caused massive property damage and loss of life. On October 30, President Obama declared New Jersey a major disaster area. The New Jersey Office of Emergency Management (NJOEM), in cooperation with the New Jersey Office of Homeland Security and Preparedness (OHSP) and other State entities, executed the State's existing Emergency Operation Plans (EOP) in responding to their needs during and immediately following the hurricane. As the State moves into the recovery phase in the aftermath of the storm, it seeks strategic consultant services designed to support all facets of intermediate and long-term recovery efforts.

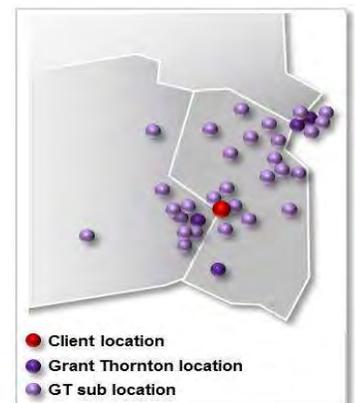


On March 12, the Office of Management and Budget (OMB) released guidance<sup>2</sup> to executive departments and agencies on the internal controls and planning required for aid received through the Disaster Relief Appropriations Act (Public Law 113-2) (Disaster Relief Act). Because relief funding of this magnitude (\$50.5 billion) carries additional risk, OMB is requiring agencies to ensure that the funds appropriated under the act are used for their intended purposes. By March 31, each Federal agency was required to submit an internal control plan to OMB, the Government Accountability Office (GAO), and the agency's Inspector General (IG).

Recently, Governor Christie unveiled the State's Community Development Block Grant Disaster Recovery (CDBG DR) Action Plan delineating the ways in which the State will spend the first phase of the funds provided by the U.S. Department of Housing and Urban Development (HUD). To address the extensive devastation caused by the storm, the plan proposes a range of programs to provide relief. As recovery efforts get underway, the State must put in place auditing of programs, processes, and finances, including monitoring the integrity of spending to ensure that funds are spent for their intended purpose. The State has issued a request for quote for firms to provide these services.

#### 11.1 Our Team

Grant Thornton is a leading audit, accounting, and advisory firm with broad experience in grants monitoring, compliance reviews, and A-133 audits. We have assembled a team with the right resources and qualifications to perform all of the services across each of the three pools. We are teaming with firms specializing in disaster recovery - Science Applications International Corporation (SAIC), URS Group, Inc. (URS), and Muller Bohlin Associates; engineering – Tetra Tech and Robert Engineering Group; and accounting/financial management – TCBA Watson Rice LLP. This mix of hands-on expertise in disaster recovery and audit/financial management with a combination of large and small businesses, several of which are New Jersey-based, provides the State with the right team for meeting the needs of Using Agencies. We have multiple locations in New Jersey and neighboring states allowing us to quickly respond to your needs.



 **Grant Thornton** *An instinct for growth™* **Grant Thornton LLP** is the United States (US) member firm of Grant Thornton International (GTI), one of the largest global accounting, tax, and business advisory organizations in the world. Through member firms in 113 countries, including 50 offices in the US, Grant Thornton partners and employees provide personalized attention and the highest quality service to clients around the globe. Grant Thornton's Global Public Sector (GPS), based in Alexandria, Virginia, is a global management consulting practice providing responsive and innovative financial, performance management, and system solutions to Government and international organizations.

<sup>2</sup> OMB Memorandum M-13-07, "Accountability for Funds Provided by the Disaster Relief Appropriations Act", dated March 12, 2013.



**URS** is ranked as the number one engineering firm in Engineering News-Record (ENR). The firm is a Forbes Top 100 firm and a leading provider of pre- and post-disaster response and recovery program management, policy, planning, engineering, construction, and technical services for public and private sector agencies for the past 20 years. Supporting the response and recovery efforts associated with over 900 Federally declared disasters, URS is a nationally recognized leader in pre- and post-disaster Stafford Act grants management and has successfully overseen over \$20B dollars in infrastructure and housing recovery grant allocations. A global leader with local knowledge, URS has over 50,000 employees worldwide; **1,500 located in the company's New Jersey offices.**



**SAIC** is a FORTUNE 500® scientific, engineering, and technology applications company that uses its deep domain knowledge to solve problems of vital importance to the nation and the world, in national security, energy and the environment, critical infrastructure, and health. The company's approximately 40,000 employees serve customers in the U.S. Department of Defense (DOD), the Intelligence Community (IC), the U.S. Department of Homeland Security (DHS), other U.S. Government civil agencies and selected commercial markets.



**TCBA Watson Rice LLP** has served Government sector clients for over 30 years providing a wide range of accounting and audit services to Federal agencies, including contract/grant audits. As a small business, TCBA Watson Rice has more than 200 professionals with the following certifications: Certified Fraud Examiner (CFE), CPA, CIA, and CISAs; all working together to deliver the highest quality service in the areas of financial auditing, accounting, employee benefits plans, forensic accounting, tax and financial management services, business assurance and consulting, and Information Technology (IT) services. TCBA Watson Rice has offices in New Jersey, New York, Pennsylvania, Connecticut, Maryland, and Washington DC.



**Tetra Tech**, a publicly owned consulting firm, offers a full spectrum of professional engineering and planning services, including specialized management consulting and technical services in resource management, infrastructure, and construction. Tetra Tech is one of the leading firms specializing in disaster management and homeland security, with contracts in hazard mitigation; infrastructure hardening and protection; emergency response/management, planning, and preparedness; exercise design and training delivery; and grants management. As a nationally recognized leader in the development of Hazard Mitigation Plans (HMP) approved by the Federal Emergency Management Agency (FEMA), they have been preparing countywide multi-jurisdictional plans for Pennsylvania, New Jersey, and New York. The 2012 ENR magazine's ranking of the Top 500 engineering firms in the country placed Tetra Tech as the 8th largest provider of engineering and technical services (July 2012).



**Robert Engineering Group** LLC is a civil engineering and surveying firm specializing in municipal, utility, infrastructure, roadway, and site development engineering, as well as project and construction management. The firm is certified as a women business enterprise and approved as a small business enterprise by the New Jersey Commerce & Economic Growth Commission, Office of Development for Small Business, and Women and Minority Businesses. The firm's municipal engineering services are provided under appointment as engineer in municipalities in both Mercer and Monmouth Counties. As municipal engineers, they provide day-to-day engineering services for clients and prepare plans for capital construction projects, including construction administration and inspection. Many projects are funded through various State and Federal grant programs and as such, we have established very specific project frameworks for monitoring compliance with the technical and budgetary requirements set forth.



MULLER BOHLIN  
ASSOCIATES, INC.

**Muller Bohlin Associates** Muller Bohlin Associates is a woman-owned professional services small business located in Perth Amboy, New Jersey. With a dedicated staff of engineers, planners, and project managers, Muller Bohlin provides capacity for funding procurement, administration, and project management, supporting projects from concept through implementation. Our team of experts supports clients on a host of fronts, with a particular focus on grants, grant administration, and unique and proven funds tracking capabilities. With over 16 years of project experience, they have an exceptional track record and a wide range of program management experiences. The firm has Subject Matter Experts (SME) in procurement and administration of all forms of funding, including Federal, State, corporate donor, and foundation.

## 11.2 Our Value Proposition

Team Grant Thornton is comprised of highly talented firms that stand ready to meet the needs of the State of New Jersey on day one. We bring well-established methodologies and practices, grounded in strong internal controls that will help New Jersey maintain the highest integrity in its grant spending. We offer you:

- **Expert services:** Team Grant Thornton brings the talents and experience of seven firms with specializations in disaster recovery, grants management, financial management, audit/internal controls, e-Grants technology, and engineering. Our people are what make our firms, bringing a wealth of experiences with a deep skill base that for our clients to leverage. In addition to the bench of consultant and advisory resources, we bring a cadre of former Federal and State executives with reach back to assist with challenges and issues that arise at both the Federal and State level. The State of New Jersey will get the right mix of expertise and diversity from large international firms with the ability to draw on a deep bench of resources and from local New Jersey firms representing the small business community.
- **Solid prior disaster recovery expertise:** Our team has direct experience with disaster recovery from “boots on the ground” support to routine monitoring and reporting to providing strategic advice and direction on issues at the local, State, and Federal level. We have helped with FEMA, HUD, and other disaster recovery grants and are familiar with the myriad of regulations and guidance on the use of grant funding.
- **Audit perspective:** As an Independent Public Accounting firm, Grant Thornton brings deep experience and understanding on what can go wrong with the internal controls on disaster recovery grants. We have helped many Federal and State organizations with their grants monitoring functions, implementing internal control programs that monitor the right activities and outcomes. In addition, we have leveraged data effectively for fraud monitoring assisting Federal IGs with research on their hotline tips on possible fraud. At the Recovery and Accountability Transparency (RAT) Board, we research and analyze tips on possible fraud related to American Recovery and Reinvestment Act (ARRA) grants.
- **e-Grants experience:** Our team has direct experience with a variety of Federal electronic grants management software platforms, including FEMA eGrants and the National Emergency Management Information System (NEMIS) for more than a decade. eGrants is used by FEMA to track all of their non-disaster mitigation grant applications, awards, and reports. NEMIS is used to track hazard mitigation grant program dollars and program requirements. URS and its staff utilize these systems on a daily basis in support of FEMA mitigation grant programs. The team is able to bring to the State of New Jersey not only an in-depth understanding of the technical components of the system, but more importantly, the data within the system and how that data is compiled and reviewed.

## 11.3 Financial Auditing and Grant Management

The State of New Jersey, and ultimately its many political subdivisions throughout the impacted areas of Superstorm Sandy, are eligible to participate in numerous Federal grant programs designed to aid in short and long term recovery. Team Grant Thornton will provide grantees and subgrantees with expert financial auditing and grant management services based on our history of previous performance on similar engagements.

### **1.1.11 Task A: Plan, implement, administer, coordinate, monitor and evaluate the specific activities of all assigned financial and administrative functions. Develop and modify policies/procedures/systems in accordance with organizational needs and objectives, as well as applicable Government regulations.**

The first steps to effectively plan, implement, administer, coordinate, monitor, and evaluate the specific activities of all assigned financial and administrative functions is to have effective and useful policies and procedures.

Team Grant Thornton has developed an effective and comprehensive methodology to address client requirements to develop and modify financial policies and procedures. Our methodology is based on a lifecycle of seven distinct phases, implemented through various tasks aimed at providing clients with the assurance of high quality policy and procedures deliverables. Recognizing the uniqueness of each engagement, our approach allows for deviations from the activities and tasks of each phase in order to meet the goals and objectives of a client and deliver high-quality products and services. **Figure 11** depicts this methodology.

During each phase of the methodology, described briefly in **Figure 12**, we will work closely with the client’s POC and financial management community to deliver high quality, user-friendly material. Note, however, that phases are not necessarily completed sequentially on each engagement. Rather they may be executed simultaneously or in coordination with each other, depending upon the specific requirements and state/condition of the existing policy and procedural documents.

**Audit Integrity Monitoring (RFQ #:768892S)**



*Figure 11. Financial Policy and Procedures Methodology Steps*

Phases	Benefits
<p><b>Phase 1 – Review and assess existing policies.</b> We will conduct a detailed assessment of existing policy statements, desktop procedures, and available materials before updates are made to ensure new documents conform to best practices and authoritative pronouncements..</p>	<p>The client will obtain knowledge of specific needs based on Team Grant Thornton’s assessment and will know new policy Statements, desktop procedures, and other available materials will be founded in best practices.</p>
<p><b>Phase 2 – Develop gap analysis.</b> We will establish the “as-is” state of existing policy statements, desktop procedures and other available materials, recommending remedies to overcome gaps and/or weaknesses in the present state.</p>	<p>The client will benefit from the elimination of gaps in current documents and improved buy-in from staff personnel through their participation in the policy and procedure development process. We will address actions needed to rectify the gaps and/or weaknesses.</p>
<p><b>Phase 3 – Develop communication plan.</b> We will identify all stakeholders, milestones, communication mediums, internal and external to the State, discuss the roles and responsibilities of each key stakeholder and entity directly involved in communications, and determine the most appropriate mechanisms to be used to maintain effective communications across the organization.</p>	<p>The State will make key policy Statements, desktop procedures, and other materials available to more than just accounting personnel so that there is a greater awareness of the importance of accounting and financial matters; garner stakeholder buy-in and encourage end-to-end involvement in the development and update process.</p>
<p><b>Phase 4 – Develop web-enabled content management system.</b> We will work to help the State understand the purpose of updating and maintaining policy statements, desktop procedures, and other available materials; will garner staff buy-in for both the development and update process; and will determine if the State has an existing system or portal to maintain, track, and store documents.</p>	<p>The State will update its system or portal regularly to help ensure that its documents are always current and maintained in a secure environment. We will work with the State to help ensure its preferred tool for document maintenance is hosted in a secure environment.</p>
<p><b>Phase 5 – Edit, revise and develop policies.</b> We will establish a clear, consistent process for developing new and revised policy and desktop procedures, taking into account the State’s business practices, preferences and uniqueness. This ensures elimination of deficiencies in existing documents.</p>	<p>The State will enhance its documentation to comply with accounting pronouncements and Federal/State accounting standards, plus be in a better position to provide up-to-date information to assist auditors. We will maintain a version control folder to help ensure all client review comments are properly addressed.</p>

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Phases	Benefits
<p><b>Phase 6 – Develop methodology for updating policies.</b> We will help establish a methodology for updating policy and desktop procedures to incorporate changes quickly and reissue guidance on a timely basis. Team Grant Thornton will help guide the State through the creation and implementation of the change process, helping to ensure timely updates.</p>	<p>The State will gain from Team Grant Thornton's expertise in assisting other clients in the update function to avoid having outdated policy Statements and procedures. Knowing these policies and procedures are current helps to strengthen the State's financial and grant management oversight function.</p>
<p><b>Phase 7 – Develop and deliver training.</b> We will identify the State staff to be trained on how to develop, update and maintain policies and procedures. We will train them on the "why" as well as the "what" in producing new and revised policies and procedures.</p>	<p>The State will see the benefit of engaging its staff in training activities to learn the proper procedures and techniques to use in developing and updating policies and procedures.</p>

*Figure 12. Policy and Procedures Methodology*

We will implement this methodology and share our knowledge with the State as we have successfully done with many clients. A list of current and past clients where Grant Thornton was the prime contractor is presented in **Figure 13**. In all of these entities, our work has helped standardize processes, increase efficiency, and strengthen internal controls. In addition, we have provided clients with a framework for updating policies and procedures. Through our existing methodology, library of templates, relationships with and knowledge of various clients, and our experienced staff and knowledgeable advisors, we will also "get it right" the first time, reducing the burden on your staff.

Client	Extent of Work	Description of Work
Veterans Affairs	Full	Agency-wide financial policy development
National Aeronautics and Space Administration	Partial	Agency-wide financial policy development
Yale University	Partial	Budgeting and funds management
Morehouse College	Partial	Budgeting and funds management
Office of Justice Programs	Partial	Overall accounting operations
Transportation Security Administration	Partial	Overall accounting operations
Administrative Office of United States Courts	Partial	Overall financial management improvement
Court Services and Offender Supervision Agency	Full	Financial reporting and Statement preparation
United States Coast Guard	Full	Desktop accounting operations

*Figure 13. List of Current and Past Clients for Financial Policy and Procedure Work*

In addition, we have substantial experience in developing and modifying policies, procedures, and systems in accordance with organizational needs and objectives, as well as applicable Government regulations specifically related to A-123 engagements. Grant Thornton has provided OMB Circular A-123, Appendix A implementation support to over 20 Federal agencies. As part of our A-123 engagements, we develop/document and modify (through updates) clients existing financial management procedures including documentation of their internal controls in order to meet circular A-123 Appendix A requirements (organizational need/Government requirement). At the Federal Transit Administration (FTA), we assessed the adequacy and effectiveness of internal controls for the Revised Circular A-23 Appendix A and Federal Managers Financial Integrity Act (FMFIA) program. During this process, Team Grant Thornton documented the grant making and monitoring process for formula and discretionary grants. This included reviewing applications in FTA's grants management system for completeness.

**1.1.12 Task B: Provide technical knowledge and expertise to assist in the integration of the Electronic-Grants management program into the State finance and accounting system.**

Team Grant Thornton has both the subject matter expertise and technical experience to help New Jersey with the integration of their E-Grants System (SAGE) with the New Jersey Comprehensive Financial System (NJCFIS) accounting system. Our team has been working with grants management systems and grants-related data for the last 10 years. Our

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solutions have been used to manage the application, review, award, and post-award monitoring for over \$1 billion in grants and cooperative agreements for the Centers for Disease Control's (CDC) public health emergency preparedness and response and immunizations programs. In addition, members of our team have extensive experience in data management, integration, and migration with specific experience in developing and deploying solutions for the automated daily migration and integration of mainframe Extended Binary Coded Decimal Interchange Code (EBCDIC) based raw datasets to and from UNIX and Windows-server databases.

This specific experience in grants management, systems development, and data integration and migration places our team in a unique position to assist New Jersey with this task. If necessary, Team Grant Thornton would be able to adapt and customize the most current iteration of this system, eGrATIS, for use by both New Jersey management and monitoring personnel, as well as subgrantees. The system allows for the electronic submission (via secure web-based portal) of subgrantee applications for funding, to include the submission of detailed work plan activities, detailed line-item budget justification, and the linkages between them, as well as any performance measures (milestones, deliverables, and target metrics, etc.). Finally, eGrATIS has a comprehensive built-in ad hoc reporting platform that provides visibility and access to data across all subgrantees for both high level summary reporting (dashboards, scheduled and emailed reports, etc.) as well as more detailed line-item level reporting.

**1.1.13 Task C: Review and make recommendations to streamline the grant management and fiscal management processes to ensure accountability of funds and compliance with State and Federal program regulations.**

Team Grant Thornton has the knowledge, expertise, and proven performance credentials to review and streamline the State's grants and fiscal management processes. Team Grant Thornton is well versed in compliance with disaster-related regulations and will work with the State to update processes in a way that enhances both accountability and compliance.

We will help establish processes that allow the State to monitor awarded projects by first determining related requirements and eligible cost based on the type of project, periodically reviewing cost estimates and project schedules while pro-actively advising the State, as well as subgrantees if desired. Grants and financial management processes will incorporate the end-to-end process of initiating, monitoring and auditing projects utilizing disaster-relief funding.

The new processes will also include mechanisms for periodic progress reports to check for accuracy, completeness, and alignment with program objectives. In accordance with CDBG requirements, we will help to ensure the State uses at least half of DR funds for activities that principally benefit low-and moderate-income persons and that eligible activities meet at least one of three program national objectives. These objectives include benefiting persons of low and moderate income, aiding in the prevention or elimination of slums or blight, or meeting other urgent community development needs because existing conditions pose a serious and immediate threat to the health and welfare of the community where other financial resources are not available. We will further provide guidance and assistance to the State on documentation requirements, keeping in mind the Code of Federal Regulations Title 44, the FEMA Disaster Assistance Policy, and other audit-specific requirements. Specifically, we will help to institute processes that validate that projects are fully supported and audit ready, based on the cost types claimed. We will confirm that the process includes a checklist/program guide to make grant and subgrant applicants aware of all required documentation for the major different cost types incurred (where applicable), including, but not limited to items noted in **Figure 14** below:

Grant Cost Type	Documentation Required
Force Account (FA) Labor	Timesheets, HR records for salary rates, benefit calculations, termination records, payroll registers, and proof of payment to employee.
FA Equipment	Inventory listings, ownership documents, usage logs, rate schedules, and operator timesheets.
FA Materials	Inventory listings, documentation to support purchase price or market price at time of disaster, and usage logs.
Purchases (materials or equipment)	Requisitions, purchase orders, invoices, receipts, documentation on salvage value received, and proof of payment.
Rentals	Rental agreements, purchase orders, invoices, rented/leased equipment logs, and proof of payment.

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Grant Cost Type	Documentation Required
Contracts	Signed contracts and all change orders, bid solicitation, submitted bids, award documentation, proof of Excluded Parties List System (EPLS) testing for each vendor, purchase orders, invoices, and proof of payment.
Direct Administrative Costs (DAC)	FA labor support or contracts support (depending on type of DAC incurred).
Debris Removal	Signed debris removal and debris monitoring contracts, rental/lease agreements, load and unit tickets, FHWA documentation, monitoring logs, invoices, and proof of payment.

*Figure 14. Cost Types and Required Documentation*

The improved processes will follow up with the subgrantees throughout the recovery process to monitor the progress of awarded projects. Specifically, they will use methods such as comparing percentage of project completion to the budget or comparing actual costs incurred to the budget to determine if the project is on schedule and within budget. There will also be a mechanism for monitoring projects through regular site inspections to determine if projects and related costs are in line with the approved scope of work and causes of project delays are properly documented.

The improved grants and financial management processes will allow the State to review cost overruns, help subgrantees process requests for improved projects and advances, and identify potential unallowable costs. Identifying unallowable costs early in the project will enable the grantee or subgrantee to avoid including these costs in the final PW. ***As a result, the State will save on audit-related costs because the earlier in the process we can prevent or detect and correct issues, the more efficient and expeditious required audits will run.*** The updated processes will also include steps to request project extensions or change requests. Active project monitoring will allow the State to determine necessary extensions earlier and more accurately.

A key component of any new process is monitoring and reporting. We will help the State design and populate ad-hoc reports to monitor cost overruns, budget status, impending risks, and matters requiring additional attention. These recommended process updates and tracking/monitoring tools will ensure accountability of funds and compliance with State and Federal program regulations.

#### **1.1.14 Task D: Provide tools to be used by Using Agencies for the assessment of the performance of the financial transaction processes.**

As an overall program management tool, Team Grant Thornton has the ability to implement the performance management branch, which focuses on three key strategies: 1) committing to the needs of the state, its sub-grantees and other known stakeholders; 2) enabling a successful workforce; and 3) delivering timely, accurate, and reliable deliverables. In support of this project, Team Grant Thornton can provide the following key services:

- Stand up the program infrastructure;
- Provide thought leadership in the areas of balanced scorecards and dashboards;
- Coordinate monthly data collection processes;
- Produce a monthly performance dashboard compiling results and trends for noted performance measures;
- Advise the State on key trends and opportunities through analysis of the performance data;
- Provide communication support and workgroup stewardship; and
- Supported the State of New Jersey Governance structure and decision-making process.

In addition, we will help set up customized checklists that will then be incorporated into tailored project plans, which will be provided to the State (and Using Agencies) with set milestones and due dates for required activities. The process will validate that ongoing monitoring activities are conducted in accordance with project guidelines and payment requests are promptly and correctly processed based on the project type (small versus large project), the needs of individual Using Agencies (availability of cash flow), and in accordance with applicable FEMA regulations and State laws. Team Grant Thornton will also employ the use of our Microsoft Excel-based issue tracking tool to keep track of common deficiencies, such as missed deadlines. The tracking tool will identify the issue, reason for the issue, an action plan to help remediate the deficiency, within a prescribed period of time, and a POC for monitoring the resolution to completion. Team Grant Thornton used a similar tool at FMCSA to track CAP related to internal control deficiencies. Over the course of 8 years, we used this tool to assist FMCSA in closing 232 CAPs. In addition, we will develop a collaboration Sharepoint site where we house all of

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the assessment tools and checklists, electronic work papers, testing spreadsheets, client provided supporting documentation, compliance reports, and status reports. We will also use the site as a resource center. The site will include FEMA reference documents, related Federal and New Jersey Government codes, Government audit policies documents, team knowledge sharing documents, and training material. The site enables us the flexibility required to meet your current and future needs. Your team will have access to this website and will be able to monitor project process on a real time basis as well as upload and download documents as needed. For example, on the Texas Department of Public Safety (TXDPS), this tool has allowed us to manage effectively files for the State of Texas as well as files for over 330 PWs assigned to us over the last year. Grant Thornton will train the Using Agencies on these tools and any other tools necessary to track and assess performance of the financial transaction process. **We believe these tangibles coupled with our experienced staff are the key to providing you the service you deserve.**

**1.1.15 Task E: Monitor all grant management, accounting, budget management, and other business office functions regularly.**

As a requirement of receiving FEMA and CDBG disaster recovery funds, each grantee is responsible for the design, implementation, and oversight of its grant program, including the monitoring of subgrants and any activities undertaken through the grant.

As noted in **Figure 15**, Team Grant Thornton has a proven grants methodology and approach, which has been used to support all aspects of the grants life cycle from pre-award activities to post award monitoring and oversight. Our methodology will be the foundation used to ensure effective monitoring of all grant management, including related accounting, budget, and other business office functions as needed.

We believe that the best way for us to serve the State is to provide you with a team of experienced professionals, who will recognize risks and address potential issues as they occur, in order to provide you with the most valuable service. **The initial staff members that will be assigned to this task are currently performing or have performed FEMA grants compliance reviews in other States.** We know which regulations consistently

cause confusion and will work to mitigate any confusion during the project's execution and ongoing activities. Our institutional experience allows our professionals to understand the unique set of challenges in coordinating and monitoring Federally funded disaster grants such as retaining the proper documentation to support cost, procuring goods/services using eligible contracting methods, and applying other funds received to the project in order to reduce FEMA claimed amounts, ultimately minimizing the risk of FEMA de-obligating funds. This knowledge will help us model your processes in a way that increases accountability, targets compliance, and minimizes findings.

We used our grant coordination and compliance experience to conduct post-award monitoring of over 500 colleges and universities in support of the NASA Goddard Space Flight Center (GSFC). Specifically, Team Grant Thornton validated grantee compliance with agency grants management policies and reconciled over 11,000 grants amounting to over \$2.2 billion in journal entries, while documenting improvements to the grants management process. These actions helped to remediate a grants reconciliation backlog and closeout audit finding.

**1.1.16 Task F: Provide and/or identify training for staff in the area of detection and prevention of fraud, waste and abuse.**

Inadequate subgrantee monitoring often leads to the misuse, abuse, and waste of Federal funds. Effective oversight, internal control, and proper training are of fundamental importance in assuring the proper and effective use of Federal funds *Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.*



Figure 15. Grant Life Cycle Activities

to achieve program goals, including detecting and preventing fraud, waste, and abuse. Effective internal control systems provide reasonable assurance to taxpayers that grants are awarded properly, recipients are eligible, and Federal funds are used as intended and in accordance with applicable laws and regulations. ***Our understanding of Federal grants, from an auditing perspective, allows us to identify areas most susceptible to material errors early in the process and provide the State with the proper training to avoid these mistakes.***

We will work with the State by reviewing current training agendas and assessing staff knowledge and capabilities to determine whether adequate and effective training and resources (i.e. policies and procedures, operating manuals, and quick-reference desk guides) are in place to navigate successfully the recovery process. We stand ready to address any gaps identified in the State's training needs. For example, Team Grant Thornton has created and delivered a 2-day comprehensive training course on the public assistance grant program. The course is designed to provide an understanding of FEMA PA grant guidelines, how these guidelines should be applied to subgrant applications, and how the subgrantees' projects will be reviewed and audited. Specifically, the training course provides an overview of the program and discusses the different cost types, allowable and unallowable costs, common mistakes and omissions when documenting the project, and sources for obtaining additional information. ***As we already have a training course ready, we can quickly tailor it to the State's specific needs surrounding content, budget, required travel, and other considerations if desired.*** A clear understanding of the rules and regulations will minimize waste and abuse while effective internal controls will aid in the detection and prevention of fraud.

In addition, in 2012, Team Grant Thornton developed and delivered to Veteran Affairs employees a program integrity training specifically related to fraud, waste, and abuse. Topics covered during the training included; the distinction between fraud waste and abuse; understanding the shared roles and responsibilities in preventing and detecting fraud, waste, and abuse; current fraud schemes and "sample hot spots"; industry practices that support effective fraud, waste, and abuse control programs (standardization); and external resources for building effective processes and programs. Grant Thornton has the knowledge and expertise to deliver a similar training to the State on demand.

### **1.1.17 Task G: Ensure compliance with all applicable Federal and State accounting and financial reporting requirements.**

Based on our current work with TXDPS, we believe the best way to ensure compliance is to perform individual compliance reviews (which include site visits) of subgrantee projects. This strategy allows us to properly understand the individual projects, the entity executing the project, challenges faced and more importantly identify non-compliance early, allowing the grantee/subgrantee to correct the issues prior to the governing body (FEMA CDBG etc.) auditing the project. Grant Thornton takes a multi-phased approach to our compliance review process. The phases include planning, fieldwork and reporting. Each phase is explained in more detail in the subsequent sections.

PHASE I: PLANNING

PHASE II: FIELDWORK

PHASE III: REPORTING

***Planning.*** During the planning stage, Team Grant Thornton will review the PW to clearly understand the project, the scope, the cost involved, and the requirements. After we obtain an initial understanding of the project, we will coordinate with the subgrantee to schedule the site visit to perform the actual compliance review. In order to facilitate an efficient site visit, we will send the subgrantee an information request list commonly referred to as the Provided by Client (PBC) list. The initial PBC list will include payroll (including overtime) policies, and procedures; purchasing/procurement policies and procedures; and the population/data file for each expense type claimed on the PW the following, as applicable depending on expense types involved).

We will request these items be provided prior to the site visit so that we are able to review all policies and procedures and select and submit samples to the subgrantee in order to prepare for the site visit. For each sample selected, our initial request for support documentation will include but is not limited to the following:

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- **FA labor:** Timesheet, payroll registers, benefit calculations, and salary information;
- **FA equipment/FA materials:** Inventory listings, usage logs, and rate schedules;
- **Purchases (materials or equipment):** Requisitions, purchase orders, invoices, receipts, and proof of payment;
- **Rentals:** Rental agreements, purchases orders, invoices, and rented/leased equipment logs;
- **Contracts:** Signed contracts, bid solicitation, submitted bids, award documentation, notice of acceptance, EPLS testing documentation, and invoices purchase orders;
- **DAC:** FA Labor support or contracts support depending on type of DAC charged; and
- **Debris removal:** Signed contracts, load and unit tickets, monitoring logs, invoices, and proof of payment.

**Fieldwork.** After the planning and pre-work is complete, we will have an official fieldwork kick-off meeting in which we will meet with the subgrantee. An agenda will be provided, which will include the contacts (both subgrantee and Team Grant Thornton members assigned to the review), discussion on the areas under review, timeline, subgrantee and Team Grant Thornton responsibilities, as well as logistics and administrative items.

Ideally, at the fieldwork kick-off meeting, the subgrantee will have the requested documentation available for scanning and testing. However, we understand that this is a new process for some subgrantees and will work with them to obtain the proper documentation. During the fieldwork phase, for each expense type noted in the PW, we will use one sample item to walk through the process from the point the need is determined through payment. For example, if water is purchased for evacuees, we will walk through the purchase of the water from the development of the purchase order through delivery and payment. This helps us understand the subgrantee policies and procedures in place during the disaster and identify any controls in effect during the disaster related to the specific expense. Typically, controls identified are approval and authorization controls. This is not a comprehensive internal control review of the entity, rather a disaster-focused internal control review to compliment the compliance review.

The general objective of testing the different expense types is to determine whether the funds awarded under the PW were expended and accounted for in accordance with applicable Federal and State laws, and with the provisions of the grant. We noted the major expense types include, force account labor, force account equipment, force account materials and purchases, direct administrative cost, contracts and debris removal. Below we will describe our plan for reviewing each expense type.

**FA Labor.** The purpose of testing FA labor is to determine that the labor worked by subgrantee employees was in scope of the project, properly supported by timesheets, for disaster-related activities, and actually incurred. Accordingly, we will review tasks performed by each employee selected in our testing sample to determine that the task performed was within scope and the PW period. We will then review timesheets to validate the hours claimed and review HR records to validate the rate claimed for each employee. We will verify employees were employed by the subgrantee at time of expense by reviewing termination records. If any fringe benefits were claimed, we will recalculate those amounts in accordance with the specified policies and procedures. Lastly, we will review payroll registers to verify payment was made to the employee prior to amount being claimed to FEMA. ***Per the FEMA PA Guide, Chapter 5, FEMA provides assistance only for those costs incurred up to the latest approved completion date for a particular project. However, the project still must be completed for any funding to be eligible for that project.*** We will verify that costs claimed equal actual amounts incurred. While testing FA Labor, we will test for allowable costs including, but not limited to, the following:

- Verify that only overtime hours are claimed to FEMA for debris removal for Category A;
- Determine whether the 24/16 rule was followed for Category A and B projects; and
- Determine whether costs fall within the 72 hour rule referenced in Disaster Assistance Policy 9523.9.

**FA Equipment.** The purpose of testing FA equipment is to determine whether equipment was owned by the subgrantee at the time of disaster, used for disaster related activities, and claimed to FEMA using appropriate rates. Depending on the type of equipment used, we will review inventory listings or other ownership documents such as titles and registrations to verify the equipment was owned by the subgrantee prior to disaster. To verify usage, we will obtain equipment logs and trace logged hours to operator timesheets if equipment requires an operator. We will also determine whether the lower of

State and local rates or FEMA rates were used, validate the rates with the appropriate schedule, and use the rates to recalculate the claimed amount (hours used X proper rate).

**FA Materials and Purchases.** FA materials will be tested similarly to FA equipment with the exception of the rate tables. There are no known rate tables for materials. However, we will test the rates of materials used from subgrantee inventories by using purchase documentation, if available, or market price at the time of disaster of similar materials. Procedures over usage logs and inventory listings to verify usage and ownership, respectively, are consistent with procedures that will be performed for FA equipment.

We will test purchases to determine whether the purchases are within the scope and proper time period of the project, valid, supported, recorded accurately, and necessary for the disaster. We will review purchase orders to confirm purchases were in scope (including the proper time period) and determine whether the purchase was necessary for the project. We will agree the purchase orders to the invoices and/or receipts to verify that the purchase was valid, accurate, and properly supported. Then we will test for proof of payment to confirm the purchases were incurred. Proof of Payment is typically tested using cancelled checks or bank Statements. Lastly, we will perform testing to determine whether project-specific equipment was disposed of for salvage value by reviewing inventory listings and the equipment account in the accounting system. This is an important step as FEMA, per the FEMA PA Guide, Chapter 2, requires that claims be reduced by all applicable credits, such as anticipated insurance proceeds and salvage values.

**Rentals.** After we determine that rentals are within scope (including the PW period), we will review the rental agreement to verify conditions are met and the rentals claimed to FEMA are supported by the agreement. Specifically, we will review the invoices and purchase orders to determine the rates, dates, and usage are in accordance with the signed agreements. Proof of payment will be used to verify the expense was incurred. Depending on the type of rental, other procedures will be performed to validate rentals are allowable.

**Contracts.** For each contract selected in our sample, we will determine whether the contract was competitively bid, if applicable (contracts over specified thresholds), by reviewing bid advertisements, submitted bids, award letters, etc. If a contract is a Statewide contract, the procurement of the contract would be reviewed once and not on a subgrantee by subgrantee basis. ***Per 44 Code of Federal Regulations, subgrantees must not make any award or permit any award at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension."*** As such, we will review the subgrantee's documentation of their check of the EPLS during the time the contract was initiated to verify that the vendor was not on the list. If the subgrantee did not perform EPLS testing at the time of the award, we will perform it for the current time period. We will test selected invoices and purchase orders against the contract to determine contract conditions were met including rates used, services/goods provided and time period. Then, we will determine the type of contract and perform additional procedures based on the specific contract type including, but not limited to:

- **Fixed Price:** Compare contractor invoices/progress invoices with schedule of values to contract and FEMA claimed amount;
- **Time and Materials:** Verify that invoiced rates and usage are within contract parameters, performing additional labor or equipment testing as necessary. In addition, determine whether the 70-hour rule was adhered to if applicable;
- **Professional Services:** Verify that invoiced rates and hours agree to the contract. Validate necessity and applicability of travel expense claims; and
- **Cost Plus a Percentage of Cost:** In accordance with 44 Code of Federal Regulations, verify that this contracting method is not used.

Lastly, as tested for all expense types, we will verify proof of payment for any contract service provided.

**DAC.** *Per Disaster Assistance Policy 9525.9, FEMA will reimburse DAC incurred by grantees and subgrantees when it is properly documented and directly chargeable on a PW for a specific project.* DAC covers cost incurred in requesting, obtaining, and administering the grants. DAC typically comes in two forms, FA labor (labor performed by subgrantee's personnel) and management group DAC (contracted labor). For FA labor DAC, we will perform FA labor testing as noted above and for management group DAC charges, we will perform contracts testing as noted above.

**Debris Removal.** For debris removal projects, we will verify that activities claimed were a direct result of a Presidentially-declared disaster, occurred within the designated disaster area, were the legal responsibility of the subgrantee, and were in the interest of the public. Eligible debris removal activities include the clearance of trees and woody debris; building components or contents; sand, mud, and gravel; wreckage etc. Debris removal and monitoring activities can be performed by subgrantee personnel or contracted. If the removal is performed by subgrantee personnel, FA labor and FA equipment testing may be required. If debris removal activities are performed by contractors, we will perform contracts testing as noted above over the debris removal and debris monitoring contracts. **Per PA Debris Monitoring Guide 327, debris removal activities should be monitored and “failure to properly monitor debris removal operations may jeopardize PA funding.”** Accordingly we will test monitoring activities in accordance with the guide.

For the load ticket testing, we will obtain the sampled load tickets and the monitoring file and validate that each load ticket includes detailed information such as pick-up and disposal time, debris monitor’s name and signature, debris type, and estimated fill percentage or weight if scales are used. We will perform attribute testing over the load tickets to verify accuracy and eligibility while ensuring that tickets trace to a specific invoice. **We will then perform analytical procedures over the monitoring file to test for anomalies based on FEMA guidance.** Some analytical procedures performed include, but are not limited to, pick up times before sunrise and disposal times after sunset, load quantities over 100%, excessive mileage, trips over multiple days, trip time based on type of debris, etc. We will also perform testing over tipping fees, staging charges and FHWA reduction, where applicable. To verify other types of funding were applied to costs before determining FEMA claimed amount, we will obtain revenue receipts for recycled materials, mulch diverted for beneficial use, and salvage value received. Lastly, as tested for all expense types, we will verify proof of payment for all debris removal costs claimed.

**Insurance, Donated, and Other Funds.** In accordance with Disaster Assistance Policy 9525.2 and 9525.3, we understand that claims to FEMA should be net of funds provided from other sources such as insurance companies, grants/funds from other Governmental entities, salvage value from the sale of equipment, refunds from contractors/vendors and donated resources. To test insurance, we will first obtain the subgrantee’s insurance policies, insurance Statement, Statement of loss, and insurance payments to determine whether the project was subject to insurance proceeds. If it is determined that insurance proceeds were received or will be received, we will obtain support for the total insurance allowed and review how the subgrantee applied the insurance to verify that all insurance proceeds were accounted for and that amount claimed to FEMA is net of applicable insurance proceeds. If no insurance policy was in place but should have been in place due to past disasters, State ordinances, or other requirements, costs will be questioned in the amount of proceeds that would have been received had the policies been in place. To test for additional sources of funding, we will review bank Statements received for proof of payment request for instances of miscellaneous receipts or other revenue. We will also review the equipment account for instances of salvage value. Lastly, we will obtain a signed “Attestation for Duplication of Benefits for FEMA PA Grant” from the subgrantee. The attestation will require the subgrantee to certify with a signature what additional funds were received or that no additional funds were provided in support of the project.

For all expense types tested, we will document our results and conclusions including any instances of non-compliance noted in the related work papers, which will then be summarized in the compliance report.

**Reporting.** Upon completion of the fieldwork phase of each project, we will discuss the finding and recommendations with the grantee/subgrantee. We will also prepare a project summary report, which will include an introduction, project description, summary of results, questioned costs/findings by expense category, other observations, subgrantee’s response and conclusion. Our report will conclude on the supporting documentation reviewed for the subgrantee expenditures and evaluate compliance with Title 44 Code of Federal Regulations, other relevant statutes, regulations and OMB circulars and grant agreements.

#### 11.4 Action plan for responding to requests for an engagement.

Our ability to provide the required services begins with our team and task management capabilities. Our approach to managing our teaming partners combines disciplined task order management with proactive communication for efficient coordination of team resources to deliver compliant, quality services as one, seamless team. Our task order management process, illustrated in **Figure 16**, is replicable and scalable for effective team management across multiple task orders at

varying lifecycle phases. We incorporated proven methods based on best practices from the Project Management Body of Knowledge (PMBOK) and built a delivery process from Project Management Institute (PMI) standards to balance flexibility in execution with standardization of process and quality. Using this approach, we have successfully delivered task orders across our engagements within budget, on time, with exemplary performance evaluations from customers.

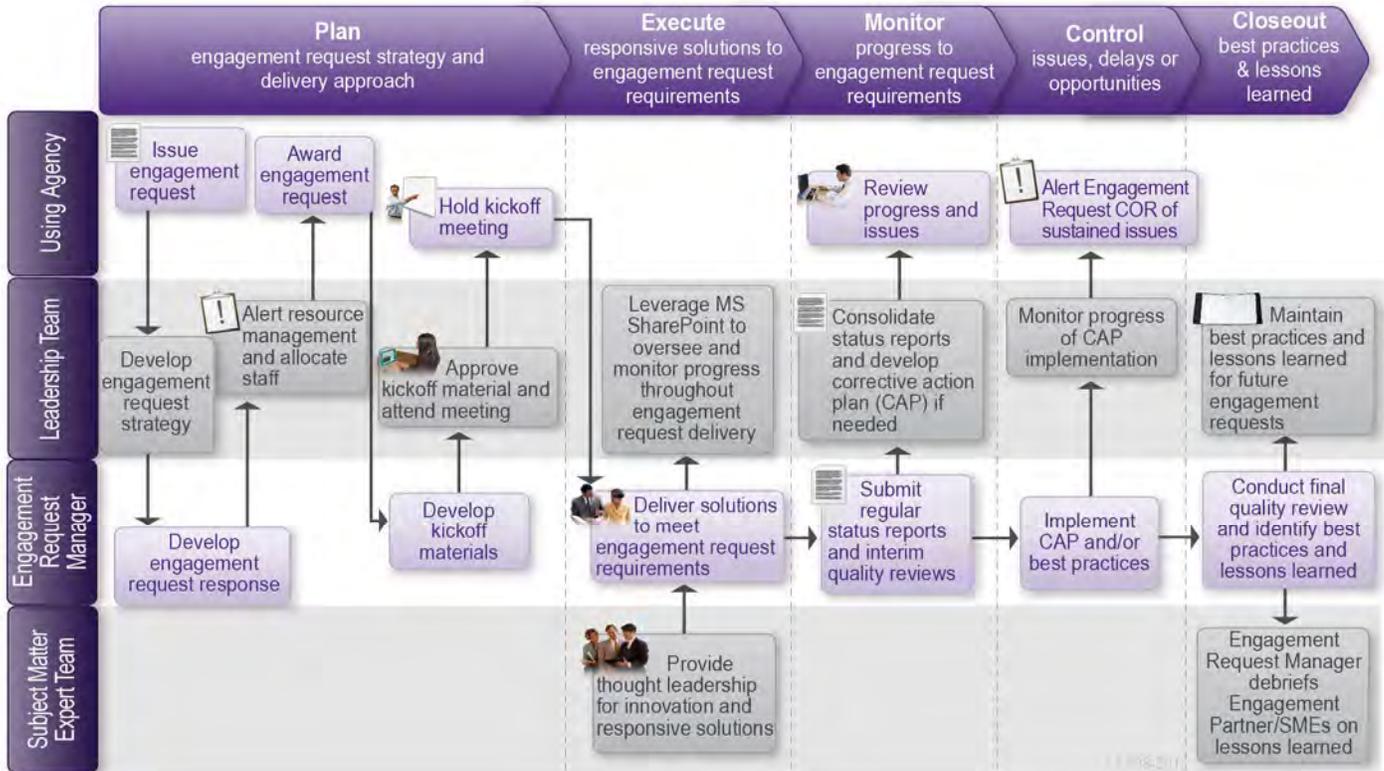


Figure 16. Task Management Process

Our teaming approach enables effective collaboration with our teaming partners. We interact well in advance of commencing a task order so teammates understand requirements, goals, and objectives, as well as quality and performance standard expectations. Our leadership team and teaming partners evaluate each task order approving final solution and resource composition to meet customer requirements and mitigate anticipated risks. This integrated teaming approach delivers our team’s best-in-class capabilities to customers.

1.5 List of previously held, or currently held, contracts with similar services provided by the bidder

Section 16 contains information on contracts held that demonstrate our experience and the value of key contracts.

**Section 12: Management Overview**

Team Grant Thornton views project planning as the first critical component of any project. We believe the key to quality in a large project is a well-defined project management approach that will ensure tasks are completed effectively, efficiently and with the highest quality. As we deploy teams to assist Using Agencies with the tasks outlined in the Statement of Work (SOW), our Project Management Process will enable our team to focus on specific deliverables within each pool, reduce project risk, improve quality and establish formal communication channels.

Our project management process (Figure 17) has seven dimensions that encompass activities designed to promote completion of audit and monitoring tasks with the highest standard of quality, on time and within budget. The seven Project Management Process dimensions are:

- **Quality management:** Each task performed will be reviewed using our quality management approach to ensure all deliverables meet professional standards and your needs.
- **Scope management:** Audit boundaries are effectively controlled through continuous interaction with management.
- **Time management:** Each phase of the audit or grants management process will include the appropriate identification of activities, milestones, resources and deliverables to ensure completion within established timeframes.
- **Methodology management:** The project management process identifies specific task activities associated with the completion of testing to obtain sufficient evidence to conclude on the audit or monitoring task. In determining appropriate testing procedures, we will review the impact of the methodology as it relates to the budget and operations.
- **Talent management:** Our talent management process ensures resources assigned to the audit or monitoring task have the right skills and backgrounds to complete their assigned tasks.
- **Risk management:** Risk identification, analysis, and mitigation are key components of completing an audit or monitoring task in a timely manner.
- **Communications management:** Each phase of the audit or monitoring task will include activities associated with the collection and distribution of engagement information, including identified risks, decisions, status reports and deliverables.



Figure 17. Project Management Process

To manage and control the project, we will use approaches in our Engagement Management Guide, based on best practices in the PMI's PMBOK that identifies proven techniques for initiating, planning, executing, controlling and closing complex projects. Our project management approach consists of best practices in several areas, including:

- **Kickoff meeting.** As a first step toward successfully completing each project, within one week after contract award, Team Grant Thornton will conduct a kickoff meeting with the Contracting Officer (CO) and Contracting Officer's Representative (COR) and personnel whom he or she deems appropriate.
- **Project plan.** To manage schedules effectively and consistently across tasks, Team Grant Thornton PMs maintain a master project plan in MS Project. They will maintain the formal, comprehensive master project plan to describe project execution activities, activity durations and activity status for project tasks.
- **Personnel management.** Team Grant Thornton will provide experienced and qualified personnel who have performed and will perform the tasks specified in any future PWS. Team Grant Thornton will submit notification for approval of any changes to key personnel to the CO.
- **Status reporting and meetings.** Team Grant Thornton will use regular status reports and meetings to provide updates on work performed during the period, address areas of concern or potential setbacks, highlight significant findings, provide recommendations for resolution of issues, socialize completed activities and accomplished milestones, outline status of pending deliverables and discuss planned activities for the next period. We will provide a monthly report to report on the analysis of fraud detection, outlier trends, and progress by agency and contractors to correct anomalies, and system processes to provide verification of resolution and prevention of reoccurrence. We will deliver progress reports on the first business day following the conclusion of a four-week cycle. Team Grant Thornton will meet with the New Jersey State Contract Manager periodically, as outlined in the SOW. We will distribute meeting minutes within two business days of regularly scheduled occurrences.
- **Deliverables and Documentation.** Team Grant Thornton will provide copies of all status reports, monthly reports, and final reports to the Using Agency and the State Contract Manger, as well as any other regulatory agency upon request. Copies of all deliverables and documentation developed under this contract will be maintained for a minimum of five years, and will be securely stored – as required in the SOW.

For each project, we will deliver a formal project plan with specific milestones, deliverables and activities to New Jersey EMS based on task order requirements.

**2.1 Understanding of Objectives and Nature of Required Work.**

We understand that Superstorm Sandy caused loss of life and unprecedented damage to New Jersey’s housing, business, infrastructure, health, and social services. As required by OMB’s Disaster Relief Act guidance, New Jersey must submit an internal control plan to OMB, GAO and its Inspector General’s Office. The plan must include the auditing of programs, processes and finances, including monitoring the integrity of spending to ensure that funds are spent for their intended purpose. As the State moves into the recovery phase in the aftermath of the storm, we understand that it seeks strategic consultant services designed to support all facets of intermediate and long-term recovery efforts. Team Grant Thornton is the consultant to aid the State of New Jersey in these efforts.

**2.2 Level of Effort to Successfully Complete the Contract.**

Grant Thornton will be ready to receive and begin assignments as soon as this contract is effective and manage each task effectively from beginning to end (Figure 18). Team Grant Thornton has offices throughout New Jersey that can each serve as work locations for personnel assigned to this contract. We have personnel in each location and will be available to apply their knowledge and research abilities to perform tasks required by this contract. All staff members that we initially intend to assign to this project have the required background checks, training and knowledge on monitoring, compliance, and grant administration to begin this project immediately upon award and assignment of tasks.

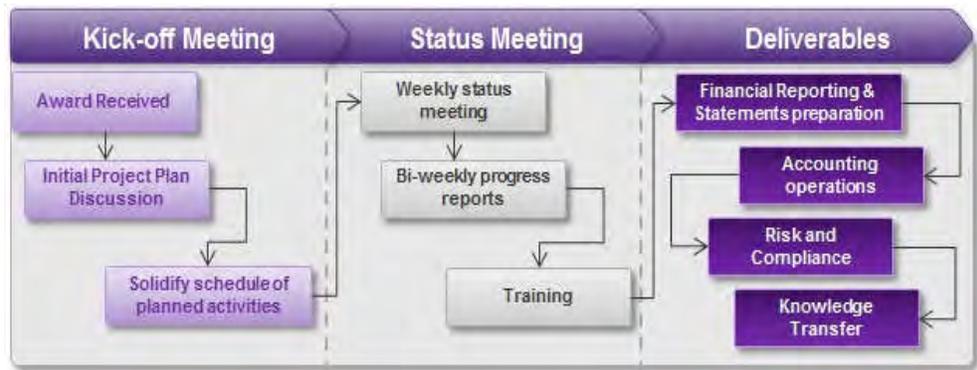


Figure 18. Managing Tasks for Success

Grant Thornton has established proven methods for tracking and reporting on our work. We will provide weekly status reports that show the length of time each compliance review has been a part of our workload, the approved budget for each task, the labor costs to-date and any issues that our review teams have identified. We can easily adapt these reports to show assignments and progress made to-date on assignments given to us in any of the pools named in this SOW.

As proven efficient on our TXDPS engagement, we will develop internal mechanisms including a team shared web portal and Access database that allow us to track progress and share documents and findings easily. These mechanisms help us produce status reports quickly and accurately, as well as keep other information at hand that we or New Jersey might need. In addition, we have workpaper and reporting templates that standardize our work across subgrantees and PWs. We will expand and/or revise our workpapers and templates as needed to assist with the tasks under Pools 2 and 3 of the RFQ.

In short, we expect to need minimal preparation time in order to begin work under this contract. Any preparation that does take place will be done swiftly and at no cost to New Jersey EMS, and without any delay to commencement of services.

**Section 13: Contract Management**

The magnitude of the Hurricane Sandy recovery requires vast and diverse resources to ensure the necessary financial oversight. Team Grant Thornton will provide the State New Jersey with a wide array of resources and mechanisms to adequately monitor the financial integrity of this unprecedented recovery effort.

**3.1 Plan to Manage, Control, and Supervise Task Orders.**

Team Grant Thornton will work to ensure seamless communication and coordination as it relates to the management, control, and supervision of task orders. We have operated successfully under large, task order contracts. As described earlier in Section 1.4, we bring a proven approach to manage multiple, simultaneous task orders on time-sensitive programs. Our task order management protocol will be overseen by a joint leadership team. Task order responses and task

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order delivery will be signed-off on by our program manager and engagement partner, ensuring that there will be no differences in quality or level of support offered to the State or its designees between Pool 1, 2, or 3 response or task order management.

### 3.2 Communications with the State Contract Manager or Cooperative Partner

To ensure effective communication with the State Contract Manager and/or Using Agency and Cooperative Partner, we will establish a communication protocol for any task order issued. This protocol will include regular written and face-to-face communication, ensuring that we respond to top priorities and that our work is responsive, meeting client expectations.

For each task order, we will hold status meetings and provide status reports as requested by the Using Agency, but no less frequently than every two weeks. Each status report will include an update on our open assignments, activities completed, activities in process, status of action items, issues, and budget.

We will develop and maintain an integrated master schedule for the project, and our team leaders will review bi-monthly time and expense information to ensure the engagement is on budget. For the overarching contract, we will provide (1) a report every 4 weeks on analysis of data on fraud detection, outlier trends and progress by agencies or contractors to correct anomalies and system processes to provide verification of resolution and prevention of reoccurrence; and (2) Monthly reports on the resolution and closure of issues identified as result of any audit or monitoring from agencies providing oversight.

Once a task order is issued, should the Using Agency identify additional work or special projects beyond the task order, a written proposal will be submitted to the State Contract Manager for review and approval. No additional work or special projects will commence with the approval of the State Contract Manager and the Director of the Division of Purchase and Property. The State Contract Manager may also be engaged regarding any unresolved contract disputes.

All members of our Engagement Leadership team will be available to the State via phone or e-mail. We will stand ready to compile any contract or task information you request and return it to you within 24 hours.

**Contract Oversight and Compliance.** In addition to providing high quality services and deliverables, our Engagement Leadership team will work with our contract compliance specialists to ensure that we adhere to all contract provisions, including but not limited to:

- **Litigation Services:** Fully cooperating (at our own expense) with the State and providing all documentation and/or working papers necessary to represent and defend the State and any of its political sub-divisions in any matter before any Federal, State or local regulatory agency if any agency files a proceeding against the State or any of its political sub-divisions resulting from the implementation of the our recommendations.
- **Travel Expenses and Reimbursements:** Adherence to the General Services Administration (GSA) published travel rules and rates to include disaster specific amendments in accordance with the Federal Travel Regulations.
- **Data Confidentiality:** The protection and confidentiality of all data, including the completion of confidentiality agreements, security awareness and confidentiality training, and security clearances/background checks for all staff.
- **Document Retention/Material Ownership:** Document retention in accordance with Federal and State requirements and the transfer of ownership for all materials and technology solutions to the State (unless otherwise agreed to).
- **Insurance:** The maintenance of all required professional liability insurance. The insurance shall be in the amount of not less than \$5,000,000 and in such policy forms approved by the State.
- **Liquidated Damages:** The adherence to liquidated damages provisions associated with a failure to meet any required milestones, standards or deliverables, as appropriate.
- **Compensation and Payment:** Compliance with invoicing and payment terms as agreed to by the State, and in accordance with both Federal and State requirements.
- **Potential Conflicts of Interest:** The identification and avoidance of any and all potential conflicts of interest.

By providing designated Program Managers for each Pool, a standardized Project Management Process, ongoing communication, and rigorous contract oversight, Team Grant Thornton team will ensure that all Task Orders are completed to the highest standard and in accordance with all contract provisions.

**Section 15: Resumes**

Resumes for Team Grant Thornton can be found in Attachment A.

**Section 16: Experience of Bidder on Contracts of Similar Size**

Team Grant Thornton brings a wealth of past performance experience in FEMA & HUD disaster recovery, grants management, internal controls, auditing, program management, process management/improvement, and fraud detection. We have carefully selected a representative set of engagements that best demonstrate our experience for each pool area.

**Pool 2 Past Performance:** Team Grant Thornton brings solid expertise in auditing entities at the federal, state and local level and has helped many organizations ensure that controls are in place, operating and working as intended. In addition, we have helped organizations develop, implement and monitor financial policies and procedures that comply with regulations at all levels of government. We bring deep expertise in Single Audit with intimate familiarity with OMB Circular A-133 and its application to disaster recovery grants. **Figure 21** provides a sampling of our relevant experience that displays the breadth of our experience in financial auditing and grants management.

Team Grant Thornton Experience	Task Area						
	A	B	C	D	E	F	G
State of Missouri, Grant Management System Customization	☑	☑	☑	☑	☑		☑
VA, A-123 Support Services	☑		☑	☑	☑	☑	☑
City of Jersey City, Grant Writing and Administration	☑	☑	☑	☑	☑		☑
FEMA, Hazard Mitigation Assistance	☑	☑	☑	☑	☑		☑
State of Mississippi, CDBG-DR Implementation	☑	☑	☑	☑	☑		☑
FMCSA, A-123 Support Services	☑		☑	☑	☑	☑	☑
State of Texas, Hurricanes Ike and Dolly CDBG-DR Implementation	☑	☑	☑	☑	☑		☑
FEMA, Public Assistance Technical Assistance Contract	☑	☑	☑	☑	☑		☑
VHA, Independent Assessment of Purchase Care Program Integrity	☑			☑		☑	☑
FTA, A-123 Support Services	☑	☐	☑	☑	☑	☑	☑
US Virgin Islands, Grants Management Oversight	☑	☑	☑	☑	☑		☑
The New Jersey Pipe Trades Association	☑	☑	☑	☑	☑		☑
CNCS, Financial Management & Business Support	☑		☑	☑	☑		☑
FEMA, Housing Inspection Services	☑	☑	☑		☑		☑

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Figure 21. Pool 2 Past Performance Experience

Detailed descriptions of this past performance are as follows:

Missouri State Emergency Management Agency Grant Management System Customization Services			
<b>Begin/End Date</b>	June 2004 – June 2014		
<b>Contact Information</b>	Theresa Stiles Project Manager <a href="mailto:Theresa.Stiles@dps.mo.gov">Theresa.Stiles@dps.mo.gov</a> 573-526-9266	Shelly Honse Deputy Administrator <a href="mailto:Shelly.Honse@dps.mo.gov">Shelly.Honse@dps.mo.gov</a> 573-526-7324	
<b>Contract Value</b>	\$1,300,000	<b>Contract Type</b>	FFP
Similarity in Size and Scope			
<p>Tetra Tech provides IT development and management support for use of their Electronic Grant Management System (EGMS) to track and manage homeland security grant expenditures and facilitate reporting of those expenditures to the Missouri SAA and U.S. DHS. EGMS is a customized internet-based grant management solution that efficiently:</p> <ul style="list-style-type: none"> <li>Tracks/accounts for grant funds with real-time reporting for project budgets/balances;</li> <li>Facilitates management/reporting grant-related data to Federal Grants Reporting Tool;</li> <li>Links fund distribution to goals, objectives, target capabilities, investment justifications;</li> <li>Accounts for equipment in accordance with applicable Federal Acquisition Regulations;</li> <li>Integrates administration of Homeland Security Grant Programs with existing IT systems enabling data sharing; track/manage cost share/match requirements at SAA/local level;</li> <li>Supports management of project budgets and reimbursements; and</li> <li>Creates sub-grantee grant-specific reporting to memorialize desktop and on-site audits performed to assess sub-grantee's financial/programmatic adherence to guidance.</li> </ul> <p>Tetra Tech began work with the Missouri State Emergency Management Agency (SEMA) in 2003 to create a customized HLS grant software solution. Tetra Tech began development by conducting Joint Application Development (JAD) sessions to review SEMA's business model, documenting critical processes to be developed later. The combination of JAD sessions with continual business process re-engineering and software refactoring led to EGMS development and implementation. Resultant system has created efficiencies, accomplishes data integrity, and has reporting capabilities that dramatically increased grant management effectiveness. SEMA uses EGMS to manage over 2,000 grants with more than 30,000 individual line items, from the inception of the SHSGP to the present fiscal year, consisting of over \$300M.</p> <p>In January 2010, DHS OIG audited SEMA management of State Homeland Security Program and Urban Area Security Initiative grants awarded during FY2005 and FY2007, including an EGMS assessment. OIG identified EGMS as a best practice for grant management tools, stating that EGMS removed traditional barriers to effective grants management. OIG recommended FEMA consider evaluating EGMS for potential use by other jurisdictions in their grant management efforts.</p> <p>Tetra Tech has implemented versions of EGMS for the Emergency Management Agency in the States of Ohio and Maine. Similar JAD sessions were completed to document Ohio EMA's business process and to make EGMS integration into other business units more fluid. Tetra Tech developed and implemented a workflow management tool that makes business process workflows implemented in the software more easily configurable.</p>			
Department of Veterans Affairs A-123 Support Services			
<b>Begin/End Date</b>	December 2005 to Present		
<b>Contact Information</b>	Lino Vera Procurement Officer <a href="mailto:Lino.Vera@va.gov">Lino.Vera@va.gov</a> 512-981-4415	Reece Milner Associate Director, Internal Control Service <a href="mailto:Reece.milner@va.gov">Reece.milner@va.gov</a> 512-981-4207	

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<b>Contract Value</b>	\$22,900,000	<b>Contract Type</b>	Firm Fixed Price
<b>Similarity in Size and Scope</b>			
<p>VA's Office of Business Oversight (OBO) tasked Grant Thornton to implement OMB Circular A-123, Appendix-A across the Department. Grant Thornton uses a risk-based approach to identify key internal controls over financial reporting across numerous key business processes and financial statement accounts across the VA and its administrations. Grant Thornton began this process by reviewing the VA's financial statements, applying materiality thresholds to each line item and conducting a risk assessment. Services included:</p> <ul style="list-style-type: none"> <li>▪ Tested 818 controls at over 25 VA facilities and identified 93 control failures which resulted in a total of four significant deficiencies reported to the Senior Assessment Team.</li> <li>▪ Wrote narratives for the Improper Payments, Undelivered Orders, Financial Reporting and Miscellaneous Obligations processes at VA. Interviewed process owners for narratives, capturing key controls included in the RCMs and Test Plans.</li> <li>▪ Documented and evaluated summary of VA's service organizations – entities outside of VA that process financial data for VA. Assessed internal controls at these service organizations and determined if failure of controls would diminish VA ability to rely on the application reviewed. Prepared and delivered white paper on results of the SAS-70.</li> <li>▪ Conducted detailed assessments of financial activities and operations of VBA's three organizational components -- the Regional Offices, Administrative and Loan Accounting Center (ALAC) and VBA Finance Center (VBAFC) -as they relate to VBA programs/operations. Provided draft guides documenting procedures used to process, account, record, and report transactions associated with certain programs/operations.</li> <li>▪ Wrote high-level executive summary of VA's Financial Reporting process based on updated Financial Reporting narrative prepared in FY2011.</li> <li>▪ Wrote narrative describing Purchased Care Program, referred to as fee-basis care. Interviewed process owners to capture purchase care process and identify key controls. Sub-processes described for authorized care included referral, administrative review, clinical review, notice of authorization, non-VA care coordination and claims processing.</li> <li>▪ Provided narrative of the program in relation to reporting data to USASpending.gov, with detail to permit VA testing staff to understand how to reproduce and submit monthly information accurately and completely. Each Data Quality Narrative gives overview of how VA manages spending information reported to USASpending.gov. Each narrative, by Catalog of Federal Domestic Assistance (CFDA) program, explained relevant financial, manual and programmatic processes for compiling, analyzing, submitting, reporting and reconciling information to ensure it is accurate, complete, and timely. For each narrative, prepared high-level flowcharts and documentation to describe key systems and resources supporting accounting, financial and data quality related processes (cycles).</li> </ul>			
<b>City of Jersey City Grant Writing and Administration</b>			
<b>Begin/End Date</b>	April 1, 2008 – Present		
<b>Contact Information</b>	Donna Mauer CFO, the City of Jersey City Office of Management and Budget <a href="mailto:DonnaM@icnj.org">DonnaM@icnj.org</a> 201-547-5042	Lorraine Cecchini The City of Jersey City Office of Management and Budget <a href="mailto:Lorraine@icnj.org">Lorraine@icnj.org</a> 201-547-5042	
<b>Contract Value</b>	\$350,000	<b>Contract Type</b>	Firm Fixed Price
<b>Similarity in Size and Scope</b>			
<p>Muller Bohlin Associates (MBA), at the direction of the City of Jersey City's Office of Management and Budget (OMB) prepares, submits and administers all Federal, State and private donor grants and their fiscal management processes.</p> <ul style="list-style-type: none"> <li>▪ The firm implemented an MBA-developed database, monitoring and tracking system to trace existing grants. We are involved in citywide project management and Federal environmental oversight and certification, for a \$500M budget.</li> <li>▪ MBA developed federally approved infrastructure projects for energy efficiency on behalf of Jersey City. We</li> </ul>			

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maintained all federal reporting requirements, worked with multiple online grant management systems and coordinated Municipal and regional policies to ensure project success.

- Together with our clients, we have experience in developing policy and procedures for both internal and external municipal government submission of grants, administration and expenditure policies. The City of Jersey City retained MBA to replace their internal grant division. Tasks as citywide grant managers included oversight and preparation of all funding applications, development of accepted monitoring systems, creation of policies and procedures, and on-site staff support to OMB.
- MBA's specialized skill set offers capacity related to the contract task including:
  - **Execution of FEMA administered programs:** MBA has worked with Office of Emergency Management at the City of Jersey City to prepare FEMA applications and identify matching funds and other sources of income. The firm coordinated several projects simultaneously.
  - **Reimbursement review and financial management.** MBA coordinated a \$2.6 million Federal Department of Energy grant for the City of Jersey City. A major part of the task included quarterly reviews with the Federal Agency and an annual onsite audit visit over three years to ensure successful project execution.
  - **E-grant management for all Federal, State and foundation grants.** MBA has extensive experience working with the respective online systems. Additionally we implement our online database tracking system that interfaces seamlessly with other programs.
- In conjunction with the City of Jersey City's Office of Management and Budget (OMB), MBA prepares, submits and administers all Federal, State and private donor grants and their fiscal management processes.
- MBA, at the direction of OMB, facilitates management and monitoring of grant processes for an approximately half billion dollar budget. We assist in the acceptance of several hundred grants annually and coordinate all associated monitoring and management responsibilities.

### Section 17: Additional Experience of Bidder

Team Grant Thornton has assisted grantees and subgrantees through all aspects of the disaster grant cycle – to prepare, respond, and manage. We understand how to apply sound financial and Governmental accounting practices, processes, and controls to every aspect of this cycle. Most importantly, we bring to bear our significant experience in grants compliance and close-outs to enhance every aspect of the grant cycle, always working with the end-result in mind.

In the aftermath of disasters and expenditure of funds, State and subgrantees are constantly at risk of having Federal funds de-appropriated based on reviews by FEMA and OIG audits. We apply our in-depth understanding of commonly found audit exceptions, typically resulting from a failure to comply with Federal guidelines, inadequate documentation, and inadequate accounting practices, to help mitigate the de-appropriation of funds. We apply this knowledge and experience throughout every step of the grant cycle to help ensure a positive end result.

The following are examples of some of the engagements conducted to support grantees and subgrantees.

- **State of Texas, Department of Public Safety, Texas Division of Emergency Management (TDEM)** - In 2011, Grant Thornton was engaged by TDEM to conduct compliance audits of subgrantees for FEMA PA grants. The audits involve evaluating internal controls; examining the subgrantee's supporting documentation for project expenditures; evaluating their compliance with relevant statutes, regulations, and grant agreements; and reporting the audit results. Currently the contract includes reviewing \$272,000,000 in FEMA grants and performing audits of 339 PWs for 76 subgrantees. The project requires Grant Thornton to work with State and local entities across the State of Texas. Costs audited under this engagement include labor, purchases (materials and equipment), contracts, rentals, direct administrative costs, and debris removal/management.
- **Carleton College** - Grant Thornton supported Carleton College in Minnesota with its insurance claims and FEMA PA grants following area-wide flooding on September 23, 2010. We assisted the College throughout the PA grant application process, the project kickoff with State and FEMA representatives, and throughout the entire PW process. Our specific support included:
  - Participating in the planning process assisting FEMA to identify required projects;
  - Helping develop accounting procedures and controls to capture costs by PW;

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- Attending meetings with FEMA and the State to address cost eligibility and other issues;
  - Assisting Carlton in the defense of cost eligibility challenges from FEMA;
  - Collaborating with representatives of the State and FEMA in PW development; and
  - Assisting in the determination and analysis of Section 406 Hazard Mitigation.
- **FEMA Office of PA – Special Community Disaster Loans** - From April 1 through July 1, 2011, Grant Thornton analyzed Special Community Disaster Loan (SCDL) appeal requests that were submitted by several local Governments (appellants) in the States of Louisiana and Mississippi who received SCDL funds in the aftermath of Hurricane Katrina. The appeals were filed in response to FEMA’s original determination that SCDL funding for those localities could only be partially cancelled or not cancelled at all. The request for SCDL forgiveness was granted to local Governments receiving SCDL funds for Hurricane Katrina under the provisions of the *U.S. Troop Readiness, Veterans Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007*. This 2007 Act provides FEMA the authority to cancel all or a portion of SCDLs that meet the cancellation criteria in Title 42 U.S.C. 5184 (Stafford Act) Section 417, *Community Disaster Loans* (c)(1), *Cancellation*. FEMA’s procedures and criteria for cancellation of the SCDLs are set forth at Title 44 CFR Section 206.376, *Loan Cancellation*. Grant Thornton’s analysis was done to determine if findings existed to recommend whether FEMA should modify or reverse their original decision regarding partial or no forgiveness of SCDL funds according to the terms of 44 CFR 203.376.
  - **FEMA -Office of the Chief Financial Officer, Disaster Finance Center** - Grant Thornton assisted the Department Deputy Chief Financial Officer in identifying improper payments in accordance with the provisions of OMB Memorandum M-03-13, *Improper Payments Information Act of 2002, Public Law 107-300*; to determine the causes of the improper payments; and recommend action plans for addressing those causes and reduce the likelihood of such payments. Specifically our services included:
    - Performing a reassessment of risk for all programs;
    - Selecting a transaction sample using a methodology that is compliant with the OMB guidelines;
    - Obtaining sufficient supporting documentation for each sample item;
    - Performing detailed tests of transactions for each sample item;
    - Projecting the error rate and error dollar amounts to the entire population; and
    - Providing results of our tests to the Department to be reported in the Performance and Accountability Report.

### Section 18: Disclosure

To the best of our knowledge Team Grant Thornton has not provided services on the State contract G-8034 Consulting: Disaster Recovery.

### Section 19: Financial Capability of the Bidder

Grant Thornton LLP is a private limited liability partnership. Our firm policy prohibits the release of our financial information, which is consistent with the practice of other large accounting and management advisory firms. To assist you in your consideration of our proposal, however, please consider the Confidential information contained in the Grant Thornton Letter of Financial Strength in Attachment B and will respond to further questions, as needed.

### Section 20: Additional Requirements

Grant Thornton has included all of the requirements under of RFQ Section 12.0, Additional Requirements, in the attachments listed in Table 3.

Attachment	Requirement
C	Ownership Disclosure Form
D	Disclosure of Investigations and Other Actions Involving Bidder Form
E	Disclosure of Investment Activities in Iran
F	Certification of MacBride Principles and Northern Ireland Act of 1989
G	Subcontractor Utilization Form
H	Affirmative Action Employee Information Report
I	New Jersey’s Standard Terms and Conditions

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J	Source Disclosure Certification Form
K	Two-Year Chapter 51/EO 117 Vendor Certification and Disclosure of Political Contributions
L	Federal Vendor Letter
M	Cooperative Purchasing Form

Table 3. List of Attachments

## POOL 3 RESPONSE

### Section 21: Technical Proposal

On October 21, 2012, Governor Chris Christie signed Executive Order (EO) 104 declaring a State of Emergency in New Jersey related to the aftermath of Hurricane Sandy, which caused massive property damage and loss of life. On October 30, President Obama declared New Jersey a major disaster area. The New Jersey Office of Emergency Management (NJOEM), in cooperation with the New Jersey Office of Homeland Security and Preparedness (OHSP) and other State entities, executed the State's existing Emergency Operation Plans (EOP) in responding to their needs during and immediately following the hurricane. As the State moves into the recovery phase in the aftermath of the storm, it seeks strategic consultant services designed to support all facets of intermediate and long-term recovery efforts.

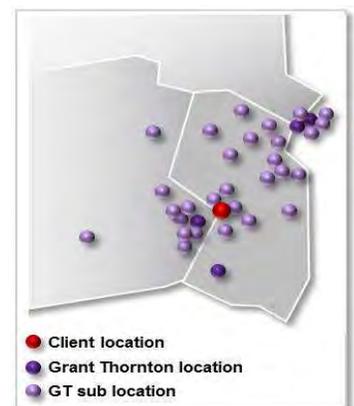


On March 12, the Office of Management and Budget (OMB) released guidance<sup>3</sup> to executive departments and agencies on the internal controls and planning required for aid received through the Disaster Relief Appropriations Act (Public Law 113-2) (Disaster Relief Act). Because relief funding of this magnitude (\$50.5 billion) carries additional risk, OMB is requiring agencies to ensure that the funds appropriated under the act are used for their intended purposes. By March 31, each Federal agency was required to submit an internal control plan to OMB, the Government Accountability Office (GAO), and the agency's Inspector General (IG).

Recently, Governor Christie unveiled the State's Community Development Block Grant Disaster Recovery (CDBG DR) Action Plan delineating the ways in which the State will spend the first phase of the funds provided by the U.S. Department of Housing and Urban Development (HUD). To address the extensive devastation caused by the storm, the plan proposes a range of programs to provide relief. As recovery efforts get underway, the State must put in place auditing of programs, processes, and finances, including monitoring the integrity of spending to ensure that funds are spent for their intended purpose. The State has issued a request for quote for firms to provide these services.

#### 21.1 Our Team

Grant Thornton is a leading audit, accounting, and advisory firm with broad experience in grants monitoring, compliance reviews, and A-133 audits. We have assembled a team with the right resources and qualifications to perform all of the services across each of the three pools. We are teaming with firms specializing in disaster recovery - Science Applications International Corporation (SAIC), URS Group, Inc. (URS), and Muller Bohlin Associates; engineering – Tetra Tech and Robert Engineering Group; and accounting/financial management – TCBA Watson Rice LLP. This mix of hands-on expertise in disaster recovery and audit/financial management with a combination of large and small businesses, several of which are New Jersey-based, provides the State with the right team for meeting the



<sup>3</sup> OMB Memorandum M-13-07, "Accountability for Funds Provided by the Disaster Relief Appropriations Act", dated March 12, 2013.

needs of Using Agencies. We have multiple locations in New Jersey and neighboring states allowing us to quickly respond to your needs.



**Grant Thornton LLP** is the United States (US) member firm of Grant Thornton International (GTI), one of the largest global accounting, tax, and business advisory organizations in the world. Through member firms in 113 countries, including 50 offices in the US, Grant Thornton partners and employees provide personalized attention and the highest quality service to clients around the globe. Grant Thornton's Global Public Sector (GPS), based in Alexandria, Virginia, is a global management consulting practice providing responsive and innovative financial, performance management, and system solutions to Government and international organizations.



**URS** is ranked as the number one engineering firm in Engineering News-Record (ENR). The firm is a Forbes Top 100 firm and a leading provider of pre- and post-disaster response and recovery program management, policy, planning, engineering, construction, and technical services for public and private sector agencies for the past 20 years. Supporting the response and recovery efforts associated with over 900 Federally declared disasters, URS is a nationally recognized leader in pre- and post-disaster Stafford Act grants management and has successfully overseen over \$20B dollars in infrastructure and housing recovery grant allocations. A global leader with local knowledge, URS has over 50,000 employees worldwide; **1,500 located in the company's New Jersey offices.**



**SAIC** is a FORTUNE 500® scientific, engineering, and technology applications company that uses its deep domain knowledge to solve problems of vital importance to the nation and the world, in national security, energy and the environment, critical infrastructure, and health. The company's approximately 40,000 employees serve customers in the U.S. Department of Defense (DOD), the Intelligence Community (IC), the U.S. Department of Homeland Security (DHS), other U.S. Government civil agencies and selected commercial markets.



**TCBA Watson Rice LLP** has served Government sector clients for over 30 years providing a wide range of accounting and audit services to Federal agencies, including contract/grant audits. As a small business, TCBA Watson Rice has more than 200 professionals with the following certifications: Certified Fraud Examiner (CFE), CPA, CIA, and CISAs; all working together to deliver the highest quality service in the areas of financial auditing, accounting, employee benefits plans, forensic accounting, tax and financial management services, business assurance and consulting, and Information Technology (IT) services. TCBA Watson Rice has offices in New Jersey, New York, Pennsylvania, Connecticut, Maryland, and Washington DC.



**Tetra Tech**, a publicly owned consulting firm, offers a full spectrum of professional engineering and planning services, including specialized management consulting and technical services in resource management, infrastructure, and construction. Tetra Tech is one of the leading firms specializing in disaster management and homeland security, with contracts in hazard mitigation; infrastructure hardening and protection; emergency response/management, planning, and preparedness; exercise design and training delivery; and grants management. As a nationally recognized leader in the development of Hazard Mitigation Plans (HMP) approved by the Federal Emergency Management Agency (FEMA), they have been preparing countywide multi-jurisdictional plans for Pennsylvania, New Jersey, and New York. The 2012 ENR magazine's ranking of the Top 500 engineering firms in the country placed Tetra Tech as the 8th largest provider of engineering and technical services (July 2012).



**Robert Engineering Group LLC** is a civil engineering and surveying firm specializing in municipal, utility, infrastructure, roadway, and site development engineering, as well as project and construction management. The firm is certified as a women business enterprise and approved as a small business enterprise by the New Jersey Commerce & Economic Growth Commission, Office of Development for Small Business, and Women and Minority Businesses. The firm's municipal engineering services are provided under appointment as engineer in municipalities in both Mercer and Monmouth Counties. As municipal engineers, they provide day-to-day engineering services for clients and prepare plans for capital construction projects, including construction administration and inspection. Many projects are funded through various State and Federal grant programs and as such, we have established very specific project frameworks for monitoring compliance with the technical and budgetary requirements set forth.



MULLER BOHLIN  
ASSOCIATES, INC.

**Muller Bohlin Associates** Muller Bohlin Associates is a woman-owned professional services small business located in Perth Amboy, New Jersey. With a dedicated staff of engineers, planners, and project managers, Muller Bohlin provides capacity for funding procurement, administration, and project management, supporting projects from concept through implementation. Our team of experts supports clients on a host of fronts, with a particular focus on grants, grant administration, and unique and proven funds tracking capabilities. With over 16 years of project experience, they have an exceptional track record and a wide range of program management experiences. The firm has Subject Matter Experts (SME) in procurement and administration of all forms of funding, including Federal, State, corporate donor, and foundation.

### 21.2 Our Value Proposition

Team Grant Thornton is comprised of highly talented firms that stand ready to meet the needs of the State of New Jersey on day one. We bring well-established methodologies and practices, grounded in strong internal controls that will help New Jersey maintain the highest integrity in its grant spending. We offer you:

- **Expert services:** Team Grant Thornton brings the talents and experience of seven firms with specializations in disaster recovery, grants management, financial management, audit/internal controls, e-Grants technology, and engineering. Our people are what make our firms, bringing a wealth of experiences with a deep skill base that for our clients to leverage. In addition to the bench of consultant and advisory resources, we bring a cadre of former Federal and State executives with reach back to assist with challenges and issues that arise at both the Federal and State level. The State of New Jersey will get the right mix of expertise and diversity from large international firms with the ability to draw on a deep bench of resources and from local New Jersey firms representing the small business community.
- **Solid prior disaster recovery expertise:** Our team has direct experience with disaster recovery from “boots on the ground” support to routine monitoring and reporting to providing strategic advice and direction on issues at the local, State, and Federal level. We have helped with FEMA, HUD, and other disaster recovery grants and are familiar with the myriad of regulations and guidance on the use of grant funding.
- **Audit perspective:** As an Independent Public Accounting firm, Grant Thornton brings deep experience and understanding on what can go wrong with the internal controls on disaster recovery grants. We have helped many Federal and State organizations with their grants monitoring functions, implementing internal control programs that monitor the right activities and outcomes. In addition, we have leveraged data effectively for fraud monitoring assisting Federal IGs with research on their hotline tips on possible fraud. At the Recovery and Accountability Transparency (RAT) Board, we research and analyze tips on possible fraud related to American Recovery and Reinvestment Act (ARRA) grants.
- **e-Grants experience:** Our team has direct experience with a variety of Federal electronic grants management software platforms, including FEMA eGrants and the National Emergency Management Information System (NEMIS) for more than a decade. eGrants is used by FEMA to track all of their non-disaster mitigation grant applications, awards, and reports. NEMIS is used to track hazard mitigation grant program dollars and program requirements. URS and its staff utilize these systems on a daily basis in support of FEMA mitigation grant programs. The team is able to bring to the State of New Jersey not only an in-depth understanding of the technical components of the system, but more importantly, the data within the system and how that data is compiled and reviewed.

### 21.3 Integrity Monitoring/Anti-Fraud

The Team Grant Thornton Enterprise Integrity Solution (**Figure 22**) is a dynamic, multi-tiered, interdisciplinary process that moves beyond the boundaries of traditional pay and chase solutions. Our solution is

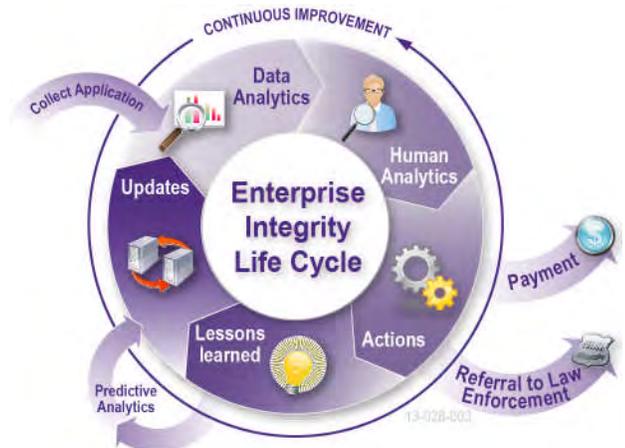


Figure 22. Enterprise Integrity Life Cycle

scalable and fast—and works with large data sets. It can operate in proprietary information processing systems or cloud computing environments. It tracks program operations and disbursements in programs focused on health care and social insurance or in the management of funds for acquisition, grants and loans disbursements. Wherever government funds are paid, the Grant Thornton Enterprise Integrity Solution provides tracking of pre-payment anticipated outcomes or post-disbursement results.

The State of New Jersey, and ultimately its many political subdivisions throughout the impacted areas of Superstorm Sandy, are eligible to participate in numerous Federal grant programs designed to aid in short and long term recovery. Team Grant Thornton will demonstrate its unique ability to provide the State of New Jersey with capabilities, expertise and tools to monitor the integrity of its grant spending and leverage data and information to identify possible fraud. Team Grant Thornton has a long history of previous performance to successfully monitor grant funding and identify potential fraud.

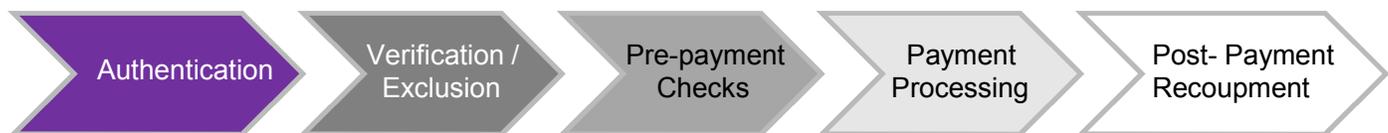
**5.1.1 Task A: Forensic accounting and all specialty accounting services.**

Grant Thornton offers the State of New Jersey a dynamic, multi-tiered, and interdisciplinary forensic accounting and specialty accounting services process that moves beyond the limitations of traditional pay and chase solutions to help prevent improper payments as a result of fraud, waste, and abuse within Government disaster assistance programs. Our services are scalable and fast—and work with large data sets. They can operate in proprietary information processing systems or cloud computing environments. Team Grant Thornton services track with program operations and disbursements to provide analysis of either pre-payment anticipated outcomes or post-disbursement results. These services provide unique capabilities that are directly germane to the State of New Jersey’s anti-fraud objectives.

Team Grant Thornton forensic services are designed to prevent improper payments by detecting potential fraud, waste, and abuse before any funds are disbursed. In addition, these services are designed to identify potential internal control issues quickly and to allow the responsible New Jersey State Government agencies to dynamically re-target requisite oversight resources based on what is learned from the identified issues. The key elements of Team Grant Thornton services include:

- Application of a five step, payment cycle analytics tool to each entity that conducts business with the State of New Jersey. It begins with a robust initial vetting process for each business/grant applicant with the State, supported by ongoing analytics of each payment transaction with that entity, after they are qualified;
- Data handling, error detection modeling, and historical analytics powered by Team Grant Thornton’s high performance data processing systems designed for the kind of complex analysis that the State of New Jersey requires to help stop fraud in as near to real time as possible;
- Intuitive, visual analytics tools to manage high volume data flow with software technology that enhances human cognition of complex data sets to provide a rapid production of high volume analytics; and
- Superior investigative, forensic review, and program management expertise provided by Team Grant Thornton.

The Team Grant Thornton enterprise integrity strategy is a robust suite of tools to ensure the integrity of each entity doing business with the State of New Jersey on an ongoing basis, and each payment transaction that the State completes with that entity. The strategy has five components: 1) authentication 2) verification 3) pre-payment screening 4) payment processing and 5) post-payment review /recoupment of possible improper payment (**Figure 23**). Each step is discrete, but inter-dependent, to mitigate the risk of suspicious businesses doing work for the State.



*Figure 23. Grant Thornton’s Five Step Approach*

Steps 1 and 2 reduce the risk that the State of New Jersey may even form a business relationship with suspicious business partners / subgrantees. This is done through authentication and verification of their credentials before they are engaged as

partners / subgrantees. These steps enforce the perception and the reality that the State is ever vigilant in monitoring business integrity. It integrates with FEMA PA, HUD, and other disaster grant application approval processes.

**Step 1: Authentication.** Performed during the grant or contract application phase and is designed to vet the identity and credibility of each potential business organization; recipients of direct funding, as well as subgrantees and vendors. This is done through cross checking of available business documents on each business, including tax ID numbers, financial statements; and that the business has some longevity / track record reviewed by independent sources.

**Step 2: Verification.** Designed to ensure each business has not been sanctioned by third parties. In this step, Team Grant Thornton reviews whether the business has been placed on any business “watchdog” lists. As an example, the US Department of the Treasury has implemented its “do not pay” program. This tool prevents organizations / individuals from doing any business with the Government and is the ultimate sanction by the Federal Government for prior fraudulent behavior. As an additional example, it is now routinely used by the Federal Department of Health and Human Services (HHS) to prevent applicants with dubious personal and/or financial profiles from receiving further assistance via loans or grants under the National Health Service Corps, when they begin fulfillment of their post-graduate service obligations in distressed communities.

While the behavior of organizations and individuals may not warrant their placement on such “do not pay” lists, they may have been previously sanctioned or currently part of a disciplinary action. In these instances, Team Grant Thornton will check to see if businesses currently appear or have appeared on “corporate integrity lists”. This step is designed to raise the “yellow caution flag” initially when organizations are being pre-qualified to do business with the State of New Jersey. Later on after being successfully qualified, these checks will be applied when any payment-related transactions, or disbursements are made to businesses working on the Sandy relief effort. When completed, the outcomes of Steps 1 and 2 are designed to ensure that business contractors as well as subgrantees under Sandy Relief are credible, eligible, and authorized to do business with New Jersey. Organizations that do not pass the screening in Steps 1 and 2 are prevented from even being considered for doing work with the State or to receive funds as a subgrantee.

After each business applicant is fully vetted prior to processing any of its individual payment transactions, Grant Thornton proactively applies its forensic accounting and related services during the remainder of the payment cycle. These services are displayed in the following graphic.

The basis of our program integrity lifecycle is a unique data mining capability that combines time-tested statistical analysis with revolutionary data visualization, geospatial, and predictive analysis tools. This combination makes the Grant Thornton solution proactive rather than reactive—focusing more on the concurrent payment side of the continuum as opposed to the post payment side. This predictive forensics tool is applied at the transaction level and occurs first in Step 3 followed by Step 4.

**Step 3: Pre-payment analytics.** Designed to thwart payments or other transactions for billed services that do not pass certain screening tests for otherwise credible businesses. Such checks may include screenings to prevent billings by businesses against accounts, that are not pre-authorized, or are closed, suspended, or have reached a max limit on dollar billings. They may also prevent billings by businesses for services that are not covered by specific business service lines. At this stage, our primary goal is to *prevent* erroneous payments. Comprehensive predictive analytic reviews are integrated with geospatial mapping that can immediately identify potential improper payment issues for swift intervention and appropriate remedies.

**Step 4: Payment processing.** Intended to ensure that actual payments are accurate (can be reconciled with agreed upon business milestones and rates), and are supported by active contracts, allowable adjustment rules and contract time periods. In this step, analytic tools and interventions occur to trap payments from occurring that violate state or Federal requirements for internal controls.

**Step 5: Post-payment recoupment /feedback.** This step is a series of interventions designed to recoup payments that may have escaped and/or averted the internal controls created during Steps 1-4. The best internal controls rarely eliminate risk, thus Step 5 interventions are primarily retrospective in their focus, and are triggered immediately, once post-payment forensics determine that payments were made improperly. Step 5 also plays a larger role in the grand scheme for ensuring the integrity and compliance of all payments against commercial and public sector business rules. In short, in addition to

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recoupment of previous improper payment requests, Step 5 informs the algorithms, business analytics, internal controls and analyses completed at all prior phases of the payment cycle.

Our solution moves surveillance over payment processing closer to real time. It begins at the pre-payment or pre-decisional stage, with advanced program operations data aggregation and mining.

Step 5 allows for intervention to verify and validate identified savings. As one of the largest accounting firms in the United States, Grant Thornton's audit capabilities are a core function, and our forensic practice has experience with government and business clients at all levels. Our skilled and focused reviews determine the depth, breadth, and substance of identified issues and provide a sound basis from which to pursue recovery actions.

An additional benefit of this intensive analysis phase is identifying and remediating compromised or outdated internal controls—and enhancing the compliance process. As a parallel process, comprehensive, ongoing statistical analysis provides continuous dynamic strengthening and refinement of the Grant Thornton enterprise integrity data mining solution. Post-payment fraud, waste, and errors are monitored and analyzed, with results used not only for overpayment recovery, but to inform and refine the rules and edits for continuous improvement of the pre-payment surveillance stage.

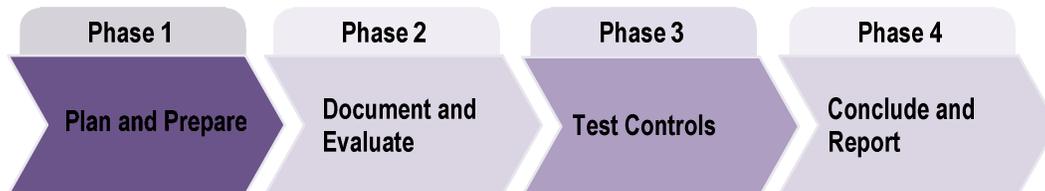
The Grant Thornton suite of Enterprise Integrity tools are deployed in real time and would represent a continuous process for monitoring the integrity of New Jersey subgrantees and business partners and their full range of business transactions with the state. This strategy will be tailored to New Jersey and Federal requirements by using all available and applicable data sources to maximize the impact of continuous review for determining savings and improving processes. We continue to refine and improve our services as a part of all program integrity engagements. In other words, our services get better and more efficient with continuous operation.

**5.1.2 Task B: Risk assessments and loss prevention strategies.**

A key portion of any risk management program is effective internal controls and ongoing monitoring of compliance. Grant Thornton is an experienced leader in the Federal financial management and internal control sectors. ***We have experience in reviewing grant management operations and assessing the adequacy and effectiveness of internal controls.***

Grant Thornton implemented a full-cycle internal control program at the FTA to meet the OMB Circular A-123 program requirements. We provided a full service engagement from identification of key business processes to verification of correction of findings. Grant Thornton identified and documented 11 key business processes, conducted risk assessments, developed test plans, coordinated testing of multiple sites, documented results and reported findings. Grant Thornton also proposed CAPs and developed verification and monitoring techniques to ensure that corrective actions were completed and effective.

Grant Thornton proposes a four-phased approach for meeting the State's need for internal control assessment services. **Figure 24** illustrates our approach from a high-level and the following sections provide detailed activities for each phase. Our approach conforms to the American Institute of Certified Public Accountants (AICPA) Statement on standards for consulting services.



*Figure 24. Internal Control Assessment Phases*

Our team has experience implementing this approach to establishing an internal control program that includes documenting and testing business processes for agencies throughout the Federal Government in the Executive as well as the Judiciary Branch. In our experience, this approach is most effective and basic when built upon the following principles:

**An instinct for growth™**

- Seamless, transparent coordination of all assessment and improvement approaches;
- Customized steps and activities for each phase to focus and execute in meeting the unique needs of the State;
- Open, regular, and consistent communications with stakeholders; and
- Integrated service delivery team that shares lessons learned and facilitates access to experienced technical individuals as needed.

At the planning phase of the work, we identify key stakeholders to help establish the tone of the internal control program. The key to any internal control environment is the “tone at the top.” Grant Thornton will work with leadership to emphasize the importance of internal controls and support for the internal control assessment and financial reporting program development.

**Document process:** We will identify relevant stakeholders in the internal control and grants management process. We will reach out to the stakeholders and schedule interview sessions to gain an understanding of the current process. During these interview sessions, we will also introduce our overall risk-based approach with employees to gain a full understanding of relevant risks, significant processes and related controls within the organization; and to identify recent or anticipated changes that could impact the perceived level of risk, within the grants management process, to the organization. Although there may be many risks that effect an organization, our risk assessment model focuses on the following risks, at the control level: inherent, control, combined and fraud risk. Once we complete the interview stage, we will create a process narrative with the information gathered during the interviews. This narrative will contain the grants management process, its relevant sub-processes, corresponding controls and a flowchart to depict the process.

**Document design effectiveness:** The evaluation of the design effectiveness of a control begins with a Control Matrix (CM) assessment of the control’s design. We will, at the process level, determine if the controls in place were designed to achieve the desired outcome. We will determine the effectiveness of the design of internal controls over the grants management process by comparing the design to the internal control requirements, and inherent risk related to the chosen process and other applicable entities, and by applying the following criteria to each significant control:

- Does the control activity mitigate inherent risk to an acceptable level?
- Is the person who performs the control activity qualified to perform it?
- Is the control activity directly related to a control objective?
- Is the control activity efficient, i.e., cost beneficial?
- Does the control contain proper segregation of duties?
- Is the control documented properly and is proper delegation of authority in place where applicable?

While documenting the nature and content of controls over grants management, Grant Thornton may identify internal control deficiencies. In these instances, Grant Thornton will provide deficiency documents that highlight the specific deficiency and describe the criteria, cause and effect associated with each deficiency.

Our team has extensive experience evaluating entity and process level controls. Our team will review and update documented controls as required. These steps will allow the State to better understand if its internal controls are designed in accordance with Federal and other requirements. This process provides a foundation for testing the operating effectiveness of the respective internal controls, which is discussed below.

Planning for, performing and documenting control testing outcomes is a highly integrated effort that requires the involvement of numerous stakeholders, including process owners and internal control team members. Transaction level testing will be conducted based upon risk assignments previously established during process level evaluation.

**Develop project testing plan -:** We will use a specific project testing plan to detail the test procedures by process area. Our test plans contain the following elements that can be tailored to the State’s needs: specific controls and its objectives to test against for each process, risk levels, document request list, date and place of testing, tester, sample sizes, testing method and results. In addition, the test procedures will be in the form of templates for the specified key controls.

**Test operating effectiveness:** We test operating effectiveness by leveraging the approved test plans to perform one or more of the following tests: inquiry, inspection, observation, and re-performance.

**Identify control gaps and compensating controls:** We identify any design gaps via the comparison of controls to various requirements, to see if the controls sufficiently meet the Stated requirements. If a design gap is identified, Grant Thornton considers the extent of the gap and the impact the gap will have. Grant Thornton will also determine, for every control gap identified, if a compensating control is in place to mitigate the risk associated with the control gap. If compensating controls are in place, Grant Thornton performs tests of design and operating effectiveness of the compensating controls in the same manner as for primary controls.

**Document test results:** To help ensure documentation is prepared with sufficient detail to provide a clear understanding of its purpose, source and the conclusions reached, the test results documentation and work papers will include an evaluation of the level of assurance provided by the tested controls, considering the nature and application of the control, and the manner in which and by whom the control is applied. As part of the test result documentation, Grant Thornton will highlight potential control deficiencies.

In our testing phase, we work closely with respective process owners and management to provide an insight into our findings as they occur to allow for resolution as appropriate.

Grant Thornton will adhere to the same practice both at the conclusion of each phase and at the end of the engagement. We will provide a summary overview of all internal control deficiencies noted during the engagement, with prioritized recommended improvements. Timely reporting of deficiencies will allow process owners and management to begin to develop corrective action and remediation plans early in the process. This is the type of proven best practice that you can expect from our experienced team, having gained insight from working on A-123 evaluation process engagements over the past years.

Grant Thornton will compile the results of our analysis of controls and provide the State with our recommendations for improving, modifying or implementing additional controls. Our documentation for each finding/deficiency will include:

- **Condition.** Description of the finding;
- **Criteria.** Policies or requirements supporting the control;
- **Cause.** Reason for the deficiency; and
- **Effect.** Effect of the deficiency on the grants management process.

Our proposed methodology can be scaled to fit various organization sizes and structures as needed. Our recommendations will be directed at developing controls over OMB Circular A-133 compliance requirements to allow management and employees to prevent, detect and correct noncompliance.

### **5.1.3 Task C: Performance and program monitoring and promotion of best practices as applicable to each task order issued under this contract.**

As discussed in Task A, the Grant Thornton Program Integrity Life Cycle includes by design a continuous performance and program monitoring dimension which provides a continuing output of lessons learned for the promotion of best practices adoption or remediation. We will work with the State to implement a program of ongoing compliance monitoring of grants rather than only waiting until close-out. This is a critical element of Grant Thornton's unique capabilities as one of the larger accounting and management consulting organizations in the world. Our GPS practice provides financial, performance management, human capital management, and systems solutions to Governments and international organizations. Grant Thornton can help develop stewardship solutions quickly, precisely and with maximum effective results. The Grant Thornton Program Integrity Lifecycle is a cost effective tool to meet this emerging need. We are committed to its superior design, capability, operation and sustainability.

### **5.1.4 Task D: Fraud and misconduct investigation, prevention, detection and remediation.**

The Grant Thornton team is comprised of seasoned forensics professionals who understand the principles of Government program stewardship and the conduct of investigations to determine fraud or misconduct, as well as the range of preventative, detection, and remediation strategies that pertain, as well. Our forensic technology professionals possess backgrounds in accounting, finance, anti-fraud, computer science, computer forensics, data acquisition and mining, law enforcement, and investigations, including James Huse, a Senior Advisor, the former presidentially appointed IG of Social Security Administration.

**5.1.5 Task E: Implementation and management of appropriate compliance systems and controls required by State and Federal governing guidelines, regulations and law.**

Grant Thornton provides as a key component of its service offerings, a range of program management and audit engagement services for implementation management, compliance systems, and internal controls and compliance system reviews of Government programs. These services are available to provide the New Jersey DR and Long Term Planning Project with complete controls and compliance assurance as required by New Jersey and Federal guidelines, regulations and applicable laws.

**5.1.6 Task F: Development and implementation of policies and procedures to assist in ensuring that program requirements are met, including preventing a duplication of benefits, and measures to detect and prevent fraud, waste abuse and mismanagement of funds; Compliance with Federal and State laws, and DRGR regulations as applicable.**

The continuous operation of the Program Integrity Lifecycle produces the QA that the program requirements and the rigor of internal controls are such to warrant compliance with Federal and State laws as well as the regulations applicable to DR Block Grants. As a result of the data mining and analysis component of the Program Integrity Life Cycle, evidence of duplicate payments, and potential fraud, waste and abuse or mismanagement of grant funds will be revealed and appropriately investigated for disposition.

**5.1.7 Task G: Compliance with local regulations and ordinance as applicable.**

All prevailing local regulations and ordinances will be followed and complied with in the operation of Grant Thornton Program Integrity operations in this engagement.

**5.1.8 Task H: Disseminate information regarding the Anti-Fraud hotline maintained by the Office of the State Comptroller.**

All information received from the State Comptroller's Anti-Fraud hotline will be thoroughly reviewed and investigated during Program Integrity operations.

**5.1.9 Task I: Develop data management systems/programs for the purpose of collecting, conducting and reporting required compliance and anti-fraud analytics.**

The deployment of the Grant Thornton Program Integrity Life Cycle operations includes the development of the requisite data management systems, software and tools to provide the aggregation, analysis, and disposition of the compliance and anti-fraud requirements of this engagement.

**21.4 Action plan for responding to requests for an engagement.**

Our ability to provide the required services begins with our team and task management capabilities. Our approach to managing our teaming partners combines disciplined task order management with proactive communication for efficient coordination of team resources to deliver compliant, quality services as one, seamless team. Our task order management process, illustrated in **Figure 25**, is replicable and scalable for effective team management across multiple task orders at varying lifecycle phases. We incorporated proven methods based on best practices from the Project Management Body of Knowledge (PMBOK) and built a delivery process from Project Management Institute (PMI) standards to balance flexibility in execution with standardization of process and quality. Using this approach, we have successfully delivered task orders across our engagements within budget, on time, with exemplary performance evaluations from customers.

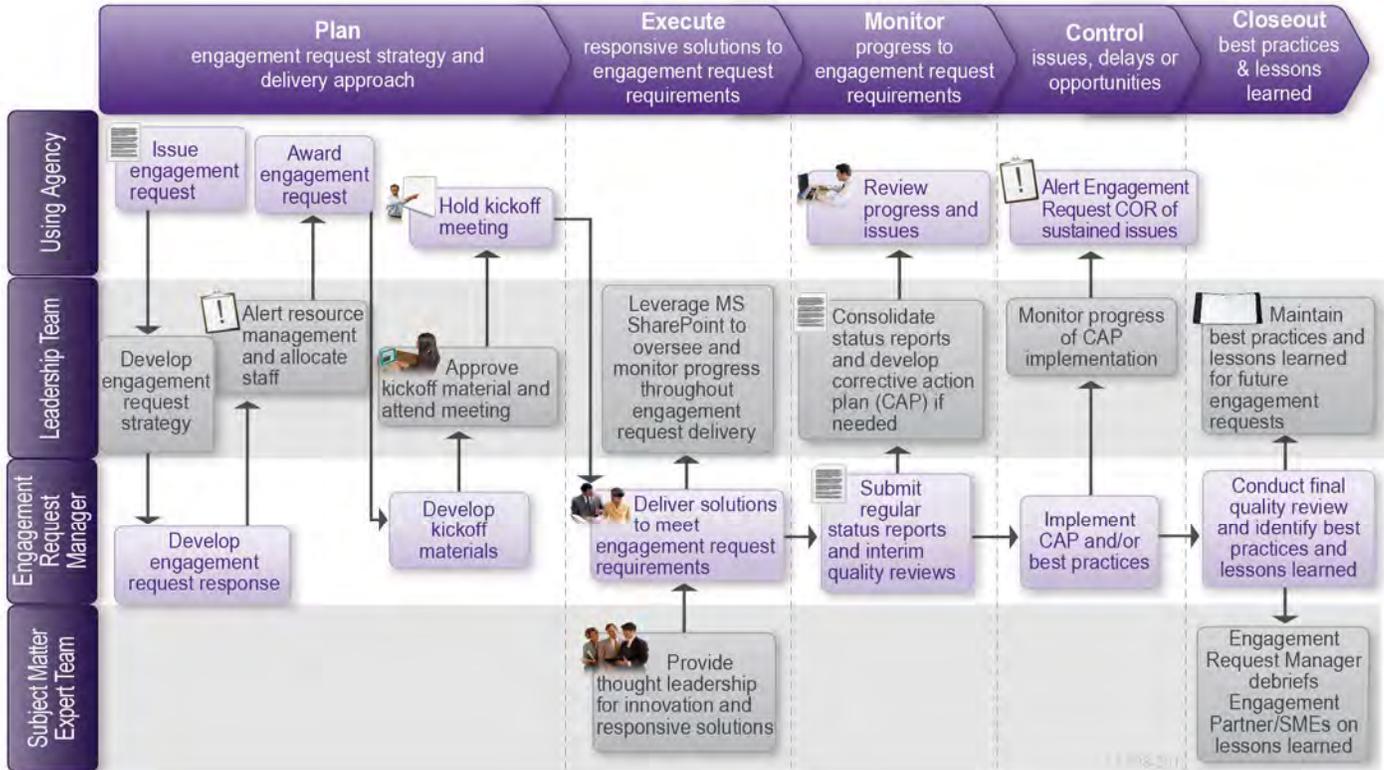


Figure 25. Task Management Process

Our teaming approach enables effective collaboration with our teaming partners. We interact well in advance of commencing a task order so teammates understand requirements, goals, and objectives, as well as quality and performance standard expectations. Our leadership team and teaming partners evaluate each task order approving final solution and resource composition to meet customer requirements and mitigate anticipated risks. This integrated teaming approach delivers our team’s best-in-class capabilities to customers.

21.5 List of previously held, or currently held, contracts with similar services provided by the bidder

Section 26 contains information on contracts held that demonstrate our experience and the value of key contracts.

**Section 22: Management Overview**

Team Grant Thornton views project planning as the first critical component of any project. We believe the key to quality in a large project is a well-defined project management approach that will ensure tasks are completed effectively, efficiently and with the highest quality. As we deploy teams to assist Using Agencies with the tasks outlined in the Statement of Work (SOW), our Project Management Process will enable our team to focus on specific deliverables within each pool, reduce project risk, improve quality and establish formal communication channels.

Our project management process (Figure 26) has seven dimensions that encompass activities designed to promote completion of audit and monitoring tasks with the highest standard of quality, on time and within budget. The seven Project Management Process dimensions are:



Figure 26. Project Management Process

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

- **Quality management:** Each task performed will be reviewed using our quality management approach to ensure all deliverables meet professional standards and your needs.
- **Scope management:** Audit boundaries are effectively controlled through continuous interaction with management.
- **Time management:** Each phase of the audit or grants management process will include the appropriate identification of activities, milestones, resources and deliverables to ensure completion within established timeframes.
- **Methodology management:** The project management process identifies specific task activities associated with the completion of testing to obtain sufficient evidence to conclude on the audit or monitoring task. In determining appropriate testing procedures, we will review the impact of the methodology as it relates to the budget and operations.
- **Talent management:** Our talent management process ensures resources assigned to the audit or monitoring task have the right skills and backgrounds to complete their assigned tasks.
- **Risk management:** Risk identification, analysis, and mitigation are key components of completing an audit or monitoring task in a timely manner.
- **Communications management:** Each phase of the audit or monitoring task will include activities associated with the collection and distribution of engagement information, including identified risks, decisions, status reports and deliverables.

To manage and control the project, we will use approaches in our Engagement Management Guide, based on best practices in the PMI's PMBOK that identifies proven techniques for initiating, planning, executing, controlling and closing complex projects. Our project management approach consists of best practices in several areas, including:

- **Kickoff meeting.** As a first step toward successfully completing each project, within one week after contract award, Team Grant Thornton will conduct a kickoff meeting with the Contracting Officer (CO) and Contracting Officer's Representative (COR) and personnel whom he or she deems appropriate.
- **Project plan.** To manage schedules effectively and consistently across tasks, Team Grant Thornton PMs maintain a master project plan in MS Project. They will maintain the formal, comprehensive master project plan to describe project execution activities, activity durations and activity status for project tasks.
- **Personnel management.** Team Grant Thornton will provide experienced and qualified personnel who have performed and will perform the tasks specified in any future PWS. Team Grant Thornton will submit notification for approval of any changes to key personnel to the CO.
- **Status reporting and meetings.** Team Grant Thornton will use regular status reports and meetings to provide updates on work performed during the period, address areas of concern or potential setbacks, highlight significant findings, provide recommendations for resolution of issues, socialize completed activities and accomplished milestones, outline status of pending deliverables and discuss planned activities for the next period. We will provide a monthly report to report on the analysis of fraud detection, outlier trends, and progress by agency and contractors to correct anomalies, and system processes to provide verification of resolution and prevention of reoccurrence. We will deliver progress reports on the first business day following the conclusion of a four-week cycle. Team Grant Thornton will meet with the New Jersey State Contract Manager periodically, as outlined in the SOW. We will distribute meeting minutes within two business days of regularly scheduled occurrences.
- **Deliverables and Documentation.** Team Grant Thornton will provide copies of all status reports, monthly reports, and final reports to the Using Agency and the State Contract Manager, as well as any other regulatory agency upon request. Copies of all deliverables and documentation developed under this contract will be maintained for a minimum of five years, and will be securely stored – as required in the SOW.

For each project, we will deliver a formal project plan with specific milestones, deliverables and activities to New Jersey EMS based on task order requirements.

## 2.1 Understanding of Objectives and Nature of Required Work.

We understand that Superstorm Sandy caused loss of life and unprecedented damage to New Jersey's housing, business, infrastructure, health, and social services. As required by OMB's Disaster Relief Act guidance, New Jersey must submit an internal control plan to OMB, GAO and its Inspector General's Office. The plan must include the auditing of programs, processes and finances, including monitoring the integrity of spending to ensure that funds are spent for their intended purpose. As the State moves into the recovery phase in the aftermath of the storm, we understand that it seeks strategic

consultant services designed to support all facets of intermediate and long-term recovery efforts. Team Grant Thornton is the consultant to aid the State of New Jersey in these efforts.

**2.2 Level of Effort to Successfully Complete the Contract.**

Grant Thornton will be ready to receive and begin assignments as soon as this contract is effective and manage each task effectively from beginning to end (Figure 27). Team Grant Thornton has offices throughout New Jersey that can each serve as work locations for personnel assigned to this contract. We have personnel in each location and will be available to apply their knowledge and



Figure 27. Managing Tasks for Success

research abilities to perform tasks required by this contract. All staff members that we initially

intend to assign to this project have the required background checks, training and knowledge on monitoring, compliance, and grant administration to begin this project immediately upon award and assignment of tasks.

Grant Thornton has established proven methods for tracking and reporting on our work. We will provide weekly status reports that show the length of time each compliance review has been a part of our workload, the approved budget for each task, the labor costs to-date and any issues that our review teams have identified. We can easily adapt these reports to show assignments and progress made to-date on assignments given to us in any of the pools named in this SOW.

As proven efficient on our TXDPS engagement, we will develop internal mechanisms including a team shared web portal and Access database that allow us to track progress and share documents and findings easily. These mechanisms help us produce status reports quickly and accurately, as well as keep other information at hand that we or New Jersey might need. In addition, we have workpaper and reporting templates that standardize our work across subgrantees and PWs. We will expand and/or revise our workpapers and templates as needed to assist with the tasks under Pools 2 and 3 of the RFQ.

In short, we expect to need minimal preparation time in order to begin work under this contract. Any preparation that does take place will be done swiftly and at no cost to New Jersey EMS, and without any delay to commencement of services.

**Section 23: Contract Management**

The magnitude of the Hurricane Sandy recovery requires vast and diverse resources to ensure the necessary financial oversight. Team Grant Thornton will provide the State New Jersey with a wide array of resources and mechanisms to adequately monitor the financial integrity of this unprecedented recovery effort.

**23.1 Plan to Manage, Control, and Supervise Task Orders.**

Team Grant Thornton will work to ensure seamless communication and coordination as it relates to the management, control, and supervision of task orders. We have operated successfully under large, task order contracts. As described earlier in Section 1.4, we bring a proven approach to manage multiple, simultaneous task orders on time-sensitive programs. Our task order management protocol will be overseen by a joint leadership team. Task order responses and task order delivery will be signed-off on by our program manager and engagement partner, ensuring that there will be no differences in quality or level or support offered to the State or its designees between Pool 1, 2, or 3 response or task order management.

**23.2 Communications with the State Contract Manager or Cooperative Partner**

To ensure effective communication with the State Contract Manager and/or Using Agency and Cooperative Partner, we will establish a communication protocol for any task order issued. This protocol will include regular written and face-to-face communication, ensuring that we respond to top priorities and that our work is responsive, meeting client expectations.

For each task order, we will hold status meetings and provide status reports as requested by the Using Agency, but no less frequently than every two weeks. Each status report will include an update on our open assignments, activities completed, activities in process, status of action items, issues, and budget.

We will develop and maintain an integrated master schedule for the project, and our team leaders will review bi-monthly time and expense information to ensure the engagement is on budget. For the overarching contract, we will provide (1) a report every 4 weeks on analysis of data on fraud detection, outlier trends and progress by agencies or contractors to correct anomalies and system processes to provide verification of resolution and prevention of reoccurrence; and (2) Monthly reports on the resolution and closure of issues identified as result of any audit or monitoring from agencies providing oversight.

Once a task order is issued, should the Using Agency identify additional work or special projects beyond the task order, a written proposal will be submitted to the State Contract Manager for review and approval. No additional work or special projects will commence with the approval of the State Contract Manager and the Director of the Division of Purchase and Property. The State Contract Manager may also be engaged regarding any unresolved contract disputes.

All members of our Engagement Leadership team will be available to the State via phone or e-mail. We will stand ready to compile any contract or task information you request and return it to you within 24 hours.

**Contract Oversight and Compliance.** In addition to providing high quality services and deliverables, our Engagement Leadership team will work with our contract compliance specialists to ensure that we adhere to all contract provisions, including but not limited to:

- **Litigation Services:** Fully cooperating (at our own expense) with the State and providing all documentation and/or working papers necessary to represent and defend the State and any of its political sub-divisions in any matter before any Federal, State or local regulatory agency if any agency files a proceeding against the State or any of its political sub-divisions resulting from the implementation of the our recommendations.
- **Travel Expenses and Reimbursements:** Adherence to the General Services Administration (GSA) published travel rules and rates to include disaster specific amendments in accordance with the Federal Travel Regulations.
- **Data Confidentiality:** The protection and confidentiality of all data, including the completion of confidentiality agreements, security awareness and confidentiality training, and security clearances/background checks for all staff.
- **Document Retention/Material Ownership:** Document retention in accordance with Federal and State requirements and the transfer of ownership for all materials and technology solutions to the State (unless otherwise agreed to).
- **Insurance:** The maintenance of all required professional liability insurance. The insurance shall be in the amount of not less than \$5,000,000 and in such policy forms approved by the State.
- **Liquidated Damages:** The adherence to liquidated damages provisions associated with a failure to meet any required milestones, standards or deliverables, as appropriate.
- **Compensation and Payment:** Compliance with invoicing and payment terms as agreed to by the State, and in accordance with both Federal and State requirements.
- **Potential Conflicts of Interest:** The identification and avoidance of any and all potential conflicts of interest.

By providing designated Program Managers for each Pool, a standardized Project Management Process, ongoing communication, and rigorous contract oversight, Team Grant Thornton team will ensure that all Task Orders are completed to the highest standard and in accordance with all contract provisions.

## **Section 24: Organizational Support and Experience**

**Section 25: Resumes**

Resumes for Team Grant Thornton can be found in Attachment A.

**Section 26: Experience of Bidder on Contracts of Similar Size**

Team Grant Thornton brings a wealth of past performance experience in FEMA & HUD disaster recovery, grants management, internal controls, auditing, program management, process management/improvement, and fraud detection. We have carefully selected a representative set of engagements that best demonstrate our experience for each pool area.

**Pool 3 Past Performance:** Team Grant Thornton has deep experience in forensic accounting, fraud detection and the monitoring of federal and state programs for possible fraud. Leveraging our audit expertise and knowledge of government grant and payment programs, our team has helped several clients proactively monitor fraud, thereby strengthening their programs. Our work at the Veterans Health Administration involved critical research and analysis of health industry practices and surveys on leading practices on predictive analytics, leading to recommendations for concrete improvements in post-payment processes. **Figure 29** provides relevant experience that displays the breadth of our experience in integrity monitoring and anti-fraud practices.

Team Grant Thornton Experience	Task Area								
	A	B	C	D	E	F	G	H	I
American Red Cross, Fraud Investigations	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>						
VHA, Independent Assessment of Purchase Care Program Integrity	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				
US Virgin Islands, Grants Management Oversight		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
State of Texas, Hurricanes Ike and Dolly CDBG-DR Implementation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>				
American Red Cross, Procurement Investigation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
State of Mississippi, CDBG-DR Implementation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>				
FEMA, Public Assistance Technical Assistance Contract			<input checked="" type="checkbox"/>						
NY Downtown Hospital, Grants Audit		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
Mellon Foundation, Methodology for Grantee Selection		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>
VA, A-123 Support Services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>			
RAT Board, Data Mining and Fraud Analysis				<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
FEMA, Hazard Mitigation Assistance			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
FEMA, Housing Inspection Services			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		
FTA, A-123 Support Services		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
City of Dallas, Financial Statement/A-133 Audit	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>			

*Figure 29: Pool 3 Past Performance Experience*

Detailed descriptions of this past performance are as follows:

American Red Cross Louisiana Road Home Program			
<b>Begin/End Date</b>	February 2008 through June 2008		
<b>Contact Information</b>	Teala J Brewer Vice President – Investigations, Compliance and Ethics <a href="mailto:BrewerT@usa.redcross.org">BrewerT@usa.redcross.org</a> 202-303-4098	Rebecca C. Williams Senior Director, Ethics Program - Investigations, Compliance and Ethics <a href="mailto:WilliamsReb@usa.redcross.org">WilliamsReb@usa.redcross.org</a> 202-303-8778	
<b>Contract Value</b>	Over \$1 million	<b>Contract Type</b>	Time & Materials
Similarity in Size and Scope			
<p>Grant Thornton directed and led diverse teams of forensic accountants, CFEs, investigators, developers, and forensic data analytic professionals for the Louisiana Road Home Program, the largest disaster recovery program in U.S. history, which involved the distribution of \$10.5 billion dollars of HUD community development block grant funds to Louisiana residents whose homes were damaged by Hurricanes Katrina and Rita.</p> <ul style="list-style-type: none"> <li>▪ The program was directly responsible for the auditing of claims and development of a data repository and analytics to identify fraud, waste, and abuse across several areas of the program ranging from false applicant information, duplication of benefits, and grant calculation verification to construction-related fraud.</li> <li>▪ Information was reviewed and analyzed from over 120 different insurance companies, multiple appraisals companies, applicant data, and FEMA. Data was accessed, on an ongoing basis, by connecting remotely to client servers to retrieve program related data from a variety of government and private agencies, which were stored on multiple client database servers across hundreds of relational tables.</li> <li>▪ Data marshaling procedures were conducted on database servers and accounted for the normalization of approximately 7 Gigabytes of data on a biweekly basis and greater than 1 Terabyte over the life of the program. Approximately 3,500 data analytic routines and queries were executed against the data to identify anomalous and outlier data.</li> <li>▪ Since the program inception, more than 120,000 grant applications and millions of rows of supporting program data were analyzed. Weekly reports were compiled which outlined the current analytic results and the overall status of the program.</li> </ul>			
Veterans Health Administration (VHA) Independent Assessment of Purchased Care Program Integrity			
<b>Begin/End Date</b>	April 1, 2011 – September 30, 2012		
<b>Contact Information</b>	Karen S. Gwinn Chief, Purchased Care Department Program Integrity <a href="mailto:Karen.Gwinn@va.gov">Karen.Gwinn@va.gov</a> 303-331-7546	Gabrielle Harris Contracting Officer <a href="mailto:Gabrielle.Harris@va.gov">Gabrielle.Harris@va.gov</a> 720-227-0353	
<b>Contract Value</b>	\$1,193,342	<b>Contract Type</b>	Firm-Fixed-Price
Similarity in Size and Scope			
<p>VHA Chief Business Office (CBO) retained Grant Thornton to assist with an independent program review as a basis for establishing a Purchased Care Program Integrity and Informatics Office. Work included recommending key studies and analyses to foster coordination, guidance and oversight to Purchased Care activities and to develop/recommend a predictive analytics, fraud deterrence tool for Purchase Care Programs. The contract had six tasks, including:</p> <ul style="list-style-type: none"> <li>▪ Assessment of resources allocated to support the Office. Conducted baseline or "as is" analysis to document current state of organization (national and local) resources, structure, relationships, communications, training, and</li> </ul>			

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technology. Objectives were to expose gaps, baseline data and identify best practices to meet A-123 and IPERA needs.

- To-Be assessment of future resources to support the Office with an expanding volume of improper payments and fraud, waste, and abuse problem. Assessment included evaluation of effectiveness and efficiency of Purchased Care Integrity Program and recommendations for a To-Be organization. Developed staffing and workload demand model; provided future staffing recommendations at the national level to support the mission. Task included data collection activities, linking mission/goals to quantifiable workload, and a data-driven workload model to project future staffing requirements.
- Cost benefit analysis of industry standard fraud/waste/abuse tools, such as health care claims scoring tools or predictive modeling tools, to assess return on investment.
- Conducted analysis and research on industry best practices and behaviors for monthly Program Integrity actions, models, and processes to identify and isolate outliers, fraud, abuse, and waste. Analyzed Purchased Care payment history files; identified data mining approaches/analysis to identify post-payment errors, potential FWA, and other issues.
- Researched best way to develop “early warning” system to more quickly identify developing trends or issues; greater ability to benchmark facilities and providers; and projection tool for strategic planning with ability to identify general FWA patterns.
- Developed training programs to educate VA staff, Purchased Care providers, and VA beneficiaries on fraud, waste and abuse. Analyzed training designs used by VA and other leading industry training programs on FWA.

**US Virgin Islands Dept. of Education/Dept. of Health and Human Services  
Grants Management Oversight**

<b>Begin/End Date</b>	June 2010 – June 2015		
<b>Contact Information</b>	Donna Frett-Gregory Assistant Commissioner, Operations <a href="mailto:dgregory@doe.vi">dgregory@doe.vi</a> 340-774-0100	Deborah Gottlieb Director <a href="mailto:Debra.Gottlieb@omb.vi.gov">Debra.Gottlieb@omb.vi.gov</a> 340-774-0750	
<b>Contract Value</b>	\$18,000,000	<b>Contract Type</b>	Time and Materials

**Similarity in Size and Scope**

TCBA Watson Rice is the current Third Party Fiduciary (TPF) Agent for the Virgin Islands Department of Education (VIDE) and Virgin Islands Department of Human Services (VIDHS). The VIDE and VIHS require professional services from an experienced and qualified firm to provide TPF oversight and funds management services for all Federal funds awarded by the U.S. Department of Education (ED) to the VIDE and VIDHS because VIDE and VIDHS received “high risk grantee” status. VIDE and VIDHS received this status because of serious and recurring deficiencies in the administration of ED programs. To address these deficiencies, BCA provided the following TPF services:

- Improving control over the grant obligation, liquidation and expenditure processes; Permitting funds to be spent only for allowable costs for programs under the USDOE grants, in accordance with 34 CFR 80.22; Conducting site visits to ensure grant programs are being implemented as written and achieving the desired results in a cost effective manner; Establishing, maintaining and managing separate bank accounts for the funds under USDOE grants; Achieving efficient and effective business and financial processes throughout VIDE and VIDHS’s grantee operations; Driving a focused return to fiscal integrity and ensure compliance with 34 Code of Federal Regulations (CFR) Parts 75,76,77,80,85 and 86, EDGAR, and OMB Circular A-87; Establishing an accurate system of record and basis for facilitating the performance of a financial audit; Providing VIDE and Virgin Islands OMB and Department of Finance with monthly reports including bank reconciliations records, that fully show the amount of funds spent under the grants and how the VIDE used the funds; Establishing and implementing policies and procedure to ensure that property procured with USDOE grant funds with a purchase price of \$500 or greater are properly inventoried and tracked;

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- Taking steps to prevent the lapsing of funds available under the USDOE grants, including ensuring timely disbursement of funds through the use of methods and procedures for payment that minimize the time elapsing between the transfer of funds and disbursement,
- Conduct assessment & recommendation, and implement reengineered grant, procurement, encumbrance, receipt disbursement and program monitoring processes and procedures to ensure program improvement objectives are achieved and sustained.

BCA has performed these services successfully by fully implementing a Procure-to-Pay, Property Management and Reconciliation and Reporting Processes service delivery model. Below you will find a high level overview of these processes.

**Procurement to Pay Process**

- Provide final review of purchase requisitions to ensure compliance with approved spending plans, that expenditures are allowable, reasonable and allocable and documented procurement policies and procedures have been followed;
- Convert purchase requisitions to Purchase Orders (PO) and contact vendors and provide them with PO's so that goods can be shipped and received and services can be rendered
- Receive vendor invoices and perform three way match (PO, invoice and validation of goods receipt or service completion);
- Ensure invoices are valid and complete (this also includes the receipt of payroll staffing list for payroll reimbursement and indirect cost analysis and reimbursement) ;
- Enter invoices into check batches;
- Prepare report indicating the amount of funds required to cover vendor payment and payroll reimbursement;
- Initiate drawdown from USDOE;
- Validate funds have hit TCBA's bank account; and
- Print and mail vendors checks for execute ACH payments.

**Property Management Process**

- Ensure property received is properly and timely received, tagged, scanned and delivered to schools and activity centers;
- Create fixed assets in system from PO's once goods are received;
- Using scanner to populate fixed assets with asset tag and serial numbers;
- Upon confirmed delivery of assets notify the Virgin Islands Department of Property and Procurement of asset delivery for their recording and auditing; and
- Conduct monthly inventory audits.

**Reconciliation and Reporting**

- Prepare monthly bank reconciliation;
- Prepare monthly reconciliation of financial system to USDOE's system where draws are executed;
- Prepare grant status report showing available balance of grants and meet with grant managers to review financial and programmatic status;
- Prepare fixed asset report by location for asset managers to verify and validate assets and their locations;
- Prepare various performance management report measuring cost, quality and cycle time of key VIDE operations.
- BCA will properly equip and train VIDE's staff with the intent to transition these processes to a prepared and competent staff at the appropriate time subject to USDOE concurrence.
- BCA provides the following services incorporating appropriate internal control methodologies that comply with appropriate accounting principles.
- Manage USDOE grant funds received by the Government, VIDE and other Virgin Islands agencies, unless otherwise noted in USDOE grant award documents, including directly managing the funds in a depository account(s).
- Implement a methodology to monitor fixed assets inventory procured by Virgin Islands agencies that are recipients of USDOE grant funds.
- Establish and implement policies and procedure to so that goods/services procured by USDOE grant funds are properly inventoried by Virgin Islands agencies within 24 hours of receipt of such good or services.
- Process payments and disbursements, maintain records for VIDE and other Virgin Islands agencies unless otherwise

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noted in USDOE grant award documents, and comply with the Cash Management Improvement Act (CMIA).

- Establish an approach to process and turnaround requests from Virgin Islands grantee agencies for acquiring goods and services, whether it is the ordering of materials or services, within 48 hours for small purchases and within five days for large purchases.
- Verify receipt of goods and services delivered in addition to processing payments. Provide VIDE with weekly reports on status of purchase orders.
- Establish and maintain a process for managing property with a purchase price of \$500 or greater, consistent with the requirements of 34 CFR section 80.32(d), including reconciling the inventory to be conducted by the Government under the special conditions attached to its USDOE grants with existing property records.
- Provide financial status information upon request to USDOE and/or other oversight entities.
- Develop reporting parameters in the system so reports are generated from data housed in the system that can be developed into reports in line with the requirements of 34 CFR Parts 75, 76, and 80, as well as GAAP, GASB, Virgin Islands and Federal law and rules and regulations, and, other funding source requirements.
- Take steps to prevent lapsing of funds available under the USDOE grants, including ensuring timely disbursement of funds through the use of methods and procedures for payment that minimize the time elapsing between the transfer of funds and disbursement.
- Establish and maintain a process for tracking and reporting time and effort spent by employees whose salaries are paid under the USDOE grants, including distribution of time among different funding sources for split-time employees, and for properly allocating salary costs among the USDOE grants, based on accurate time distribution and time and attendance records, all in accordance with OMB Circular A-87.
- Review and provide critical analysis of the Compliance Agreement, the CMIA Agreement, audit and other reports that have been issued by the Federal government, including the U.S. Department of Education, Office of the Inspector General, relating to the administration of USDOE grant funds.
- Description of performance standards met and unmet, and any corrective actions required; All our work has been performed on time and within budget.
- Quality of Services:
  - Schedule: The Offeror's timeliness in meeting performance objectives. Same as 1
  - Cost Control: The Offeror's (1) ability to perform within or below budget, (2) ability to provide timely, current, complete, and accurate billings. TCBA Watson Rice routinely comes in at or under budget. To date all billing have been complete and accurate.
  - Business Relations: The Offeror's (1) timeliness of interactions, (2) problem identification completeness and quality, (3) corrective action plans, (4) history of reasonable and cooperative behavior, (5) customer satisfaction, and (6) timely award and management of subcontracts. We have always made our client and their needs our top priority. We interact with our client on a daily basis and address all questions and concerns immediately. The client has Stated that they are very pleased with the quality of our work and the depth/detail of our deliverables.
  - Management of Staff: The Offeror's quality and effectiveness of (1) selecting, (2) retaining, (3) supporting and (4) replacing staff. Staff were selected for this engagement based on their experience, knowledge and interest in the engagement. We believe in continuity, therefore we manage our staffing plan so that staff are assigned to the engagement for a committed period of time. This committed period of time allows for relationship building with the client/applicants, audit efficiencies for our client/applicants and professional growth for our staff. In the event that a staff must be replaced due to promotion or separation, we take the necessary precautions to make sure that role is properly transitioned so that there is no service interruption for our client.

### **Section 27: Additional Experience of Bidder**

Team Grant Thornton has assisted grantees and subgrantees through all aspects of the disaster grant cycle – to prepare, respond, and manage. We understand how to apply sound financial and Governmental accounting practices, processes, and controls to every aspect of this cycle. Most importantly, we bring to bear our significant experience in grants compliance and close-outs to enhance every aspect of the grant cycle, always working with the end-result in mind.

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In the aftermath of disasters and expenditure of funds, State and subgrantees are constantly at risk of having Federal funds de-appropriated based on reviews by FEMA and OIG audits. We apply our in-depth understanding of commonly found audit exceptions, typically resulting from a failure to comply with Federal guidelines, inadequate documentation, and inadequate accounting practices, to help mitigate the de-appropriation of funds. We apply this knowledge and experience throughout every step of the grant cycle to help ensure a positive end result.

The following are examples of some of the engagements conducted to support grantees and subgrantees.

- **State of Texas, Department of Public Safety, Texas Division of Emergency Management (TDEM)** - In 2011, Grant Thornton was engaged by TDEM to conduct compliance audits of subgrantees for FEMA PA grants. The audits involve evaluating internal controls; examining the subgrantee's supporting documentation for project expenditures; evaluating their compliance with relevant statutes, regulations, and grant agreements; and reporting the audit results. Currently the contract includes reviewing \$272,000,000 in FEMA grants and performing audits of 339 PWs for 76 subgrantees. The project requires Grant Thornton to work with State and local entities across the State of Texas. Costs audited under this engagement include labor, purchases (materials and equipment), contracts, rentals, direct administrative costs, and debris removal/management.
- **Carleton College** - Grant Thornton supported Carleton College in Minnesota with its insurance claims and FEMA PA grants following area-wide flooding on September 23, 2010. We assisted the College throughout the PA grant application process, the project kickoff with State and FEMA representatives, and throughout the entire PW process. Our specific support included:
  - Participating in the planning process assisting FEMA to identify required projects;
  - Helping develop accounting procedures and controls to capture costs by PW;
  - Attending meetings with FEMA and the State to address cost eligibility and other issues;
  - Assisting Carleton in the defense of cost eligibility challenges from FEMA;
  - Collaborating with representatives of the State and FEMA in PW development; and
  - Assisting in the determination and analysis of Section 406 Hazard Mitigation.
- **FEMA Office of PA – Special Community Disaster Loans** - From April 1 through July 1, 2011, Grant Thornton analyzed Special Community Disaster Loan (SCDL) appeal requests that were submitted by several local Governments (appellants) in the States of Louisiana and Mississippi who received SCDL funds in the aftermath of Hurricane Katrina. The appeals were filed in response to FEMA's original determination that SCDL funding for those localities could only be partially cancelled or not cancelled at all. The request for SCDL forgiveness was granted to local Governments receiving SCDL funds for Hurricane Katrina under the provisions of the *U.S. Troop Readiness, Veterans Care, Katrina Recovery, and Iraq Accountability Appropriations Act, 2007*. This 2007 Act provides FEMA the authority to cancel all or a portion of SCDLs that meet the cancellation criteria in Title 42 U.S.C. 5184 (Stafford Act) Section 417, *Community Disaster Loans (c)(1), Cancellation*. FEMA's procedures and criteria for cancellation of the SCDLs are set forth at Title 44 CFR Section 206.376, *Loan Cancellation*. Grant Thornton's analysis was done to determine if findings existed to recommend whether FEMA should modify or reverse their original decision regarding partial or no forgiveness of SCDL funds according to the terms of 44 CFR 203.376.
- **FEMA -Office of the Chief Financial Officer, Disaster Finance Center** - Grant Thornton assisted the Department Deputy Chief Financial Officer in identifying improper payments in accordance with the provisions of OMB Memorandum M-03-13, *Improper Payments Information Act of 2002, Public Law 107-300*; to determine the causes of the improper payments; and recommend action plans for addressing those causes and reduce the likelihood of such payments. Specifically our services included:
  - Performing a reassessment of risk for all programs;
  - Selecting a transaction sample using a methodology that is compliant with the OMB guidelines;
  - Obtaining sufficient supporting documentation for each sample item;
  - Performing detailed tests of transactions for each sample item;
  - Projecting the error rate and error dollar amounts to the entire population; and
  - Providing results of our tests to the Department to be reported in the Performance and Accountability Report.

**Section 28: Disclosure**

To the best of our knowledge Team Grant Thornton has not provided services on the State contract G-8034 Consulting: Disaster Recovery.

**Section 29: Financial Capability of the Bidder**

Grant Thornton LLP is a private limited liability partnership. Our firm policy prohibits the release of our financial information, which is consistent with the practice of other large accounting and management advisory firms. To assist you in your consideration of our proposal, however, please consider the Confidential information contained in the Grant Thornton Letter of Financial Strength in Attachment B and will respond to further questions, as needed.

**Section 30: Additional Requirements**

Grant Thornton has included all of the requirements under of RFQ Section 12.0, Additional Requirements, in the attachments listed in Table 4.

Attachment Number	Requirement
C	Ownership Disclosure Form
D	Disclosure of Investigations and Other Actions Involving Bidder Form
E	Disclosure of Investment Activities in Iran
F	Certification of MacBride Principles and Northern Ireland Act of 1989
G	Subcontractor Utilization Form
H	Affirmative Action Employee Information Report
I	New Jersey's Standard Terms and Conditions
J	Source Disclosure Certification Form
K	Two-Year Chapter 51/EO 117 Vendor Certification and Disclosure of Political Contributions
L	Federal Vendor Letter
M	Cooperative Purchasing Form

Table 4. List of Attachments

## **Attachment A: Resumes**

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This attachment is divided into two sections. The first section contains resumes for those individuals named in the technical proposal for Pools 1, 2, or 3. These resumes are provided in the relative order in which they appeared on organization charts, with the partner resume included first, followed by program manager resumes and other resumes, ending with administrative support resumes. The second section contains resumes for additional identified personnel, presented in alphabetical order.

**Resumes of Named Team Members**

This section contains resumes for those individuals named in the technical proposal for Pools 1, 2, or 3, as shown in the three organizational charts. These resumes are provided in the relative order in which they appear on organization charts, with the partner resume included first, followed by program manager resumes and other resumes, and ending with administrative support resumes.

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██████████ – Project Partner

**Experience Summary**

██████████ has more than 20 years of experience in the federal government, in the U.S. Army, as well as an auditor and financial management consultant. He has extensive experience in performing compliance, audit and monitoring work. He has extensive experience in performing work in accordance with GAGAS. Additionally, He has worked with multiple entities in addressing compliance issues related to grants from both a grantee and grantor perspective.

**At a Glance**

- **Credentials and Certifications:** CPA, CISA, CGFM
- **Title:** Partner
- **Years of Experience:** 20
- **Years Employed** ██████████: 3.5
- **Unique Experience or Capabilities:** ██████████ leads a team of more than 50 personnel in assisting the Texas Department of Public Safety to close out FEMA PWs over the past year and half. He's an expert on leading large multi-disciplined teams on large complex assignments with significant systems related component with client that have significant grant processes.
- **Education:** Master's in Business Administration (concentration in Management Information Systems), John Hopkins University, Bachelor of Science in Accounting, Towson University



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██████████ – Program Manager

**Experience Summary**

██████████ has 15 years' experience of providing audit, accounting and advisory services. His work experience includes direct knowledge planning and executing, audit, advisory, and audit remediation engagements.

**At a Glance**

- **Credentials and Certifications:** Certified Fraud Examiner (CFE), Certified Government Financial Manager (CGFM), Certified Defense Financial Manager (CDFM), Project Management Professional (PMP), Certified Information Systems Auditors (CISA), Certified Information Systems Managers (CISM)
- **Years of Experience:** 15
- **Years Employed** ██████████: 1
- **Unique Experience or Capabilities:** Very experienced in managing highly complex, multi-location audits, and communicating with multiple stakeholders. ██████████ is a specialist in Enterprise Risk Management, Project Management, Financial Audit, Information Technology Audit, Internal Audit, and External Audit
- **Education:** M.S. International Money. Finance. And Investments- Brunel University, B.A. Banking and Financial Services, Birmingham City University



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██████████ **Program Manager**

**Experience Summary**

██████████, ██████████, has 38 years of experience in forensic accounting; financial, operational, and compliance audits; and the review and development of internal controls. He has extensive experience with FEMA Public Assistance grants and property and business interruption claims, assisting governmental and commercial entities in the aftermath of disasters.

**At a Glance**

- **Credentials and Certifications:** CPA
- **Title:** ██████████
- **Years of Experience:** 38
- **Years Employed** ██████████ **:** 2
- **Unique Experience or Capabilities:** ██████████ has extensive experience assisting entities with financial recovery from disasters through insurance claims and FEMA Public Assistance grants.
- **Education:** B.S. Accountancy, University of Illinois



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██████████ – Program Manager

**Experience Summary**

██████████ is an ██████████ specializing in audits for Federal, state, and local agencies. ██████████ has 10+ years of audit, accounting, and advisory experience with large, complex Federal, state and local agencies and private sector entities. Additionally, she has significant experience managing, testing, and reporting program compliance as well as evaluating business processes.

**At a Glance**

- **Credentials and Certifications:** CPA, CGFM
- **Title:** ██████████
- **Years of Experience:** 10
- **Years Employed** ██████████: 1
- **Unique Experience or Capabilities:** Audit, accounting, and advisory experience specializing in large, complex Federal, state and local agencies and private sector entities.
- **Education:** BBA in Accounting, Howard University



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ is a ██████████ group. He has over fourteen years of experience in project management, process design, systems analysis, systems selection, and implementation. Much of his project management experience has been in the management of large, complex projects in the public sector, particularly with transportation organizations. ██████████ has helped many clients significantly improve their businesses through changes in business processes and better use of technology. His experience spans multiple industries including insurance, consumer packaged goods, industrial manufacturing, services, and state and local government.

**At a Glance**

- **Credentials and Certifications:** Project Management Professional (PMP) and Six Sigma Green Belt (CSSGB)
- **Title:** ██████████
- **Years of Experience:** 16
- **Years Employed** ██████████: 2
- **Unique Experience or Capabilities:** Extensive experience in financial management process design and project management including state and county level operations, financial transaction processing, grant reporting, and process review and audit
- **Education:** B.S.-Systems Science and Engineering- University of Pennsylvania



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ has more than thirty-five years of professional accounting and auditing experience. He directs audit and consulting services for a wide range of large, small and emerging business clients, federal, state and local government entities, and real estate firms. ██████████ major clients has included the Department of US Treasury Small Business Lending Fund, Newark Housing Authority, New Jersey Department of Transportation, New Jersey Department of Health and Senior Services, New Jersey School Construction Corporation, Newark Pre-School, 1199SEIU National Benefit Fund, Resolution Trust Corporation, New York City Health and Hospitals Corporation, Abyssinian Development Corporation, The City of New York, The Coca-Cola Bottling Company of New York, Salomon Brothers Inc., and Union Settlement Association, Inc.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant: New York, New Jersey, District of Columbia and Connecticut.
- **Title:** ██████████
- **Years of Experience:** 42
- **Years Employed** ██████████: 33
- **Unique Experience or Capabilities:** Mr. ██████████ has extensive experience in financial and compliance audits for private, governmental and not-for-profit clients.
- **Education:** M.B.A., Iona College; B.B.A., Bernard M. Baruch College



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ has over 20 years of public-sector and government experience, over 15 years of which is in grants management. Her grants management experience spans the full grants lifecycle with federal grantor, and local and non-profit grantee experience. ██████████ has extensive experience in the development of grant policies, procedures and training for Federal staff and grantees. She was a CDBG grantee and has conducted technical assistance for several federal agencies and 100's of grantees. ██████████ is also experienced in organizational and process redesign, administration of Federal programs, management audits, program evaluation and administration. She also has assisted Federal clients with a migration from manual to electronic grant management systems.

**At a Glance**

- **Credentials and Certifications:** Certified Grants Management Specialist (CGMS)
- **Title:** ██████████
- **Years of Experience:** 25
- **Years Employed** ██████████ : 5
- **Unique Experience or Capabilities:** Ms. ██████████ special expertise is in the areas of housing and community development programs, and program and management audits.
- **Education:**
  - M.P.A.- Maxwell School of Public Affairs- Syracuse University,
  - B.A.- Government- Franklin and Marshall College



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██████████ – Project Manager

**Experience Summary**

██████████ has ten years of financial management and government audit experience and has successfully led large project teams addressing high profile, complex, large federal and commercial projects. In addition, he has a deep experience with understanding control design to achieve management's assertions, and the identification and remediation of missing and/or inadequate controls necessary to strengthen Federal financial reporting.

**At a Glance**

- **Credentials and Certifications:** CPA
- **Title:** ██████████
- **Years of Experience:** 11
- **Years Employed** ██████████ : 3
- **Unique Experience or Capabilities:** Audits pursuant to the Chief Financial Officer Act and OMB A-123 Internal Control Assessments. He has performed process level risk assessments and evaluated controls at the process, transaction and application level in relation to component accounts, major classes of transactions and processes.
- **Education:** M.P.A - Professional Accounting, University of Texas, B.S. – Finance and Economics – University of Florida



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██████████ – CPA/Project Manager

**Experience Summary**

██████████ has experience in the audit and evaluation of state government financial statements, internal controls, accounting, financial management systems and operations. This includes auditing financial statements, evaluating business processes, procedures and systems for effectiveness of internal controls, and compliance with laws and regulations.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant (CPA) and Certified Internal Auditor (CIA)
- **Title:** ██████████
- **Years of Experience:** 13
- **Years Employed** ██████████: 1
- **Unique Experience or Capabilities:** Mr. ██████████ is an experienced audit professional with extensive experience with the Texas State Auditor's office. Prior to becoming an auditor, he spent five years conducting criminal, fraud, and narcotic investigations. He's a veteran of the United States Air Force.
- **Education:** M.B.A - University of Phoenix, B.B.A - Accounting & Business Administration, Eastern New Mexico University



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██████████ – Project Manager

**Experience Summary**

██████████ has a wide variety of public sector experience having worked in both the Legislative and Executive branches of State Government. His experience includes the development of numerous strategic plans, performance management efforts, process improvements and change management initiatives. Additionally, he has extensive experience with crisis management and emergency preparedness activities and managing the spending of federal grant dollars.

**At a Glance**

- **Credentials and Certifications:** MPA
- **Title:** ██████████
- **Years of Experience:** 15
- **Years Employed** ██████████ : 1
- **Unique Experience or Capabilities:** Mr. ██████████ served as a principal architect of the merger of five previously separate state agencies into a new overarching entity, the New York State (NYS) Division of Homeland Security and Emergency Services. The merger represents one of the largest public safety reorganizations in the state's history and has resulted in numerous operational efficiencies and significant cost savings. He has also served as a senior advisor to the New York Governor's Deputy Secretary for Public Safety
- **Education:** Masters of Public Administration, Marist College, B.A., Sociology/Criminal Justice, State University of New York at Plattsburgh



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██████████ – Senior Consultant

**Experience Summary**

██████████ has over 7 years of grants administration experience and is currently pursuing a Chartered Financial Analyst (CFA) certification. He has extensive experience in the field of grant management and has been involved in both the management and accounting treatment for grants.

**At a Glance**

- **Credentials and Certifications:** Level 1 CFA Candidate
- **Title:** ██████████
- **Years of Experience:** 7
- **Unique Experience or Capabilities:** Served as grants financial manager for the National Capital Region’s State Administrative Agency. Managed \$92 million portfolio of sub-grants derived from Urban Area Security Initiative grant funding. Administered sub-awards and adjustments for approved projects to various agencies within the DC Metropolitan Area. Analyzed project expenditure reports and monitored documentation submitted by sub-grant recipients for claimed expenses to ensure accurate reporting and to verify compliance with the Homeland Security Grant Program guidance.
- **Education:** MBA, Finance – Howard University, B.S., Finance – North Carolina Central University



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██████████ – CPA/Sr. Consultant

**Experience Summary**

██████████ has 10+ years of accounting and Federal Financial Management experience. He has a detailed understanding of Generally Accepted Accounting Principles and Generally Accepted Government Auditing Standards. He is experienced in Chief Financial Officer Act audits, OMB Circular A-123 assessments, Financial Improvement Audit Readiness assessments, financial accounting and reporting, account reconciliation and analysis, process analysis/flowcharting, and program/project management.

**At a Glance**

- **Credentials and Certifications:** CPA, CGFM, CFE, CDFM
- **Title:** ██████████
- **Years of Experience:** 14
- **Years Employed** ██████████: 10
- **Unique Experience or Capabilities:** Fraud detection, Investigations, Grants management
- **Education:** B.S.-Accounting and Management Information Systems – Syracuse University



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██████████ – Senior Consultant

**Experience Summary**

██████████ is a senior auditor in ██████████ with more than 15 years' experience in public accounting, audit, and management consulting experience. He has extensive and demonstrated auditing and accounting experience in federal, state and local governments, health care entities, not-for-profit organizations, educational institutions, banks and commercial entities.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant (Maryland, Virginia and District of Columbia); Certified Fraud Examiner (CFE)
- **Title:** ██████████
- **Years of Experience:** 15
- **Years Employed** ██████████: 7
- **Unique Experience or Capabilities:** Compliance Audits, Internal Control Audits, Financial Statement Audits, A-133 Audits, Agreed Upon Procedures Reports and Fraud Examination
- **Education:** M.S., Accounting and Business Advisory Services, University of Baltimore; M.S., Finance, University of Baltimore; B.S., Financial Services, University of Manchester, Britain



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██████████ – Consultant

### Experience Summary

██████████ has four years combined experience in fraud analysis and internal auditing for government agencies and the private industry. Her experience includes comprehensive link analysis of recipients of federal funds to detect fraud, waste, and abuse using an analytical software program. ██████████ proactively develops targets of interests through examination of database anomalies and high risk programs. She is skilled in using a comprehensive approach to identify suspicious patterns and potential abuse. Coupled with her broad knowledge of public government datasets, ██████████ proves to be great asset to her clients.

### At a Glance

- **Credentials and Certifications:** Certified Fraud Examiner
- **Title:** ██████████
- **Years of Experience:** 4
- **Years Employed** ██████████ : 4
- **Unique Experience or Capabilities:** Expertise in early, swift detection, comprehensive analyses and predictive analytics.
- **Education:** B.S., Finance, Accounting, University of Tennessee, 2008

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██████████ – Consultant

**Experience Summary**

██████████ is a ██████████ Sector with over 5 years of experience in providing advisory services across an array of areas. Most recently she has served on a team providing grants compliance services to the Texas Department of Public Safety. She also has experience in strategic planning, change management, procurement, policy and procedure writing, process analysis and improvement, and financial management.

**At a Glance**

- **Credentials and Certifications:** N/A
- **Title:** ██████████
- **Years of Experience:** 5
- **Years Employed** ██████████ : 5
- **Unique Experience or Capabilities:** Ms. ██████████ brings broad consulting experience, having provided management consulting support to a range of clients, provided program evaluations support, conducted customized business training, and improved processes and productivity for clients.
- **Education:** B.A., Mathematics, Georgetown University, 2007



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██████████ – Consultant

**Experience Summary**

██████████ is a Senior Associate in ██████████ practice in Philadelphia, Pennsylvania. ██████████ has over five years of experience and has worked on a variety of engagements addressing insurance related forensic investigation and internal audits, outsourced CFO functionality for insurance companies, and project management.

**At a Glance**

- **Credentials and Certifications:** Certified Fraud Examiner (CFE)
- **Title:** ██████████
- **Years of Experience:** 5
- **Years Employed** ██████████ : 2
- **Unique Experience or Capabilities:** Investigations, Audit
- **Education:** B.B.A.- International Business & Spanish, Loyola University of Maryland



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██████████ – Associate/Staff

**Experience Summary**

██████████ has two years of experience in finance/accounting including one year of federal accounting experience. He has spent two years performing account reconciliations and developing, building and running performance metrics. He is also skilled in business process re-engineering, technical accounting and scorecarding.

**At a Glance**

- **Years of Experience:** 2
- **Years Employed** ██████████: 1
- **Unique Experience or Capabilities:** Mr. ██████████ has experience running complicated financial models and facilitating discussions on technical accounting across the government. He is also skilled in account reconciliation. He is also an expert in Microsoft Excel.
- **Education:** B.S. Accounting, The Pennsylvania State University



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██████████ – Associate/Staff

**Experience Summary**

██████████ engagement experience includes analysis of recipients of federal funds to detect fraud, waste, and abuse, data and cost analysis, program development, process improvements, and strategic sourcing. Her academic background ranges from business management and marketing to public policy and international commerce.

**At a Glance**

- **Credentials and Certifications:** Certified Fraud Examiner(CFE)(Pending)
- **Title:** Associate
- **Years of Experience:** 7
- **Years Employed** ██████████ : 1.5
- **Unique Experience or Capabilities:** ██████████ has performed link analysis to detect fraud including experience in American Recovery and Reinvestment Act Funds and funds related to the Hurricane sandy Relief Bill..
- **Education:** M.A-International Commerce and Policy – George Mason University; B.B.A. – Management and Marketing – Radford University



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██████████ – Consultant

**Experience Summary**

██████████ has over 6 years of experience, both domestic and abroad, performing advisory, regulatory compliance, validation, as well as audit and SOX-related services. His primary focus has been within the Financial Services industry. ██████████ work experience revolves mainly in the audit, validation, and regulatory compliance space.

**At a Glance**

- **Credentials and Certifications:** CFE, CAMS
- **Title:** Senior Associate
- **Years of Experience:** 6
- **Years Employed** ██████████ : 2
- **Unique Experience or Capabilities:** AML, Internal Audit, SOX Testing, Supervisory Controls Testing, Anti-Fraud Support
- **Education:** B.S., Management, Concentration in Finance – State University of New York, at Binghamton, Cum Laude



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██████████ – Senior Consultant

**Experience Summary**

██████████ has over nine years of advisory and consulting experience. His responsibilities have included providing clients with recommendations on business procedures and financial and operational analyses, assisting with financial reporting and accounting functions, and providing support for forensic accounting and litigation projects. ██████████ has a Juris Doctor from the Temple University Beasley School of Law.

**At a Glance**

- **Credentials and Certifications:** Juris Doctor, Bar Admission, Pennsylvania and New Jersey
- **Title:** Senior Associate
- **Years of Experience:** 9
- **Years Employed ██████████:** 2
- **Unique Experience or Capabilities:** Mr. ██████████ is an attorney who specializes in forensic accounting and litigation. He has significant experience in financial reporting and accounting, and has conducted fraud investigations on behalf of state entities.
- **Education:** BBA in Finance, Juris Doctor, Temple University



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██████████ – Administrative Support

**Experience Summary**

██████████ is a recent honors Business Administration graduate of Morehouse College. ██████████ specializes in organizing detailed spreadsheets, analyzing financials, and developing improved organizational procedures for company and public use.

**At a Glance**

- **Years of Experience:** 2
- **Years Employed** ██████████ : 1
- **Unique Experience or Capabilities:** ██████████ has three summers of United States Senate government internship experience and is very familiar with procedures and policies on Capitol Hill. His experience includes analyzing United States Senator's budgets, leading the formulation of strategic processes for Supreme Court hearings handling of the public, and preparing Senate expense vouchers for submission.
- **Education:** B.A. Business Administration, Morehouse College, 2012



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██████████ **Project Manager**

**Experience Summary**

██████████ is a versatile emergency management, disaster mitigation, preparedness, response, and recovery professional with seven years of dedicated consulting experience on behalf of cities, counties, regional planning councils, and state governments. ██████████ has a thorough understanding of the national standards and federal guidance governing such efforts including the Stafford Act, Federal Emergency Management Agency (FEMA) Public Assistance (PA) guidance documents, Hazard Mitigation Grant Program guidance documents and disaster funding regulations for local and state governments.

██████████ serves as client services director for Science Applications International Corporation's (SAIC) BDR Division in Houston, Texas. His primary focus is in disaster recovery, specifically disaster management, FEMA public assistance, Community Development Block Grant-Disaster Recovery (CDBG-DR), Hazard Mitigation Grant Program (HMGP) and the Federal Highway Administration Emergency Relief (FHWA-ER) program. Over the last several years, he has been responsible for managing SAIC's short and long term recovery operations following Hurricane's Dolly, Ike, Gustav, Irene, Alex, Isaac, and Superstorm Sandy.

**At a Glance**

- **Credentials and Certifications:** MPA
- **Title:** ██████████
- **Years of Experience:** 12
- **Years Employed ██████████:** 10
- **Unique Experience or Capabilities:** FEMA PA, HMGP, CDBG
- **Education:** M.A. in Public Administration/Texas State University, B.A. in Government, The University of Texas



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██████████ – Administrative Support

**Experience Summary**

██████████ provides core administrative function for both the staff at MBA and its clients. Her day-to-day responsibilities include project monitoring, client relations, data/information collection and overall coordination of proposal submissions. ██████████ coordinates with Federal and State officials, collects key information for projects and handles general firm operations with ease and competence.

Her skills offer a unique ability to manage several projects at once. ██████████ supports firm project managers and sees projects through to completion. Her capacity to communicate with staff and clients create a seamless approach to successfully managing and completing both small and large multi-disciplinary projects.

**At a Glance**

- **Credentials and Certifications:** None
- **Title:** ██████████
- **Years of Experience:** 15
- **Years Employed** ██████████ : 7
- **Unique Experience or Capabilities:** Ms. ██████████ abilities to meticulously organize and communicate with both firm and client staff allow the firm to maintain steady operation.
- **Education:** B.A.- Sociology and Criminal Justice – William Paterson University



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██████████ – Senior Consultant

**Experience Summary**

██████████ has more than thirteen years of professional experience in providing audit, attestation and consulting services to various companies in the public sector, government agencies and not-for-profit organizations.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant, New York, New Jersey and Virginia
- **Title:** Manager
- **Years of Experience:** 14
- **Years Employed** ██████████: 12
- **Unique Experience or Capabilities:** More than thirteen years of professional experience in providing audit, attestation and consulting services to various companies in the public sector, government agencies and not-for-profit organizations
- **Education:** B.S. Business Administration and Accountancy, University of the Philippines



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██████████ – Project Manager

**Experience Summary**

Over the past five years ██████████ has worked with ██████████ on a range of projects including arts and culture initiatives in Urban NJ to major open space and environmental remediation projects in a host of NJ communities. ██████████ has provided guidance and oversight to potential and newly formed nonprofits and advises on the selection of board members and staff, as well as the development and implementation of by-laws, mission statements and vision statements. Internally, ██████████ is charged with development of key staff members' persuasive writing including grant narratives and solicitation letters.

**At a Glance**

- **Credentials and Certifications:** BA Degree, Juris Doctor
- **Title:** Project Manager
- **Years of Experience:** 13
- **Years Employed ██████████:** 5
- **Unique Experience or Capabilities:** ██████████ has an extensive understanding of law, particularly in the fields of labor and environmental law.
- **Education:** Juris Doctor, Catholic University of America Columbus School of Law, Washington DC; BA Degree, Political Science, University of North Carolina at Greensboro



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██████████ – Senior Consultant

**Experience Summary**

██████████ is a Manager of ██████████, who has over eighteen years of professional accounting, auditing and tax experience in private, government and not-for-profit organizations. His experience as an assurance manager includes the study and evaluation of client’s internal control structures, performance of field work and substantive testing, review and compilations services, and preparation of internal control reports and financial statements and notes to the financial statements.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant, New Jersey
- **Title:** Manager
- **Years of Experience:** 19
- **Years Employed** ██████████ : 8
- **Unique Experience or Capabilities:** Government and Not-for-Profit Auditing
- **Education:** MBA, Accounting, Fairleigh Dickinson University; B.A., Philosophy/Computer Science, Fairleigh Dickinson University



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██████████ – Project Manager

**Experience Summary**

██████████ serves as Preparedness and Operational Planning Team Leader at URS and has over 17 years of experience as a program/project manager providing innovative solutions to government clients in emergency management. ██████████ has led the development and production of operational plans, guidance documents, policies, and a broad range of outreach materials from simple fact sheets and briefing materials to web sites and strategic communications plans. ██████████ has published two articles on stakeholder engagement in peer-reviewed professional journals and has supported clients in developing and executing effective outreach strategies for controversial issues.

**At a Glance**

- **Credentials and Certifications:** American Institute of Certified Planners (AICP); Project Management Professional (PMP); Certified Floodplain Manager (CFM)
- **Title:** Preparedness and Operational Planning Team Leader
- **Years of Experience:** 17
- **Years Employed** ██████████: 2
- **Unique Experience or Capabilities:** Disaster Housing, FEMA Recovery Programs, FEMA Mitigation Grants, Community Planning,
- **Education:** PhD candidate, Urban Planning, Virginia Tech ; MS, Urban and Regional Planning, University of Pittsburgh; BA, Economics and Political Science, Virginia Tech



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**Resumes of Additional Team Members**

This section contains resumes for additional identified personnel, presented in alphabetical order.

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██████████ – Program Manager

**Experience Summary**

██████████ is involved in the management and performance of Local Hazard Mitigation Planning (HMP) projects regulated under the Disaster Mitigation Act of 2000 (DMA 2000) and has over twenty years' experience in engineering and planning including experience in hazard mitigation planning and in the petrochemical field as a mechanical engineer, packaged equipment engineer and manager.

**At a Glance**

- **Credentials and Certifications:**
  - ASFM Certified Floodplain Manager, Certificate No.: US-07-02614, issued 4/12/07
  - LEED AP (Leadership in Environmental and Engineering Design Accredited Professional), 3/4/09
  - Engineer-In-Training (EIT), NYS Board of Professional Engineers
  - FEMA, Department of Homeland Security, Benefit-Cost Analysis Course (BCA), September 2008
  - FEMA Department of Homeland Security, Module Training in the Flood Full Data, Coastal A and V Zone Full Data, Limited Data, and Hurricane/Wind Modules, May 3, 2007
- **Title:** Senior Project Manager-Hazard Mitigation
- **Years of Experience:** 20
- **Years Employed** ██████████: 8
- **Unique Experience or Capabilities:** Ms. ██████████ has managed both countywide (multi-jurisdictional) and single jurisdiction HMP projects in New York and New Jersey (FEMA Region II), working along with the New York State Emergency Management Office (SEMO) and New Jersey Office of Emergency Management (NJOEM). In addition she has performed FEMA BCA analysis and e-grant support for a flood mitigation project in New Jersey..
- **Education:** B.S., Mechanical Engineering, Cornell University



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██████████ – Senior Consultant

**Experience Summary**

██████████ has over twenty years of combined professional experience in corporate accounting, financial analysis and compilations, pension and compliance audits, and an extensive accounting and auditing experience in private, governmental and not-for-profit organizations.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant
- **Title:** Senior Auditor
- **Years of Experience:** 25
- **Years Employed** ██████████ : 5
- **Unique Experience or Capabilities:** Government and Not-for-profit Auditing
- **Education:** Bachelor of Accountancy- Polytechnic University of the Philippines (Cum Laude)



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██████████ – Project Manager

**Experience Summary**

██████████ has over 15 years of experience in emergency management and planning, civil and transportation engineering and planning including projects in the water, highway, rail, and port arenas. As a certified URS Project Manager and PMP, ██████████ has extensive experience in planning, execution, and management of projects for Federal entities with attention to delivering products on time, within budget and meeting and/or exceeding client expectations.

**At a Glance**

- **Credentials and Certifications:** Professional Engineer; Certified Floodplan Manager; Project Management Professional (PMP)
- **Title:** Project Manager
- **Years of Experience:** 15
- **Years Employed ██████████:** 15
- **Unique Experience or Capabilities:** Program & Project, Management, Planning & Policy Support, Grants Management, Emergency Management, Response, Recovery & Hazard Mitigation.
- **Education:** B.S., Civil Engineering, Tulane University



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██████████ – Project Manager

**Experience Summary**

██████████ has 16 years of experience in water resources planning, hazard mitigation, and land use/environmental planning. He has management and staff experience with the FEMA Public Assistance Program and Hazard Mitigation Grant Program (FEMA Region II, (1996-98). He is responsible for environmental, economic, and regulatory review of flood control, hurricane protection, navigation improvement, structural retrofit and floodproofing, hazard mitigation, and environmental restoration projects. He has extensive knowledge in computer applications such as Geographic Information Systems (GIS), including ArcGIS, and Microsoft Office. Duties include project management, NEPA review, technical writing, public outreach, and GIS support and staff training.

**At a Glance**

- **Credentials and Certifications:** American Institute of Certified Planners; Professional Planner
- **Title:** Water Resources Planner/GIS
- **Years of Experience:** 16
- **Years Employed** ██████████: 14
- **Unique Experience or Capabilities:** City and regional planning, Community outreach **and** Hazard mitigation.
- **Education:** MCRP/City and Regional Planning/1996/Rutgers University; BA/English/1994/University of Illinois



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██████████ – Program Manager

**Experience Summary**

██████████ has over twenty-eight years of extensive professional experience in providing various types of audit and consulting services to both the public sector and private entities. He also leads the firm’s professional development and quality control programs, and serves as ██████████ on financial and compliance audits provided to various government and not-for-profit agencies, including but not limited to, the following:

- The City of New York Department of Health and Mental Hygiene
- The City of New York Human Resources Administration
- Metropolitan Transportation Authority (New York)
- New Jersey Transit
- New Jersey Department of Transportation
- North Jersey Transportation Planning Authority
- New York State Department of Transportation
- Pension Benefit Guaranty Corporation
- Union Settlement Association, Inc.
- William F. Ryan Community Health Center
- Ryan/Chelsea Clinton Community Health Center
- Damian Family Care Centers
- 1199SEIU Benefit Funds

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant (CPA)
- **Title:** ██████████
- **Years of Experience:** 28
- **Years Employed** ██████████: 22
- **Unique Experience or Capabilities:** Extensive professional experience in providing various types of audit and consulting services to government, government contractors, not-for-profit organizations, and employee benefit plans.
- **Education:** B.A.- Accounting; Queens College



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██████████ – Project Manager

**Experience Summary**

██████████, a ██████████, has more than 20 years of audit and accounting experience. He has a substantial background in carrying out an independent appraisal of the effectiveness of the policies, procedures and standards by which organizations' financial, physical and information resources are managed. ██████████ has extensive experience in financial audits, operations and reporting, process re-engineering and internal control reviews.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant; Certified Internal Auditor; Certified Information Systems Auditor
- **Title:** Senior Manager
- **Years of Experience:** 20
- **Years Employed** ██████████: 4
- **Unique Experience or Capabilities:** Some of the clients for whom he has worked include: District of Columbia (DC) Housing Finance Agency, District of Columbia Water and Sewer Authority, Philadelphia Regional Port Authority, Los Angeles County and City of Los Angeles.
- **Education:** M.S., Computer Based Management Information Systems, University of the West Indies



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ has over 20 years of engineering and management experience, including all phases of civil, structural, transportation, traffic and infrastructure engineering and program, project and construction management. ██████████ is experienced in directing multidiscipline design teams of planners, engineers, architects and landscape architects in all phases of project development including planning, design and construction management activities for major construction projects for both public and private sector clients. The majority of these projects were funded through State and Federal Grant programs. Additionally, having served as an Engineering Operations Manager he has significant experience in analyzing workload projections, budgeting, profit and loss, contracts and process and procedures to streamline operations. As both Operations Manager and Project Manager, ██████████ was responsible for ensuring both technical and financial compliance with the various grant requirements his projects were often funded by.

**At a Glance**

- **Credentials and Certifications:** Professional Engineer #40639, State of New Jersey
- **Title:** Senior Manager
- **Years of Experience:** 21
- **Years Employed** ██████████: 1
- **Unique Experience or Capabilities:** Mr. ██████████ special expertise is in the area of Program and Project Management for large-scale complex engineering projects including civil engineering, structural engineering, utility infrastructure, forensic civil engineering, lighting design and construction engineering.
- **Education:** M.S.C.E.- New Jersey Institute of Technology, B.S.C.E.- New Jersey Institute of Technology



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██████████ – Subject Matter Expert

### Experience Summary

██████████ has 29 years of professional experience in the engineering field. He is a Senior Project Manager/Engineer for Environmental and Geotechnical projects and manages a Geotechnical Engineering and Construction Materials Testing and Inspection Department. ██████████ is also a senior project manager/engineer in the environmental engineering field. He has over 25 years' experience in environmental engineering remedial design and construction, including Federal (EPA, ACE, and DOD) and State Superfund site remediation design and corrective action, landfill cap closure design, landfill gas mitigation, remedial investigations, engineering feasibility studies, UST removals and remediation, AST installations, and construction QA/QC services. He also has over 25 years' experience in construction management and technical oversight, managing construction of environmental remedial action projects. Substantial experience working with federal and state regulatory agencies (e.g., EPA, DNREC-SIRS, DNREC-Solid Waste, DNREC-Soil & Water Conservation, Army Corps of Engineers, DOD, etc.) with a comprehensive knowledge of regulatory rules, regulations, standards, guidance documents, and permitting requirements.

### At a Glance

- **Credentials and Certifications:** Professional Engineer
- **Title:** Geotechnical and Construction Management Services Manager
- **Years of Experience:** 29
- **Years Employed ██████████:** 25
- **Unique Experience or Capabilities:** ██████████ has more than 29 years of geotechnical engineering, environmental sciences and engineering, construction inspection and testing services, and environmental remediation construction. ██████████ has performed geotechnical and environmental services within the private sector as well as local, state and federal clients.
- **Education:** M.E., Civil Engineering, University of Delaware; B.S., Construction Engineering, Iowa State University



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ is ██████████. During this time her core focus has been to work with communities to define a vision and implementation plan related to redevelopment both at the municipal, and target areas scales. In addition to her work as a coordinator with a variety of federal and state regulatory and funding agencies, she has expert knowledge in the area of transportation with a focus on rail freight. She is familiar with planning initiatives at the State and regional scales – including the Office of Smart Growth, State Planning Framework as well as more locally focused work such as streetscapes, walkway projects and park development projects. She has expert knowledge of key state and federal funding programs that are vital to an integrated approach to local plan implementation.

**At a Glance**

- **Credentials and Certifications:** Masters in Transportation Engineering
- **Title:** ██████████
- **Years of Experience:** 17
- **Years Employed** ██████████: 17
- **Unique Experience or Capabilities:** ██████████ has extensive experience in strategic funding, domestic and international partnerships, interagency coordination, business development, and client relations.
- **Education:** Masters, Transportation Engineering, New Jersey Institute of Technology; B.A, Political Science, Rutgers University



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██████████ – Project Manager

**Experience Summary**

██████████ is a manager in the ██████████. ██████████ has over 17 years of project management, internal audit, consulting, and financial services experience, working with clients across a variety of industries. ██████████ has established Program Management Offices for several clients and was part of the team that developed ██████████.

**At a Glance**

- **Credentials and Certifications:** Masters in Business Administration in Finance and Management
- **Title:** Experienced Manager
- **Years of Experience:** 17
- **Years Employed ██████████:** 8
- **Unique Experience or Capabilities:** Managed large scale projects and program management offices
- **Education:** MBA, Finance and Management, NYU Stern School of Business; BA, Economics, Cornell University



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██████████ – Project Manager

**Experience Summary**

██████████ has over 18 years of experience including 4 years of federal experience and is expected to be awarded his PMP certification in 2013. ██████████ possesses a deep understanding of the policies and principles of Business Research and Competitive Intelligence with a track record of deep analytical insight and substantive, actionable results across industries. He is an accomplished Team Lead and Management Analyst with significant experience in the private and public sectors.

**At a Glance**

- **Credentials and Certifications:** PMP (pending)
- **Title:** Project Manager
- **Years of Experience:** 18
- **Unique Experience or Capabilities:** While working for the U.S. Department of Energy, ██████████ administered the strategic analysis of all Recovery Act Programs. Additionally, he has extensive experience with a host of other Federal Agencies including the Department of State, the Department of Homeland Security and the US Army Corps of Engineers.
- **Education:** Graduate Coursework in Federal Budget Process, USDA Graduate School; B.S., Political Science, Hampden-Sydney College



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ is the ██████████. In this capacity, he manages the business operations of all disaster recovery efforts, including preparedness planning, project staffing, logistics, grant administration and agency reimbursement support, program accounting/auditing oversight, and contract negotiations. ██████████ is dedicated to helping communities plan for and recover from disasters and provide the necessary documentation to receive the maximum allowable reimbursement from federal and state emergency management agencies.

██████████ has 27 years of solid waste and disaster recovery experience. His disaster-related work has included serving as principal in charge of over 30 projects, helping clients throughout the country prepare for, respond to, and recover from natural and human-caused disasters.

██████████ is intimately familiar with local, state, and federal solid waste and hazardous waste regulations, as well as U.S. Department of Housing and Urban Development (HUD), Federal Emergency Management Agency (FEMA), and Federal Highway Administration (FHWA) policies and reimbursement procedures as they relate to disaster management and recovery.

**At a Glance**

- **Credentials and Certifications:** MBA
- **Title:** Operations Manager/Vice President
- **Years of Experience:** 27
- **Years Employed ██████████:** 27
- **Unique Experience or Capabilities:** HUD, FEMA and FHWA policies and reimbursement procedures
- **Education:** M.B.A., University of Central Florida; B.A. in Economics, Tufts University



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██████████ – Program Manager

**Experience Summary**

██████████ is a ██████████ with more than 20 years of experience in response planning and preparedness, program analysis and assessment, training, emergency management preparedness, homeland security, and environmental/hazardous materials response services, primarily with Federal and other Government clients, including FEMA. She has led multiple major, multi-disciplinary, and operational planning/response and recovery projects that required interagency horizontal and vertical planning, technology integration, and rapid response, dictated by time-critical emergency situations. ██████████ is the ██████████ for homeland security services and preparedness, overseeing multiple projects as well as staff performance.

**At a Glance**

- **Credentials and Certifications:** Certified Floodplain Manager
- **Title:** Vice President
- **Years of Experience:** 25
- **Years Employed ██████████:** 24
- **Unique Experience or Capabilities:** Catastrophic Response and Disaster Recovery Planning, Response and Recovery Operations, Interagency Planning, Program Management, Grants Management
- **Education:** MS, Environmental Science, Cleveland State University; BS, Biology and Chemistry, Kent State University



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██████████ – Senior Consultant

**Experience Summary**

██████████ is a ██████████. He has participated in numerous financial and compliance audits over the years at a wide variety of entities. Prior to joining ██████████, his job titles have included Interim CFO/Accounting Manager and Controller at two private companies where, in addition to the usual accounting functions, he was responsible for identifying deficiencies in internal controls and operations and for preventing companywide fraud.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant (New York and District of Columbia); Certified Fraud Examiner
- **Title:** Senior Auditor
- **Years of Experience:** 25
- **Years Employed** ██████████: 2
- **Unique Experience or Capabilities:** Has worked in both public and private sectors and has enormous experience and a firm grasp of accounting principles and auditing standards.
- **Education:** Accountancy, State University of New York, 1998; BA, Political Science, Fordham University, 1989



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ has twelve years of work experience in the field of geological sciences. His field experience includes extensive groundwater/soil sampling, site characterization, remedial investigations, site surveying, monitoring well installation, rock coring, test pit installation, field analysis and direct sub-contractor oversight.

**At a Glance**

- **Credentials and Certifications:**
  - Groundwater Flow and Transport Modeling with GMS, 2005
  - Hydrogeology of Fractured Bedrock: Characterization, Monitoring, Assessment, and Remediation, 2002
- **Title:** Geologist
- **Years of Experience:** 12
- **Years Employed** ██████████: 9
- **Unique Experience or Capabilities:** Expertise in groundwater/soil sampling, site characterization, and remedial investigations
- **Education:**
  - B.S. - Liberal Studies/Concentration Geology - West Chester University
  - B.S.- Geology - West Chester University



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██████████ – Project Manager

**Experience Summary**

██████████ is a ██████████ and has over ten years of accounting, auditing and consulting experience in the federal government and private sector. Her experience includes a comprehensive background in project management, internal control compliance, business process improvement, grants management and oversight compliance, payroll system analysis, performance audits, management assertion of financial statements, financial statement compilation and financial statement audit.

**At a Glance**

- **Credentials and Certifications:** Project Management Professional (PMP)
- **Title:** Manager
- **Years of Experience:** 11
- **Years Employed** ██████████: 5
- **Unique Experience or Capabilities:** Ms. ██████████ knowledge is inclusive of OMB Circular A-123, FMFIA and CFO Act requirements, OMB Circular A-133, FAR Compliance, CFR Attestation; and GAAP, and GAAS requirements.
- **Education:** B.S., Accounting, George Mason University



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██████████ – Project Manager

**Experience Summary**

██████████ has 16 years of experience in the public and private sectors, focusing primarily in the area of hazard mitigation and mitigation planning. ██████████ has served as Project Manager for 11 of our office’s hazard mitigation planning projects, and as Deputy Project Manager on two additional plans. She also managed a FEMA Region II task order to study nearly 2,000 repetitive flood loss properties in NY and NJ and evaluate possible hazard mitigation solutions.

**At a Glance**

- **Credentials and Certifications:** Intern Engineer; Certified Floodplain Manager
- **Title:** Project Manager
- **Years of Experience:** 15
- **Years Employed** ██████████: 12
- **Unique Experience or Capabilities:** Hazard mitigation planning, Historical flood damage data collection , Economic analysis, Hydraulic modeling
- **Education:** BS, Environmental Engineering, Rensselaer Polytechnic Institute



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██████████ – Project Manager

**Experience Summary**

Mr. ██████ is a mitigation specialist, planner and project manager with a master’s degree in land use and environmental planning and over 17 years’ experience. He has extensive experience assisting communities in addressing natural hazard risk through FEMA’s mitigation grant and planning programs. Through his work with the grant programs, he has been involved with both providing training and technical assistance to communities in subapplication development, and has assisted FEMA in the review of submitted subapplications. He is currently leading an effort on behalf of FEMA in Louisiana to evaluate hundreds of different hazard mitigation projects.

**At a Glance**

- **Credentials and Certifications:** American Institute of Certified Planners (AICP); Certified Floodplain Manager
- **Title:** Senior Planner
- **Years of Experience:** 18
- **Years Employed** ██████: 9
- **Unique Experience or Capabilities:** Hazard Mitigation Grants, Post-Disaster Recovery, Application Development, Grants Management, Hazard Mitigation Planning, Resiliency Assessment, CRS Flood Mitigation Planning, Environmental Review, Risk Management, Emergency Management
- **Education:** MRP City & Regional Planning, Land Use & Environmental Planning, University of North Carolina



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██████████ – Subject Matter Expert

**Experience Summary**

Mr. ██████████ has 11 years of work experience in the civil and environmental engineering field as well as land survey field. His civil engineering experience includes site assessment, site design, site planning, minor and major subdivisions, storm water management, utility routing, and acquiring regulatory approvals. His survey experience includes GIS, GPS, surface modeling, field work, managing field data, quality assurance, drafting, as-building, and preparing exhibits. He is currently managing a full-time survey crew. His environmental engineering experience includes the design of soil remediation projects and groundwater treatment projects, and the design of municipal water supply treatment systems. His project management experience includes proposal writing, material take-off and bidding assistance, sub-contracting, and general project coordination including client, inter-company, and regulatory correspondence. Within ██████████, he helps with IT services for CAD workstations, file sharing, networking, website administration, and software programming.

**At a Glance**

- **Credentials and Certifications:** Professional Engineer (PE)
- **Title:** Civil Engineer
- **Years of Experience:** 11
- **Years Employed** ██████████: 9
- **Unique Experience or Capabilities:** Civil engineering; GIS, GPS, Modeling
- **Education:** B.S., Civil Engineering , University of Delaware



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██████████ – Project Manager

### Experience Summary

As ██████████ Region VII for eight years, Mr. ██████████ was responsible for the preparedness, response, recovery, and mitigation of all disasters in Kansas, Iowa, Nebraska, and Missouri, and led the region through over 40 presidentially declared disasters.

Mr. ██████████ serves as senior advisor of state and local programs. He has extensive experience working with senior first responders as well as local, state, and federal elected officials during times of crisis. This has included providing full briefings to the president of the United States five times at the scene of major disaster operations, most recently in Cedar Rapids, Iowa, following the heavy flooding in the area. ██████████ was responsible for creating a long-term community recovery (LTCR) process for FEMA Region VII. This special program provides heavily impacted communities the opportunity to go through a FEMA-sponsored planning process after a catastrophic incident. The LTCR process was used in Greensburg, Kansas, to help the community plan for a new "green" future. The Greensburg, Kansas, recovery is a model for disaster recovery and the subject of televised documentaries/specials on major networks. In addition, ██████████ formed a continuity of operations (COOP) working group within the federal executive boards of Kansas City and St. Louis, which has led to increased preparedness for the federal agencies in Region VII. The yearly exercises that came out of this effort are among the largest federal COOP exercises outside of Washington, DC. Over 100 departments and agencies, representing 39,000 employees, have participated in the annual exercises.

Due to the devastating effects of Hurricane Katrina, Secretary Chertoff chose principal federal official (PFO) teams for the 2006 hurricane season. ██████████ was asked by Secretary Chertoff to serve as the ██████████. In this role, ██████████ was involved with every aspect of preparation for all of the states from Georgia to Delaware. He led exercises in Region IV and Region III, and worked with each state on evacuation plans and commodity distribution plans.

██████████ led the response, recovery, and mitigation for the historic 2008 Midwest flooding event. At the peak, ██████████ was the ██████████ in charge of over 1,000 FEMA employees deployed to this event. ██████████ briefed the Midwest governors, the President of the United States, as well as many U.S. senators and members of Congress.

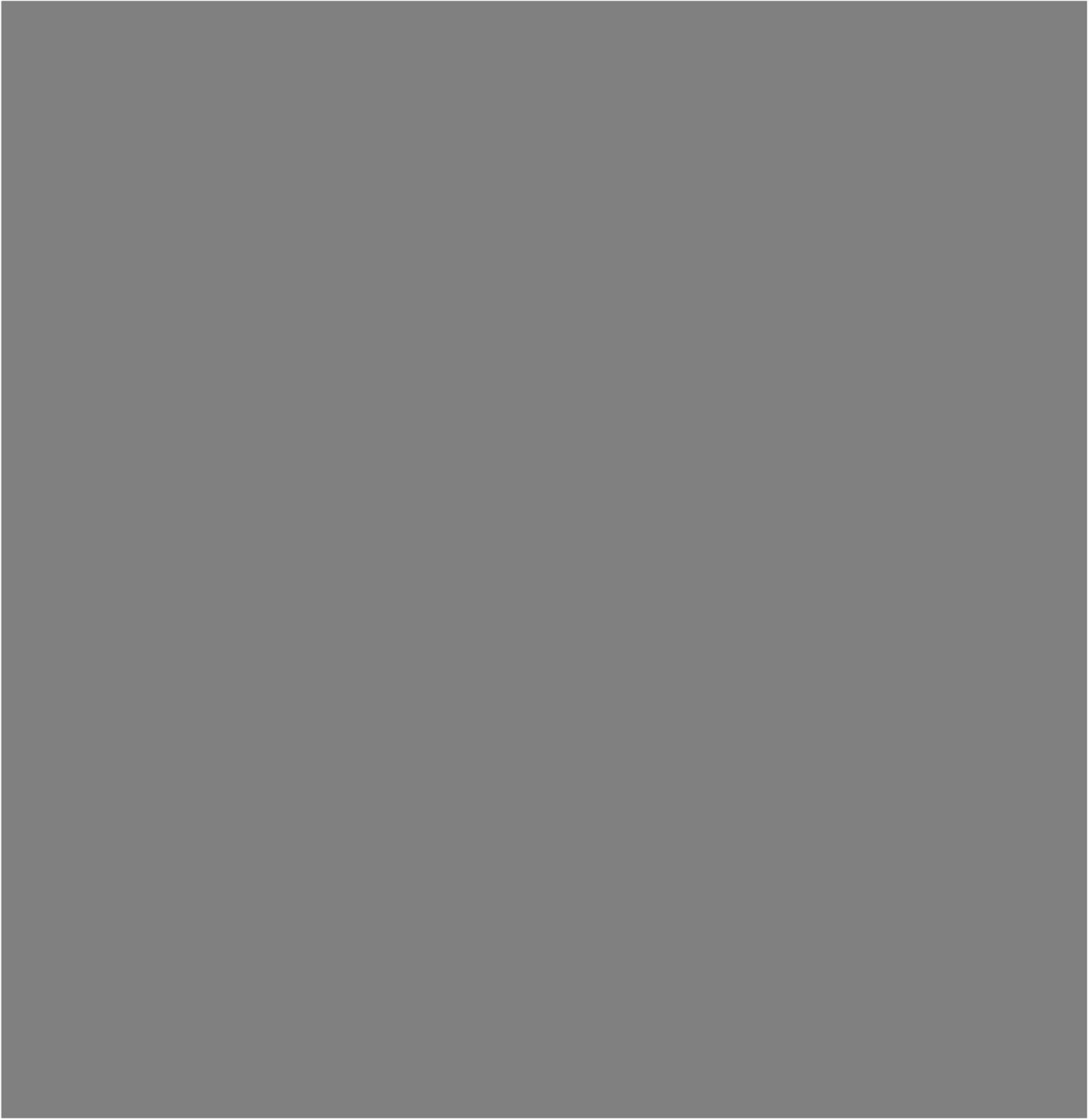
██████████ was also the ██████████ for Hurricane Charley, which struck Florida in 2004. He was responsible for the entire Florida operations division, which at the time was the largest deployment in FEMA's history. Following the four hurricanes that struck Florida, ██████████ served as ██████████, which was the largest emergency housing operation in more than a decade.

### At a Glance

- **Title:** ██████████
- **Years of Experience:** 25
- **Years Employed** ██████████: 4
- **Unique Experience or Capabilities:** Over the last 10 years, ██████████ has supervised major emergency operations in Florida, Mississippi, Missouri, Iowa, Nebraska, and Kansas.

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- 
- **Education:**
    - B.A. - Management and Human Relations - Mid American Nazarene University,
    - A.S. - Fire Science/Killian College
- 



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██████████ – Subject Matter Expert

**Experience Summary**

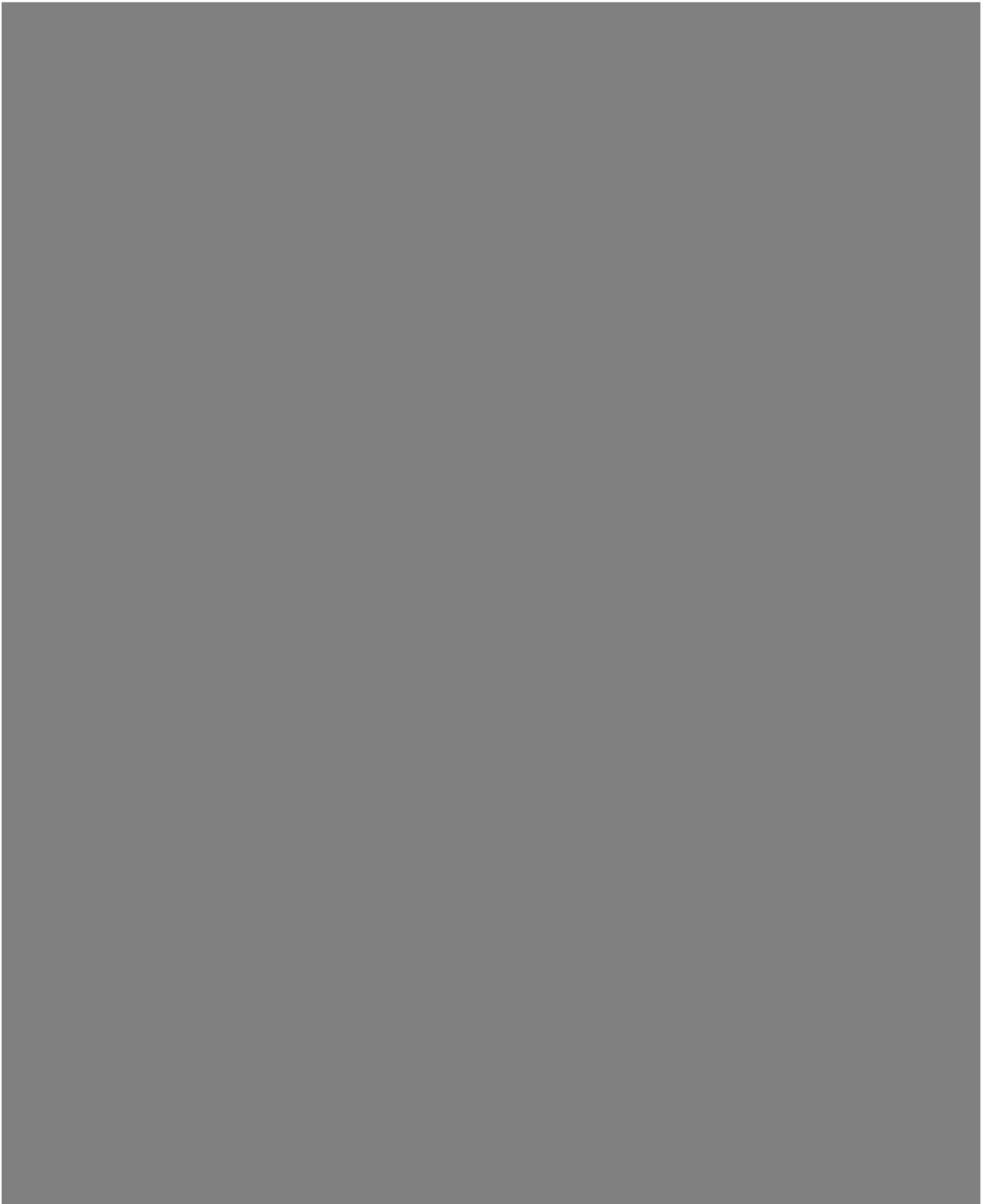
██████████ has 25 years of experience in construction services. He has passed the test to be a Certified Engineering Technician – NICET, Level I and is awaiting certification approval. He is a Certified Construction Reviewer, Certified in Nuclear Density Gauge (Troxler), and Gold Certified in Sediment and Stormwater Management in the State of Delaware. ██████████ construction management/inspection experience includes analysis of bid submissions; preconstruction and progress meeting attendance; shop drawing review and approval; consultation with owners and contractors during construction; daily inspections and testing; monthly and final payment reviews; review of additional work; preparing change orders; performing conditional and final acceptance inspections; and preparation of as-built record drawings and complete project records. ██████████ has also performed construction inspection of remedial actions for OSHA regulated Health & Safety monitoring for EPA projects; sediment & stormwater inspections (CCR), manual and AutoCAD drafting; contract document compliance for materials, workmanship, construction/design issues, and project documentation for construction of buildings, roadways, utility installation, and environmental systems; geotechnical soils investigations; materials sampling and testing in the field and soils laboratory; environmental sampling of soils and groundwater for remedial investigations. ██████████ has provided construction inspection services for New Castle County, DelDOT, DNREC, PADEP and various other government and private agencies.

**At a Glance**

- Credentials and Certifications:
  - Certified Engineering Technician, NICET, Level I – Passed, Awaiting Approval
  - Gold Certification in State of Delaware Storm Water Management Certification, CCR
- Title: Construction Inspector
- Years of Experience: 25
- Years Employed ██████████: 12
- Unique Experience or Capabilities:
  - Certified in Nuclear Density Gauge (Troxler)
  - Gold Certified in Sediment and Stormwater Management in the State of Delaware, CCR
- Education: A.A.S - Civil Engineering Technology - DelTech



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██████████ – Project Manager

**Experience Summary**

Mr. ██████████ is experienced in writing and managing both post-disaster and non-disaster related grants. ██████████ successfully secured \$102 million for Galveston County, TX to purchase 781 properties on the hard hit Bolivar Peninsula in the wake of Hurricane Ike. He is currently managing all aspects of the Hazard Mitigation Grant Program (HMGP) grant from implementation to closeout. ██████████ has also drafted non-disaster related grant applications, such as the Federal Emergency Management Agency (FEMA) Severe Repetitive Loss (SRL) program. He also has extensive FEMA Public Assistance (PA) experience starting with Hurricane Katrina in 2005. Prior to joining the firm, ██████████ worked in both disaster and non-disaster related project and grant management. He created and implemented a program funded by U.S. Department of Housing and Urban Development (HUD) through the Community Development Block Grant (CDBG) to provide affordable housing to low income tribal members, with focus on low income elders and families with children. ██████████ delivered over 75 units and over \$1 million in home improvements with an operational cost of less than four percent of the program budget.

**At a Glance**

- **Credentials and Certifications:** Project Management Professional (PMP)
- **Title:** Project Manager
- **Years of Experience:** 13
- **Years Employed ██████████:** 4
- **Unique Experience or Capabilities:** FEMA PA, HMGP, SRL
- **Education:** B.A. - Pre-Law - SUNY Fredonia



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ is a ██████████ capable to carry out full charge responsibilities in developing various layout concepts, discussing the merits of the different concept schemes with the project manager and then work the chosen conceptual ideas to a final engineering design. Project types include commercial and industrial site plans, residential subdivisions, water and sewer improvements, roadway improvements and parks.

**At a Glance**

- **Title:** ██████████
- **Years of Experience:** 35
- **Years Employed with ██████████:** 6
- **Unique Experience or Capabilities:** Site Development, Utility Engineering, Feasibility Studies and Municipal Engineering.
- **Education:** Surveying, Ocean County Vocational School; Stormwater Management, Cook College/Rutgers University; HEC-2 Flood Plain Hydraulics, U.S. Army Corp of Engineers; Digital Computer Programming, Brookdale Community College; Fluid Mechanics, NJ Institute of Technology



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██████████ – Program Manager

**Experience Summary**

██████████, a ██████████ in the assurance practice at ██████████, has more than 25 years of audit and business consulting experience. In addition to being a certified public accountant, he is also a certified internal auditor and certified information systems auditor. ██████████ specializes in providing internal audit support and internal control engagements at major clients including the internal audit departments of Montgomery County, Metropolitan Airports Authority, Potomac Electric Power Company, First Energy, Prudential Financial, and Radio One. Prior to joining was, from 1988 to 1992, Vice President of Internal Audit for a billion-dollar regional department store chain with 32 stores and 5 warehouses. He has more than 30 years of audit and business consulting experience. Prior to joining ██████████ was Divisional Vice President of Internal Audit for a major retailer.

**At a Glance**

- **Credentials and Certifications:** Certified Public Accountant (CPA); Certified Internal Auditor (CIA); Certified Information Systems Auditor (CISA)
- **Title:** ██████████
- **Years of Experience:** 25
- **Years Employed** ██████████: 12
- **Unique Experience or Capabilities:** Audit Partner/Principal- Financial Audits Management, Internal Audits, Agreed Upon Procedures, Pension & Benefits Audit Reviews; Proposal Development, Marketing
- **Education:**
  - M.B.A- Accounting/Finance, University of Rochester
  - B.S.– Economics, Cornell University



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██████████ – Program Manager

**Experience Summary**

██████████ has more than 17 years of professional experience, with an emphasis on homeland security, disaster management, and emergency preparedness and response planning. As project manager on dozens of contracts with federal, state, and local governments and private industry clients, he has directed integrated project teams consisting of more than 30 people and managed contracts involving as many as 50 concurrent projects and values of more than \$2.5 million per year. ██████████ has led multiple projects that required development of information technology solutions to support project objectives, most notably ██████████ ██████████ ██████████ which was conceived by ██████████ in 2004. ██████████ has subsequently been developed under his direction for the State of Missouri and is currently implemented in Ohio and Virginia to facilitate management of Department of Homeland Security grants.

**At a Glance**

- **Credentials and Certifications:**
  - Train-the-Trainer- Emergency Responder Nuclear, Biological and Chemical Responder Operations Course
  - Protected Critical Infrastructure Information (PCII) Certified
- **Title:** ██████████
- **Years of Experience:** 17
- **Years Employed** ██████████: 15
- **Unique Experience or Capabilities:** ██████████ is a proven manager with more than 17 years of experience. ██████████ Managed a task order on the New York Regional Catastrophic Planning Grant Program to develop an information sharing and decision support tool for regional executives.
- **Education:** M.S., Environmental Science, University of Kansas, B.S., Environmental Science, Wilkes University



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██████████ – Project Manager

### Experience Summary

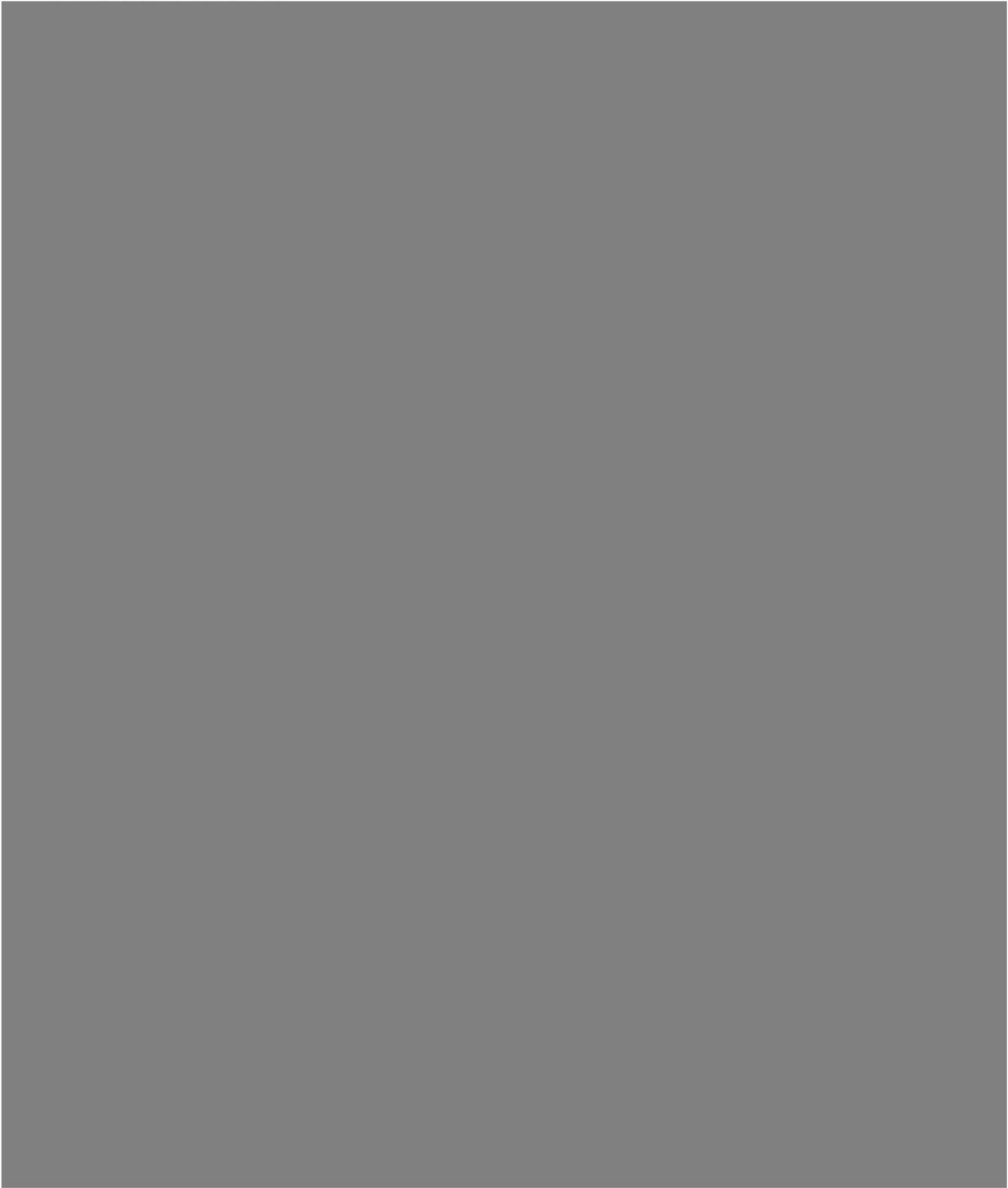
██████████ has 11 years of experience in the environmental field with extensive experience in managing and implementing geographic information systems (GIS), and conducting risk assessments for FEMA hazard mitigation planning projects regulated under the Disaster Mitigation Act of 2000 (DMA 2000). She has provided support to numerous government and private sector clients including FEMA, NOAA and EPA. ██████████ is a Certified Floodplain Manager and leads the technical risk assessments for all DMA 2000 Local and State hazard mitigation planning projects in the Northeast for ██████████ (FEMA Regions I, II and III). ██████████ is proficient in FEMA's HAZUS-MH (flood, seismic and wind models) and utilizes the model to estimate potential losses. ██████████ is also a FEMA-trained benefit-cost analysis (BCA)-analyst and FEMA Hazard Mitigation Assistance grant writer with extensive technical experience in the BCA application. ██████████ has performed BCAs for numerous project types in FEMA Regions II and X, with a focus on the flood hazard.

### At a Glance

- **Credentials and Certifications:**
  - ASFM Certified Floodplain Manager
  - ESRI ArcGIS courses (Introduction to ArcGIS I, II, Advanced Analysis with ArcGIS)
  - FEMA Hazards U.S. – Multi-Hazard (HAZUS-MH)
  - FEMA, Benefit-Cost Analysis Course (BCA), September 2008 and Updated September 2009
  - EPA CAMEO software suite
  - OSHA 1910.120, 40-hour and 8-hour refresher
- **Title:** ██████████
- **Years of Experience:** 11
- **Years Employed** ██████████: 7
- **Unique Experience or Capabilities:** Conducted numerous benefit cost analyses for municipalities in New York, New Jersey and Idaho seeking Hazard Mitigation Assistance funding using FEMA's Benefit Cost Analysis software for the following project types: structural elevations; acquisitions, stormwater drainage improvements; bulkheading and tide-check valve projects; rock revetment/bank stabilization projects and pumping stations. In addition, ██████████ has prepared Pre-Disaster Mitigation-Competitive (PDM), Flood Mitigation Assistance (FMA) and Severe Repetitive Loss (SRL) grant applications in E-Grants and New Jersey Hazard Mitigation Grant Program (HMGP) applications. The following projects highlight ██████████ ██████████ in FEMA Region II.  
Certified Floodplain Manager and supports DMA 2000 All-Hazard Mitigation Plan projects for states, counties and single jurisdictions in Massachusetts, New York, New Jersey, Pennsylvania and Oklahoma.
- **Education:**
  - M.S. Earth Science/Geochemical Systems, University of New Hampshire
  - B.S. Environmental Science, University of Scranton



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██████████ – Supervisory/Senior Consultant

**Experience Summary**

██████████ leads the firm’s project management and development division. His unique skills offer the team an ability to advance multiple funding applications simultaneously. ██████████ manages the day-to-day operations of the firm, and his superior skills offer ██████████ the ability manage a production from concept to implementation, offering clients an ability to further formulate their project concepts and improve funding levels, whether it be a small planning grant, or a larger green infrastructure grant, ██████████ has the capability to organize product and interface with the client to achieve ultimate success.

**At a Glance**

- **Title:** ██████████
- **Years of Experience:** 5
- **Years Employed with ██████████:** 2
- **Unique Experience or Capabilities:** ██████████ has experience in Project Management, Writing, Story Editing/Directing, and Project Implementation with a particular focus on the fundraising and business development aspects of film production. Additionally, ██████████ has professional experience in graphic design and web media development.
- **Education:** B.F.A. – Film and Media, Purchase College, a State University of New York



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██████████ – Subject Matter Expert

**Experience Summary**

██████████ is an innovative engineer with an exceptional track record in overall resource management, project management, maintenance management, negotiation, customer service, and strong interpersonal communications. Skilled in directing multi-discipline teams with responsibilities in the areas of owner and contractor liaison; contract development and monitoring; short and long-term project planning and scheduling; special event planning; design coordination; construction phase coordination and supervision; and property management.

**At a Glance**

- **Credentials and Certifications:** Professional Engineer/NJ/#32493, Certified Municipal Engineer/NJ/#127, Professional Planner/NJ/#3924NJDEP Approved Instructor of Water & Wastewater Operators
- **Title:** ██████████
- **Years of Experience:** 35
- **Years Employed** ██████████ : 1
- **Unique Experience or Capabilities:** Water/ Wastewater Treatment, Water Conveyance & Storage, Wastewater Collection and Pump Station Design, Municipal Engineering, Construction Engineering & Management
- **Education:** B.S.C.E.- New Jersey Institute of Technology



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**██████████ Subject Matter Expert**

**Experience Summary**

██████████ has over 20 years of experience handling a broad range of matters, including residential and commercial real estate negotiations, transactions and litigation. He has represented clients before various Planning and Zoning boards on behalf of land use applications seeking variances and site plan approvals and has prepared numerous appellate briefs for state and federal courts, as well as conducted discovery, motion practice and trials related to real property, estate and personal injury matters.

**At a Glance**

- **Credentials and Certifications:** JD Degree, Bar Membership
- **Title:** ██████████
- **Years of Experience:** 23
- **Years Employed** ██████████: 6
- **Unique Experience or Capabilities:** Juris Doctorate
- **Education:** J.D.- New York Law School, NY, B.A.- St. Peter's College, Jersey City, NJ



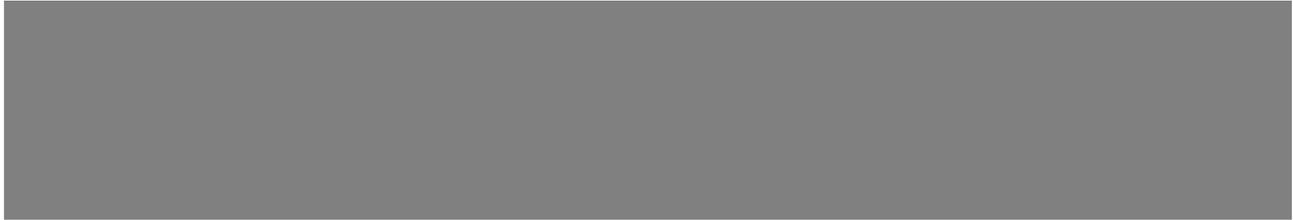
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██████████ – Subject Matter Expert

**Experience Summary**

██████████ is ██████████. She ██████████ and singlehandedly brought it to where it is today. She has specialized in municipal engineering with a strong emphasis in water and wastewater engineering. She is highly skilled in management, project management as well as construction administration. Her strengths are in management of both business and personnel and technical needs for engineering clients. She has represented all of her municipal clients for multiple years and in particular has been representing one municipality for 23 years.

**At a Glance**

- **Credentials and Certifications:** Professional Engineer (PE), Certified Municipal Engineer
- **Title:** ██████████
- **Years of Experience:** 30
- **Years Employed** ██████████: 8
- **Unique Experience or Capabilities:** Municipal Engineering, Feasibility Studies, Grant Oversight, Water/Wastewater Treatment, Code Compliance, Water Conveyance & Storage, Wastewater Collection and Pump Station Design, Construction Engineering & Management
- **Education:** B.S.C.E. – University of Massachusetts



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██████████ – Project Manager

**Experience Summary**

██████████ is an accomplished consultant with valuable experience in multiple industries including disaster and emergency management, information technology, public and affordable housing, government funded programs, and healthcare. ██████████ has advised both small and large, complex organizations to achieve sustainable results through workflow and process improvement, operational excellence and strategic financial management.

**At a Glance**

- **Credentials and Certifications:** Certified, Housing Choice Voucher Executive Management
- **Title:** Consultant
- **Years of Experience:** 20
- **Unique Experience or Capabilities:** HUD Disaster Housing Assistance Program
- **Education:** M.B.A., Northwestern University J.L. Kellogg School of Management, B.S. in Electrical Engineering, Brown University



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██████████ – Senior Consultant

**Experience Summary**

██████████ is a seasoned structural engineer and construction manager with over 30 years of experience in commercial construction, civil engineering, design, and high-end residential construction. ██████████ is an expert in solving challenging and unusual structural and damage issues, including post disaster damage assessment and mitigation and earthquake resistant design and construction. For the last four years, ██████████ has been serving as a technical assistance Federal Emergency Management Agency (FEMA) contractor. He has served as public assistance coordinator (PAC) and project specialist for multiple projects across the nation, and has skillfully administered the terms of the Stafford Act in project worksheet (PW) format.

**At a Glance**

- **Credentials and Certifications:** Professional Engineer, Licensed Residential Builder
- **Title:** Financial Recovery Specialist
- **Years of Experience:** 30
- **Years Employed** ██████████: 1
- **Unique Experience or Capabilities:** FEMA PA
- **Education:** B.S. in Civil Engineering, Marquette University



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**Attachment B: Financial Capability of the Bidder**

---



**Suggested Procedure to Demonstrate a Good Faith Effort on Small Business Subcontracting Set-Aside Contracts**

If the RFP contains small business subcontracting set-aside goals and a bidder intends to subcontract, the following actions should be taken to achieve the set-aside subcontracting goal requirements:

1. Attempt to locate eligible small businesses in Categories I, II and III appropriate to the RFP;
2. Request a listing of small businesses by Category from the Division of Minority and Women Business Development;
3. Record efforts to locate eligible businesses, including the names of businesses contacted and the means and results of such contacts;
4. Provide all potential subcontractors with detailed information regarding the specifications;
5. Attempt, whenever possible, to negotiate prices with potential subcontractors submitting higher than acceptable price quotes;
6. Obtain, in writing, the consent of any proposed subcontractor to use its name in response to the RFP; and,
7. Maintain adequate records documenting efforts to achieve the set-aside subcontracting goals.

Proposals should also contain the following items with the Plan, as applicable:

1. A copy of the Division of Revenue - Small Business Enterprise Unit Registered Small Business proof of registration as a small business for any business proposed as a subcontractor; and,
2. Documentation of the bidder's good faith effort to meet the targets of the set-aside subcontracting requirement in sufficient detail to permit the Bid Review Unit of the Division of Purchase and Property to effectively assess the bidder's efforts to comply if the bidder has failed to attain the statutory goals.

If awarded the contract, the bidder shall notify each subcontractor listed in the Plan, in writing.

**NOTE THAT A BIDDER'S FAILURE TO SATISFY THE SMALL BUSINESS SUBCONTRACTING TARGETS OR PROVIDE SUFFICIENT DOCUMENTATION OF ITS GOOD FAITH EFFORTS TO MEET THE TARGETS WITH THE BID PROPOSAL OR WITHIN SEVEN (7) BUSINESS DAYS UPON REQUEST SHALL PRECLUDE AWARD OF A CONTRACT TO THE BIDDER.**

Bidders seeking eligible small businesses should contact:

New Jersey Division of Revenue - Small Business Enterprise Unit  
33 West State Street - Fifth Floor  
PO Box 026, Trenton, NJ 08625-0026  
Telephone: (609) 292-2146 Fax: (609) 984-6679

Each bidder awarded a contract for a procurement which contains the set-aside subcontracting goal requirement shall fully cooperate in any studies or surveys which may be conducted by the State to determine the extent of the bidder's compliance with NJAC 17:13-1.1 et seq., and this Notice to All Bidders.

**REQUIRED SUBMISSION IF BIDDER INTENDS TO SUBCONTRACT**

STATE OF NEW JERSEY DIVISION OF PURCHASE AND PROPERTY (DPP)		DPP Solicitation No.: RFQ768892S			
<b>SUBCONTRACTOR UTILIZATION PLAN</b>		DPP Solicitation Title: Disaster Recovery Assistance for Hurricane Sandy			
Bidder's Name and Address:  Grant Thornton, LLP 399 Thornhall Street, 4th Floor, Edison, NJ 08837		Bidder's Telephone No.: 7033738689  Bidder's Contact Person: Julie Porcelli			
INSTRUCTIONS: List all businesses to be used as subcontractors. This form may be duplicated for extended lists.					
SUBCONTRACTOR'S NAME ADDRESS, ZIP CODE TELEPHONE NUMBER AND VENDOR ID NUMBER	CHECK HERE IF CONTRACT IS NOT SMALL BUSINESS <input type="checkbox"/>			TYPE(S) OF GOODS OR SERVICES TO BE PROVIDED	ESTIMATED VALUE OF SUBCONTRACTS
	SMALL BUSINESS CATEGORY *				
	I	II	III		
Muller Bohlin Associates P.O. Box 1517 Perth Amboy, NJ 08861		X		Disaster management,	5%
URS 1255 Broad Street Suite 201 Clifton, NJ 07013-3366			X	Disaster management,	15%
Tetra Tech 1000 The American Way Morris Plains, NJ 07960			X	Disaster management,	10%
TCBA Watson Rice 301 Route 17 North 6th Floor Rutherford, NJ 07070			X	Financial management	10%
Roberts Engineering Group 1670 Whitehorse-Hamilton Square Rd. Hamilton, NJ 08690		X		Disaster management,	10%
* For those Bidders listing Small Business Subcontractors: Attach copies of Division of Revenue - Small Business Enterprise Unit registration for each subcontractor listed. If bidder has not achieved established subcontracting set-aside goals, also attach documentation of good faith effort to do so in the relevant category in accordance with NJAC17:13-4 and the Notice to All Bidders.					
I hereby certify that this Subcontractor Utilization Plan (Plan) is being submitted in good faith. I certify that each subcontractor has been notified that it has been listed on this Plan and that each subcontractor has consented, in writing, to its name being submitted for this contract. Additionally, I certify that I shall notify each subcontractor listed on the Plan, in writing, if the award is granted to my firm, and I shall make all documentation available to the Division of Purchase and Property upon request.					
I further certify that all information contained in this Plan is true and correct and I acknowledge that the State will rely on the truth of the information in awarding the contract.					
PRINCIPAL OF FIRM: 		Partner		4/5/13	
(Signature)		(Title)		(Date)	

PB-SA-3  
Revised 10/11

State of New Jersey  
Division of Purchase & Property

## Subcontractor Forms

### Subcontractor Utilization Plan Form

Any bidder intending to subcontract must complete the Subcontractor Utilization Plan. Bidders are instructed to list all proposed subcontractors on the Plan. See attached form. Pursuant to N.J.S.A. 52:32-44, all subcontractors must have a valid Business Registration Certificate on file with the Division of Revenue and a copy of the registration certificate should be attached to this form.

### Procedures For Small Business Subcontracting Set-Aside Contracts

If the RFP indicates that there is a Small Business Subcontracting Set-Aside requirement for this contract and the bidder intends to utilize any subcontractors during the course of the contract(s) to be awarded as a result of this Request for Proposal (RFP), the bidder will include small business subcontracting targets pursuant to NJAC 17:13-4, and Executive Order 71. Each bidder is required to make a good faith effort to meet the set-aside subcontracting targets of awarding a total of twenty-five percent (25%) of the value of the contract to New Jersey-based, Division of Revenue - Small Business Enterprise Unit registered small businesses, with a minimum of five (5) percent awarded to each of the three categories set forth below, and the balance of ten (10) percent spread across the three categories.

Definitions:

1. Small business means a business that:
  - is independently owned and operated
  - is incorporated or registered in and has its principal place of business located in the State of New Jersey.
  - has 100 or fewer full-time employees
  - has gross revenues falling in one of the following three categories:
    - a. 0 to \$500,000 (Category I);
    - b. \$500,001 to \$5,000,000 (Category II);
    - c. \$5,000,001 to \$12,000,000, or the applicable federal revenue standards established at 13 CFR 121.201, whichever is higher (Category III);
2. Division of Revenue - Small Business Enterprise Unit Registered Small Business means a small business that meets the New Jersey requirements and definitions of "small business" and has applied for and been approved by the Division of Revenue - Small Business Enterprise Unit as a small business.

**Suggested Procedure to Demonstrate a Good Faith Effort on Small Business Subcontracting Set-Aside Contracts**

If the RFP contains small business subcontracting set-aside goals and a bidder intends to subcontract, the following actions should be taken to achieve the set-aside subcontracting goal requirements:

1. Attempt to locate eligible small businesses in Categories I, II and III appropriate to the RFP;
2. Request a listing of small businesses by Category from the Division of Minority and Women Business Development;
3. Record efforts to locate eligible businesses, including the names of businesses contacted and the means and results of such contacts;
4. Provide all potential subcontractors with detailed information regarding the specifications;
5. Attempt, whenever possible, to negotiate prices with potential subcontractors submitting higher than acceptable price quotes;
6. Obtain, in writing, the consent of any proposed subcontractor to use its name in response to the RFP; and,
7. Maintain adequate records documenting efforts to achieve the set-aside subcontracting goals.

Proposals should also contain the following items with the Plan, as applicable:

1. A copy of the Division of Revenue - Small Business Enterprise Unit Registered Small Business proof of registration as a small business for any business proposed as a subcontractor; and,
2. Documentation of the bidder's good faith effort to meet the targets of the set-aside subcontracting requirement in sufficient detail to permit the Bid Review Unit of the Division of Purchase and Property to effectively assess the bidder's efforts to comply if the bidder has failed to attain the statutory goals.

If awarded the contract, the bidder shall notify each subcontractor listed in the Plan, in writing.

**NOTE THAT A BIDDER'S FAILURE TO SATISFY THE SMALL BUSINESS SUBCONTRACTING TARGETS OR PROVIDE SUFFICIENT DOCUMENTATION OF ITS GOOD FAITH EFFORTS TO MEET THE TARGETS WITH THE BID PROPOSAL OR WITHIN SEVEN (7) BUSINESS DAYS UPON REQUEST SHALL PRECLUDE AWARD OF A CONTRACT TO THE BIDDER.**

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Telephone: (609) 292-2146 Fax: (609) 984-6679

Each bidder awarded a contract for a procurement which contains the set-aside subcontracting goal requirement shall fully cooperate in any studies or surveys which may be conducted by the State to determine the extent of the bidder's compliance with NJAC 17:13-1.1 et seq., and this Notice to All Bidders.

**REQUIRED SUBMISSION IF BIDDER INTENDS TO SUBCONTRACT**

STATE OF NEW JERSEY DIVISION OF PURCHASE AND PROPERTY (DPP)	<b>DPP Solicitation No.:</b> RFQ768892S
<b>SUBCONTRACTOR UTILIZATION PLAN</b>	<b>DPP Solicitation Title:</b> Disaster Recovery Assistance for Hurricane Sandy
<b>Bidder's Name and Address:</b> Grant Thornton LLP 399 Thornhill Street, 4th Floor, Edison, NJ 08837	<b>Bidder's Telephone No.:</b> 7033736689
	<b>Bidder's Contact Person:</b> Julie Porcelli

**INSTRUCTIONS:** List all businesses to be used as subcontractors. This form may be duplicated for extended lists.

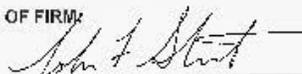
SUBCONTRACTOR'S NAME ADDRESS, ZIP CODE TELEPHONE NUMBER AND VENDOR ID NUMBER	CHECK HERE IF CONTRACT IS NOT SMALL BUSINESS <input type="checkbox"/>			TYPE(S) OF GOODS OR SERVICES TO BE PROVIDED	ESTIMATED VALUE OF SUBCONTRACTS
	SMALL BUSINESS CATEGORY *				
	I	II	III		
SAIC 155 Passaic Ave. Fairfield, NJ 07004			X	Disaster Management,	35%

\* For those Bidders using Small Business Subcontractors, Attach copies of Division of Revenue - Small Business Enterprise Unit registration for each subcontractor listed. If bidder has not achieved established subcontracting set-aside goals, also attach documentation of good faith effort to do so in the relevant category in accordance with NJAC17:13-4 and the Notice to All Bidders.

I hereby certify that this Subcontractor Utilization Plan (Plan) is being submitted in good faith. I certify that each subcontractor has been notified that it has been listed on this Plan and that each subcontractor has consented, in writing, to its name being submitted for this contract. Additionally, I certify that I shall notify each subcontractor listed on the Plan, in writing, if the award is granted to my firm, and I shall make all documentation available to the Division of Purchase and Property upon request.

I further certify that all information contained in this Plan is true and correct and I acknowledge that the State will rely on the truth of the information in awarding the contract.

**PRINCIPAL OF FIRM:**

  
(Signature)

Partner

(Title)

4/5/13

(Date)

**Attachment N: Information Not Subject to Disclosure**

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SAIC owns pre-existing Intellectual Property rights to the Electronic Grant Application Tracking Information System (eGrATIS) contained in this proposal which may be utilized under the resulting contract. SAIC shall retain ownership of, and all right, title and interest in and to, such pre-existing Intellectual Property (as hereinafter defined) and any derivative works, and no license therein, whether express or implied, is granted by this Agreement or as a result of the Services performed hereunder. To the extent the parties wish to grant to the other rights or interests in pre-existing Intellectual Property, separate license agreements on mutually acceptable terms will be executed. SAIC grants to Customer a royalty-free, paid up, perpetual, non-exclusive, non-transferable license to use any SAIC Intellectual Property incorporated in any Deliverable, solely for Customer's use of that Deliverable for its internal business purposes. SAIC shall retain ownership of and unrestricted right to use any Intellectual Property. As used herein, "Intellectual Property" shall mean inventions (whether or not patentable), works of authorship, trade secrets, techniques, know-how, ideas, concepts, algorithms, and other intellectual property incorporated in any Deliverable and first created or developed by SAIC in providing the Services.

Grant Thornton and its teaming partners also own other pre-existing Intellectual Property. Should it be desirable to utilize any such pre-existing Intellectual Property under a Task Order of the resulting contract, pre-existing Intellectual Property will be identified in the Task Order Proposal.



# State of New Jersey

## Program and Process Management Auditing, Financial Auditing and Grant Management, and Integrity Monitoring/Anti-Fraud Services for Disaster Recovery Assistance (Hurricane Sandy)

### Request for Quote (RFQ) #: 768892S

### Response to Pools 1, 2 & 3

This proposal or quotation includes data that shall not be disclosed outside the Government and shall not be duplicated, used or disclosed – in whole or in part – for any purpose other than to evaluate this proposal or quotation. If, however, a delivery order is awarded to this offeror or quoter as a result of – or in connection with – the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction is contained in sheets marked "Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal or quotation."

April 8, 2013



April 8th, 2013

Department of Treasury  
Division of Purchase and Property  
Procurement Bureau  
ATTN: Kelly Anderson-Thomas  
33 W. State Street, 9th Floor  
PO Box 230  
Trenton, NJ 08625-0230

Grant Thornton LLP  
333 John Carlyle Street, Suite 500  
Alexandria, VA 22314-5745  
T 703.837.4400  
F [REDACTED]  
www.GrantThornton.com

Subject: Request for Quote (RFQ) Audit Integrity Monitoring Solicitation No. 768892S

Dear Ms. Anderson-Thomas,

Grant Thornton is pleased to submit this proposal to provide Financial Auditing Services for the Disaster Recovery (DR) and Long Term Planning Project to the State of New Jersey. The pages following this letter make up our cost proposal and include all sections required by the Request for Quotation (RFQ).

Grant Thornton is a full-service audit, accounting and advisory firm. We have over 50 offices in the United States, including New Jersey, New York, Pennsylvania, Virginia and Washington, DC. Grant Thornton prides itself on the excellent service and value we provide to our clients. As current providers of disaster compliance services for the State of Texas, we have a number of personnel familiar with the subject matter contained in this RFQ and will be ready to begin this engagement immediately if awarded.

Thank you for the opportunity to submit a proposal for this important project. We trust you will find that Grant Thornton provides excellent experience and qualifications to the State of New Jersey, and we look forward to the opportunity to work with you on this effort. Should you require any additional information, please contact me at (410) 961-0494 or [John.Short@us.gt.com](mailto:John.Short@us.gt.com), or our Contracts Specialist, Ms. Julie Porcelli, at 703-373-8689 or [Julie.Porcelli@us.gt.com](mailto:Julie.Porcelli@us.gt.com). Our proposal is valid for 90 days from date of submission.

Sincerely,

John Short, Partner  
Grant Thornton LLP

# Table of Contents

Section 1: Introduction	1
Section 2: Price Schedule (Exhibit A)	1
Section 3: Assumptions	3
Section 4: Proposed Staff Classification Mapping	4

## **Section 1: Introduction**

On March 12, 2013, the Office of Management and Budget (OMB) released guidance to Executive Departments and Agencies on the internal controls and planning required for aid received through the Disaster Relief Appropriations Act (Public Law 113-2) (Disaster Relief Act). Because relief funding of this magnitude (\$50.5 billion) carries additional risk, OMB is requiring agencies to ensure that the funds appropriated under the Act are used for their intended purposes. By March 31, 2013, each Federal agency must submit an internal control plan to OMB, the Government Accountability Office (GAO), and the agency's Inspector General (IG).

Recently, Governor Christie unveiled the State's Community Development Block Grant Disaster Recovery Action Plan delineating the ways in which the State will spend the first phase of the Community Development Block Grant funds provided by the U.S. Department of Housing and Urban Development (HUD). To address the extensive devastation caused by the storm, the plan proposes a range of programs to provide relief. As recovery efforts get underway, the State must put in place auditing of programs, processes, and finances, including monitoring the integrity of spending to ensure that funds are spent for their intended purpose. The State has issued a request for quote for firms to provide these services. Managing this level of growth successfully will require a proven partner with experience. As a disaster compliance service provider for the State of Texas, we have a number of personnel familiar with the subject matter.

In addition to our company, we have compiled a team of six subcontractors – Team Grant Thornton – to assist the State of New Jersey in its recovery efforts. We have assembled a team with the right resources and qualifications to perform all of the services across each of the three pools. We are teaming with firms specializing in disaster recovery, engineering, and accounting/financial management. This mix of hands-on expertise in disaster recovery and audit/financial management with a combination of large and small businesses, several of which are New Jersey-based, provides the State with the right team for meeting the needs of Using Agencies. Team Grant Thornton stands ready to assist with our wealth of expertise and experience to help the State of New Jersey overcome its challenges.

We recognize the importance of this effort and have developed our price in accordance with the solicitation. Our labor quote includes the base and two option years. Our labor rates are inclusive of profit and overhead and include an escalation rate of 3% annually, which aligns to typical rate escalations approved by General Services Administration (GSA) for an Economic Price Adjustment (EPA). We recognize the importance of small business participation to the overall recovery effort and **intend to meet the State's projected small business subcontracting target of 25%** based on subcontracted dollars.

## **Section 2: Price Schedule (Exhibit A)**

Grant Thornton's hourly rate for each staff classification listed in the State of New Jersey's Exhibit A, Final Price Schedule for Pools 1 through 3 is provided below. Our rates for this proposal are based on our GSA Financial and Business Solutions (FABS) schedule, Special Item Number (SIN) 520-13, Complimentary Financial Management Services. We understand the importance of this effort for the state of New Jersey and for that reason we are **discounting our rates by 14%** on average (see **Table 1**).

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Skill Classification	FABS (SIN 520-13)	Discount	Proposed Rate
<b>Partner/Principal/Director</b>	350.12	20%	280.10
<b>Program Manager</b>	284.10	20%	227.28
<b>Project Manager</b>	207.32	10%	186.59
<b>Subject Matter Expert</b>	284.10	28%	204.55
<b>Supervisory/Senior Consultant</b>	159.71	10%	143.74
<b>Consultant</b>	124.39	5%	118.17
<b>Associate/Staff</b>	124.39	15%	105.73
<b>Administrative Support Staff</b>	64.49	5%	61.27

Table 1: Proposed Discounts by Staff Classification

Our rates will be considered at the Task Order level on a time and materials basis in accordance with this price schedule. Grant Thornton rates do not include direct costs which if accrued will be supported and separately invoiced. Per the RFP, prior to the purchasing or leasing any Direct Costs, the contractor shall provide a list of these costs to the State Contract Manager. Additionally, Grant Thornton will adhere to the General Services Administration (GSA) published reimbursable travel rules and rates to include disaster specific amendments in accordance with the Federal Travel Regulations. Our proposed rates for the life of the contract are provided below in tables 2 through 4.

Line #	Staff Classification	Year 1 Hourly Rate	Year 2 Hourly Rate	Year 3 Hourly Rate
1	<b>Partner/Principal/Director</b>	280.10	288.50	297.15
2	<b>Program Manager</b>	227.28	234.10	241.12
3	<b>Project Manager</b>	186.59	192.19	197.95
4	<b>Subject Matter Expert</b>	204.55	210.69	217.01
5	<b>Supervisory/Senior Consultant</b>	143.74	148.05	152.49
6	<b>Consultant</b>	118.17	121.72	125.37
7	<b>Associate/Staff</b>	105.73	108.90	112.17
8	<b>Administrative Support Staff</b>	61.27	63.10	65.00

Table 2: Pool 1 Price Schedule (Years 1 through 3)

*Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.*

Line #	Staff Classification	Year 1 Hourly Rate	Year 2 Hourly Rate	Year 3 Hourly Rate
1	Partner/Principal/Director	280.10	288.50	297.15
2	Program Manager	227.28	234.10	241.12
3	Project Manager	186.59	192.19	197.95
4	Subject Matter Expert	204.55	210.69	217.01
5	Supervisory/Senior Consultant	143.74	148.05	152.49
6	Consultant	118.17	121.72	125.37
7	Associate/Staff	105.73	108.90	112.17
8	Administrative Support Staff	61.27	63.10	65.00

Table 3: Pool 2 Price Schedule (Years 1 through 3)

Line #	Staff Classification	Year 1 Hourly Rate	Year 2 Hourly Rate	Year 3 Hourly Rate
1	Partner/Principal/Director	280.10	288.50	297.15
2	Program Manager	227.28	234.10	241.12
3	Project Manager	186.59	192.19	197.95
4	Subject Matter Expert	204.55	210.69	217.01
5	Supervisory/Senior Consultant	143.74	148.05	152.49
6	Consultant	118.17	121.72	125.37
7	Associate/Staff	105.73	108.90	112.17
8	Administrative Support Staff	61.27	63.10	65.00

Table 4: Pool 3 Price Schedule (Years 1 through 3)

### Section 3: Assumptions

Grant Thornton based this price proposal on the following assumptions. Should these assumptions be incorrect, our cost estimate may be impacted.

- Task orders will be on a Time and Materials basis and we will invoice the Using Agency in the State of New Jersey on a monthly basis for services and direct costs incurred in the prior month.

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- As Grant Thornton executes task orders under the contract, we will have timely access to the State of New Jersey SMEs who can provide the necessary information to assist in the development and management review of project deliverables.
- Approved travel will be reimbursed at the Federal government prevailing rate in accordance with Federal Travel Regulations
- We will conduct travel as requested and as indicated in the Statement of Work (SOW). If travel is required, we will coordinate it with the Contracting Officer Technical Representative (COTR) in advance. We will also coordinate our travel in a manner that maximizes opportunities to achieve cost efficiencies.
- The State of New Jersey will provide timely responses to the following types of contractor requests:
  - Availability of personnel to meet with our team typically within 3 business days of a request.
  - Government Furnished Information (GFI) provided typically within 3 business days of a request, but no later than 5 business days. For the purpose for this RFQ, we consider GFI to include artifacts about the State of New Jersey environment and operation (e.g., plans, policies, procedures, and memos) and artifacts required for testing controls (e.g., purchase orders, contracts, and invoices).

**Section 4: Proposed Staff Classification Mapping**

The following section presents the Staff classifications provided in the RFQ and aligns these classifications to the GSA Schedule of our team. The staff classification mapping and description of each labor category for each pool are provided in Tables 5 through 7 below.

Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
Partner/Principal/Director	Partner/Principal	The Partner provides primary interface with client management personnel regarding strategic issues. He or she directs the completion of projects within estimated time frames and budget constraints, coordinates parties efforts on tasks, and reviews work products for completeness and adherence to applicable regulations and customer requirements. The Partner also delivers, presents, and leads strategic level client meetings.

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Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
Program Manager	Senior Manager	Senior Managers have taken on increasing responsibility in the design, implementation, and management of projects. They interface with the client on project specific issues, direct the completion of projects within estimated time frames and budget constraints, coordinate project specific parties, and review work products for completeness and adherence to applicable regulations and customer requirements.
Project Manager	Manager	The Manager interfaces with the client on a day-to-day basis, directs the completion of project specific tasks within estimated time frames and budget constraints, manages the day-to-day activities of the project team, and reviews work products for quality, completeness, and adherence to applicable regulations and customer requirements. This position ensures the project teams conformance with work standards, and coordinates work effort with involved parties to ensure problem resolution and client satisfaction. The Manager also delivers presentations and leads client meetings.
Subject Matter Expert	Senior Manager	Senior Managers have taken on increasing responsibility in the design, implementation, and management of projects. They interface with the client on project specific issues, direct the completion of projects within estimated time frames and budget constraints, coordinate project specific parties, and review work products for completeness and adherence to applicable regulations and customer requirements.
Supervisory/Senior Consultant	Senior Consultant	Senior Consultants II provide technical knowledge in their area of expertise, work individually and on teams to support the completion of project specific tasks within estimated time frames and budget constraints and interface with the client on a day-to-day basis. In addition, Senior Consultants II apply their specific expertise to the practical issues

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Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
		they identify or those presented by the client. They also help to formulate solutions, prepare reports, studies, and documentation, and support presentations and client meetings.
Consultant	Consultant	Consultants interface with the client on a day-to-day basis, assist in identifying problems, performs technical analysis, and devise feasible solutions, support the completion of project specific tasks within estimated time frames and budget constraints, and support presentations and client meetings.
Associate/Staff	Consultant	Consultants interface with the client on a day-to-day basis, assist in identifying problems, performs technical analysis, and devise feasible solutions, support the completion of project specific tasks within estimated time frames and budget constraints, and support presentations and client meetings.
Administrative Support Staff	Administrator	Interfaces with the staff on a day-to-day basis. Supports the completion of project specific tasks within estimated time frames and budget constraints. Supports presentations and client meetings. Progressive experience in various office automation tools and participating on projects. Knowledgeable in computer based documentation and presentation techniques, technical typing and word processing. Integrates inputs from various sources to create a cohesive product. Prepares both graphical and narrative presentation materials.

Table 5: Pool 1 Proposed Staffing Classification Mapping

Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
Partner/Principal/Director	Partner/Principal	The Partner provides primary interface with client management personnel regarding strategic issues. He or she directs the completion of projects within estimated time frames and budget constraints, coordinates parties efforts on tasks, and reviews work

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Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
		products for completeness and adherence to applicable regulations and customer requirements. The Partner also delivers, presents, and leads strategic level client meetings.
Program Manager	Senior Manager	Senior Managers have taken on increasing responsibility in the design, implementation, and management of projects. They interface with the client on project specific issues, direct the completion of projects within estimated time frames and budget constraints, coordinate project specific parties, and review work products for completeness and adherence to applicable regulations and customer requirements.
Project Manager	Manager	The Manager interfaces with the client on a day-to-day basis, directs the completion of project specific tasks within estimated time frames and budget constraints, manages the day-to-day activities of the project team, and reviews work products for quality, completeness, and adherence to applicable regulations and customer requirements. This position ensures the project teams conformance with work standards, and coordinates work effort with involved parties to ensure problem resolution and client satisfaction. The Manager also delivers presentations and leads client meetings.
Subject Matter Expert	Senior Manager	Senior Managers have taken on increasing responsibility in the design, implementation, and management of projects. They interface with the client on project specific issues, direct the completion of projects within estimated time frames and budget constraints, coordinate project specific parties, and review work products for completeness and adherence to applicable regulations and customer requirements.

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Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
Supervisory/Senior Consultant	Senior Consultant	Senior Consultants II provide technical knowledge in their area of expertise, work individually and on teams to support the completion of project specific tasks within estimated time frames and budget constraints and interface with the client on a day-to-day basis. In addition, Senior Consultants II apply their specific expertise to the practical issues they identify or those presented by the client. They also help to formulate solutions, prepare reports, studies, and documentation, and support presentations and client meetings.
Consultant	Consultant	Consultants interface with the client on a day-to-day basis, assist in identifying problems, performs technical analysis, and devise feasible solutions, support the completion of project specific tasks within estimated time frames and budget constraints, and support presentations and client meetings.
Associate/Staff	Consultant	Consultants interface with the client on a day-to-day basis, assist in identifying problems, performs technical analysis, and devise feasible solutions, support the completion of project specific tasks within estimated time frames and budget constraints, and support presentations and client meetings.
Administrative Support Staff	Administrator	Interfaces with the staff on a day-to-day basis. Supports the completion of project specific tasks within estimated time frames and budget constraints. Supports presentations and client meetings. Progressive experience in various office automation tools and participating on projects. Knowledgeable in computer based documentation and presentation techniques, technical typing and word processing. Integrates inputs from various sources to create a cohesive product. Prepares both graphical and narrative presentation materials.

Table 6: Pool 2 Proposed Staffing Classification Mapping

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Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
Partner/Principal/Director	Partner/Principal	The Partner provides primary interface with client management personnel regarding strategic issues. He or she directs the completion of projects within estimated time frames and budget constraints, coordinates parties efforts on tasks, and reviews work products for completeness and adherence to applicable regulations and customer requirements. The Partner also delivers, presents, and leads strategic level client meetings.
Program Manager	Senior Manager	Senior Managers have taken on increasing responsibility in the design, implementation, and management of projects. They interface with the client on project specific issues, direct the completion of projects within estimated time frames and budget constraints, coordinate project specific parties, and review work products for completeness and adherence to applicable regulations and customer requirements.
Project Manager	Manager	The Manager interfaces with the client on a day-to-day basis, directs the completion of project specific tasks within estimated time frames and budget constraints, manages the day-to-day activities of the project team, and reviews work products for quality, completeness, and adherence to applicable regulations and customer requirements. This position ensures the project teams conformance with work standards, and coordinates work effort with involved parties to ensure problem resolution and client satisfaction. The Manager also delivers presentations and leads client meetings.
Subject Matter Expert	Senior Manager	Senior Managers have taken on increasing responsibility in the design, implementation, and management of projects. They interface with the

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Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
		client on project specific issues, direct the completion of projects within estimated time frames and budget constraints, coordinate project specific parties, and review work products for completeness and adherence to applicable regulations and customer requirements.
Supervisory/Senior Consultant	Senior Consultant	Senior Consultants II provide technical knowledge in their area of expertise, work individually and on teams to support the completion of project specific tasks within estimated time frames and budget constraints and interface with the client on a day-to-day basis. In addition, Senior Consultants II apply their specific expertise to the practical issues they identify or those presented by the client. They also help to formulate solutions, prepare reports, studies, and documentation, and support presentations and client meetings.
Consultant	Consultant	Consultants interface with the client on a day-to-day basis, assist in identifying problems, performs technical analysis, and devise feasible solutions, support the completion of project specific tasks within estimated time frames and budget constraints, and support presentations and client meetings.
Associate/Staff	Consultant	Consultants interface with the client on a day-to-day basis, assist in identifying problems, performs technical analysis, and devise feasible solutions, support the completion of project specific tasks within estimated time frames and budget constraints, and support presentations and client meetings.
Administrative Support Staff	Administrator	Interfaces with the staff on a day-to-day basis. Supports the completion of project specific tasks within estimated time frames and budget constraints. Supports presentations and client meetings. Progressive experience in various office automation tools and participating on projects. Knowledgeable in computer based documentation and presentation techniques,

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Staff Classification	GSA Schedule Labor Category	GSA Labor Category Description
		technical typing and word processing. Integrates inputs from various sources to create a cohesive product. Prepares both graphical and narrative presentation materials.

Table 7: Pool 2 Proposed Staffing Classification Mapping

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