

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

A Proposal to the State of New Jersey Governor's Office



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**Program and Process
Management Auditing, Financial
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Recovery Assistance
(Hurricane Sandy)**

*A Proposal to the State of
New Jersey Governor's Office*

April 8, 2013



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Table of Contents

| | |
|--|-----------|
| 1.0 INTRODUCTION | 1 |
| 2.0 TECHNICAL PROPOSAL | 4 |
| 2.1 POOL 1: PROGRAM AND PROCESS MANAGEMENT AUDITING..... | 4 |
| 2.1.1 <i>Development of Processes, Controls, and Technologies to Support Execution of Federal and State Grant and Assistance Programs</i> | <i>5</i> |
| 2.1.2 <i>Review and Improvement of Procedures Addressing Reimbursement Review Backlog and Financial Management</i> | <i>7</i> |
| 2.1.3 <i>Resources to Perform Various Analyses and Strategies</i> | <i>7</i> |
| 2.1.4 <i>Compliance Sanctions Program</i> | <i>10</i> |
| 2.1.5 <i>Consulting Services to Support Account Reconciliations</i> | <i>11</i> |
| 2.1.6 <i>Quality Assurance/Quality Control</i> | <i>13</i> |
| 2.1.7 <i>Risk Analysis and Identification of Options for Risk Management.....</i> | <i>14</i> |
| 2.1.8 <i>Consulting Services to Reduce the Reconciliation Backlog.....</i> | <i>16</i> |
| 2.1.9 <i>Subject Matter Expertise Regarding Required Standards</i> | <i>16</i> |
| 2.1.10 <i>Conducting On-Site and Remote Monitoring for Compliance.....</i> | <i>18</i> |
| 2.2 POOL 2: FINANCIAL AUDITING AND GRANT MANAGEMENT | 20 |
| 2.2.1 <i>Evaluate Specific Activities; Develop and Modify Policies, Procedures, and Systems</i> | <i>20</i> |
| 2.2.2 <i>Assist in Integration of the Electronic Grants Management Program</i> | <i>22</i> |
| 2.2.3 <i>Streamline the Grant Management and Fiscal Management Processes and Ensure Accountability of Funds and Compliance with Program Regulations.....</i> | <i>22</i> |
| 2.2.4 <i>Provide Tools for Assessment of Performance</i> | <i>23</i> |
| 2.2.5 <i>Monitor All Business Office Functions</i> | <i>28</i> |
| 2.2.6 <i>Staff Training on Detection and Prevention of Fraud, Waste, and Abuse.....</i> | <i>29</i> |
| 2.2.7 <i>Ensure Compliance with Applicable Accounting and Financial Reporting Requirements.....</i> | <i>30</i> |
| 2.3 POOL 3: INTEGRITY MONITORING/ANTI-FRAUD | 31 |
| 2.3.1 <i>Forensic Accounting and All Specialty Accounting Services.....</i> | <i>31</i> |
| 2.3.2 <i>Risk Assessments and Loss Prevention Strategies</i> | <i>31</i> |
| 2.3.3 <i>Performance and Program Monitoring and Promotion of Best Practices</i> | <i>32</i> |
| 2.3.4 <i>Fraud and Misconduct Investigation, Prevention, Detection and Remediation</i> | <i>32</i> |
| 2.3.5 <i>Development and Implementation of Policies and Procedures to Ensure That Program Requirements Are Met.....</i> | <i>36</i> |
| 2.3.6 <i>Compliance with Local Regulations and Ordinances.....</i> | <i>37</i> |
| 2.3.7 <i>Disseminate Information Regarding the Anti-Fraud Hotline</i> | <i>37</i> |
| 2.3.8 <i>Develop Data Management Systems/Programs.....</i> | <i>38</i> |
| 2.4 CONTRACTS PROVIDING SIMILAR SERVICES | 39 |
| 2.4.1 <i>Louisiana DNR ARRA Program Monitoring</i> | <i>39</i> |
| 2.4.2 <i>LA OCD Road Home Program Hazard Mitigation Support.....</i> | <i>41</i> |
| 2.4.3 <i>CSEPPWebCA Web-Based Grants Management Software</i> | <i>42</i> |
| 2.4.4 <i>Louisiana DNR Katrina and Rita Marine Debris Removal Program Support</i> | <i>43</i> |
| 2.4.5 <i>Virginia DEM Public Assistance Support.....</i> | <i>44</i> |
| 2.4.6 <i>LA DNR Program Monitor for Disaster Recovery</i> | <i>45</i> |
| 2.4.7 <i>New York State Office of Emergency Management Recovery Support.....</i> | <i>46</i> |
| 2.4.8 <i>Indiana Public Assistance Support</i> | <i>46</i> |
| 2.4.9 <i>FEMA Region II Public Assistance and Planning Support to New York JFO.....</i> | <i>47</i> |
| 2.4.10 <i>Iowa Public Assistance Support.....</i> | <i>48</i> |
| 2.4.11 <i>Louisiana OCD Small Rentals CDBG Program Support</i> | <i>49</i> |
| 2.4.12 <i>LA CDBG Engineering Support.....</i> | <i>50</i> |
| 2.4.13 <i>DHS Performance Measures Development and Implementation</i> | <i>51</i> |
| 2.4.14 <i>FEMA Program Coordination & Planning Management Support Services (ATCS).....</i> | <i>52</i> |

| | |
|---|------------|
| 2.4.15 NJDOT Rt. 46 Bridge Construction Claim Dispute Support (DSW) | 54 |
| 2.4.16 The Bennett Company vs. the State of New Jersey Elizabeth Raised Playground Litigation Support (DSW) | 54 |
| 3.0 MANAGEMENT OVERVIEW | 55 |
| 4.0 CONTRACT MANAGEMENT | 58 |
| 4.1 PROJECT MONITORING AND TRACKING | 60 |
| 4.2 DELIVERABLES | 62 |
| 4.3 REPORTING AND DOCUMENTATION | 63 |
| 4.4 LITIGATION SERVICES | 65 |
| 4.5 TRAVEL EXPENSES AND REIMBURSEMENTS | 66 |
| 5.0 ORGANIZATIONAL SUPPORT AND EXPERIENCE | 66 |
| 5.1 ORGANIZATIONAL CHART | 67 |
| 5.2 STAFFING | 68 |
| 6.0 RESUMES | 69 |
| 7.0 EXPERIENCE OF BIDDER ON SIMILAR CONTRACTS | 69 |
| 7.1 COMPANY BACKGROUND | 70 |
| 7.2 ADDITIONAL EXPERIENCE OF BIDDER | 70 |
| 7.3 DISCLOSURE | 73 |
| 7.4 FINANCIAL CAPABILITY OF THE BIDDER | 74 |
| APPENDIX A: RESUMES | A-1 |
| APPENDIX B: REQUIRED FORMS | B-1 |

1.0 Introduction

In October of 2012, Hurricane Sandy, the second-costliest storm in U.S. history, made landfall just to the northeast of Atlantic City, NJ, changing the landscape, altering whole communities overnight, and initiating one of the largest recovery efforts in U.S. history.

Pools Applied For by IEM Team

1. Program and Process Mgmt. Auditing
2. Financial Auditing and Grant Mgmt.
3. Integrity Monitoring/Anti-Fraud

The Federal Emergency Management Agency (FEMA), the Department of Housing and Urban Development (HUD), and other federal agencies provide funds for recovery to the State of New Jersey and its using agencies in the form of grants. These grant dollars are in the billions, and it is not uncommon for a using agency to receive five or ten times its normal annual budget to fund these programs. However, this sudden overflowing of coffers presents three major problems for the using agencies:

1. Designing programs with measurable outcomes that achieve program goals.
2. Scaling current processes and procedures to effectively administer and account for the proper expenditure of these funds.
3. Ensuring that the funds are used for their intended purpose and that there is no fraud, waste, abuse, or duplication of assistance.

The three areas of concern for New Jersey and the using agencies are reflected in the three Pools that the IEM Team is bidding on to support. In addition, underlying all three of these areas are the additional priorities to ensure that maximum use is made of the available recovery funds and that, once approved, funding is not de-obligated at a future date due to a failure to comply with program rules and eligibility standards.

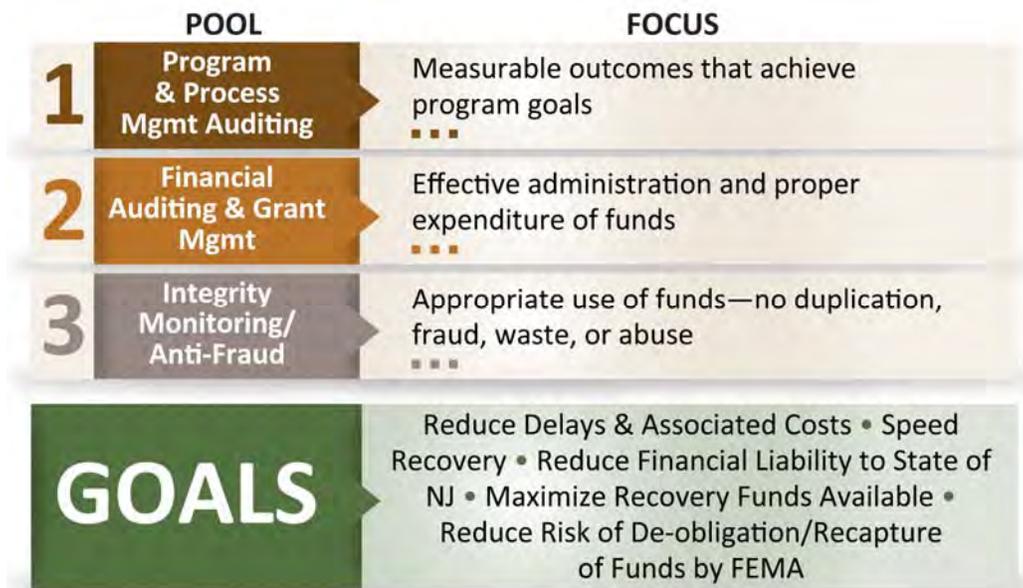


Figure 1: NJ Auditing and Monitoring Pools. While the various Pools have wide-ranging activities grouped around specific functions, they all contribute ultimately to the same goals associated with promoting a robust and lasting recovery for New Jersey.

IEM has assembled a team of firms (see Table 1) offering deep experience and a broad range of capabilities to support New Jersey across all three Pools as needed.

Table 1: The IEM Team for New Jersey. *The IEM Team provides strong capabilities and experience for support to all three Pools.*

Innovative Emergency Management, Inc. (IEM)

- Authored \$1.4 billion Louisiana post-Katrina Hazard Mitigation Grant Program (HMGP) grant application
- Recovery/Public Assistance (PA) Support to Virginia, Indiana, Iowa
- Monitoring/Audit Services for \$80 million Louisiana American Recovery and Reinvestment Act (ARRA) Energy Grant Program
- Louisiana Small Rentals Program: Managed pre-closing, compliance, monitoring, and anti-fraud
- Supporting development of performance measures for Department of Homeland Security (DHS)
- Experienced prime contractor with eight years of support to NJ State agencies and projects



Adjusters International

- Disaster recovery consulting services to states and eligible applicants as they work through the FEMA PA program
- Core focus: Maximizing/expediting clients' financial recovery via insurance claims and FEMA grants
- Supported Port Authority of New York & New Jersey/World Trade Center recovery from 9/11 attack
- Currently supporting State of New York recovery from Hurricane Sandy



ATCS

- Support to FEMA long-term community recovery (LTCR) missions in 70 severely-impacted communities in 12 states
- Coordination, development, and execution of post-disaster recovery plans



FEMA Law Associates

- Consulting firm established by former FEMA General Counsel
- Audit and appeal support for complex grant eligibility issues



Integritas Consulting Group

- NJ-certified Small Business Enterprise (SBE): Integrity monitoring, forensic accounting/investigations, litigation support
- Support to Government and industry for prevention of fraud, waste, and abuse



Devito, Snowden & Co. (DSW)

- NJ-certified SBE: Auditing, tax, consulting, litigation support, forensic accounting to government entities, commercial clients
- Supported NJ Schools Development Authority, NJ Division of Law, NJ Department of Transportation (NJDOT), U.S. Department of Justice, General Services Administration (GSA) Office of General Counsel, U.S. Department of Interior



Breakpoint Assurance Company

- NJ-based small business (non-certified) CPA firm, established 1996
- Fraud investigations and forensic accounting



Wallace Asset Management LLC

- New Jersey-based small business (non-certified)
- 20 years of experience in property disposition, marketing and management, quality control (QC), routine inspections, development/redevelopment, asset and financial management of single family 1-4 unit residential, multi-family, and commercial properties, including 11,000+ HUD properties



In addition to these firms, the IEM Team includes the following team of senior Subject Matter Experts (SMEs) available to provide special expertise in support of task orders:

- **Ernie Abbott: Former FEMA General Counsel;** managed FEMA regulatory development and coordinated the legislative program for all FEMA agencies, including legislation involving NFIP, HMGP, and related disaster and appropriations bills
- **Jan C. Opper: Former HUD Senior Advisor** for Disaster Management and National Security; Associate Deputy Assistant Secretary for Disaster Policy and Management
- **Jade Banks: Former HUD Senior Policy Advisor,** Special Assistant, Director of Field Operations with 37 years of HUD experience
- **Otto Hetzel: Senior Legal Expert/Special Counsel** supporting local government entities with federal programs, including **HUD Community Development Block Grant (CDBG) /HOME** programs
- **Daniel Benbow: Former Supervisory Auditor for DHS Office of Inspector General;** managed teams auditing FEMA grant recipients
- **Ellen Gordon: Former Emergency Management Division Administrator/Homeland Security Advisor for Iowa;** led state through numerous disaster declarations

Program management for each Pool will be provided by a senior IEM executive in a lean management structure that is designed to ensure that New Jersey gets rapid, agile, cost-effective support to speed the recovery process and keep critical funds focused where they belong: rebuilding New Jersey’s infrastructure and restoring its citizens to wholeness.

| Why The IEM Team | |
|--|---|
| Recovery Experts | Members of the IEM Team are currently working together to support Hurricane Sandy recovery in New York and have played significant roles in recovery from major disasters across the U.S., including 9/11, Hurricanes Katrina and Rita, the 2008 floods, the 2004 Florida hurricanes, Tennessee floods, and others. |
| Comprehensive Auditing & Monitoring Expertise | IEM has successfully served as the monitoring/auditing contractor for the \$80 million+ ARRA-funded State Energy Program grant disbursement in Louisiana. Our team includes firms specializing in auditing, forensic accounting, integrity monitoring, and fraud detection. IEM is also currently supporting development of agency-wide performance measures for DHS. |
| Knowledge of FEMA & HUD | Our outstanding team of senior SMEs can leverage their experience with FEMA and HUD to help New Jersey navigate the complicated network of eligibility rules and reduce the risk of de-obligation or recapture of funds. |
| Knowledge of New Jersey | <p>IEM has worked with NJ steadily since 2004 on a wide range of planning projects, including the following:</p> <ul style="list-style-type: none"> ▪ On-site training and exercise support for the State EOC (Jim Weldin) ▪ Emergency operations planning for 14 non-UASI counties (2008–2011) ▪ Continuity of Operations (COOP) planning for the Executive Branch, state-level agencies, and 21 counties ▪ NY-NJ-CT-PA Regional Catastrophic Planning and FEMA Regional Catastrophic Grant Program NY-NJ Region support (multiple tasks) ▪ Mass transit emergency operations planning for NJ Transit <p>Our team includes four NJ-based small businesses, including two certified SBEs.</p> |

2.0 Technical Proposal

The IEM Team has the capability and expertise to provide support in all three Pools. The following three Sections (2.1, 2.2, and 2.3) provide our detailed technical approach and plans for accomplishing the work for each Pool. Beginning in Section 2.4, we address elements of our approach that apply to all three pools, such as our action plan, task order management approach, and company experience, organization, and staffing.

2.1 Pool 1: Program and Process Management Auditing

IEM's core competencies include performance management of government programs. We offer a vendor-neutral, objective approach focused solely on supporting desired program outcomes. We specialize in designing and executing program activities that meet regulatory requirements and our customers' bigger-picture program goals.

The IEM Team proposes to provide the support outlined in Pool 1 by providing appropriate and experienced staff with a process-oriented approach that will ensure consistency within the disaster recovery program activities and federal and state regulations.

The IEM Team will provide immediate access to select qualified personnel from our labor pool of nearly 200 full-time employees. We will define key staff members who will be able to report to New Jersey within 72 hours to address short-term needs. These staff members are full-time personnel with expertise in providing accounting services and defining, documenting, and implementing best practice financial processes and procedures. **Our staff also has practical disaster experience.** We have deployed personnel to Iowa, Missouri, Georgia, Indiana, and New York to provide Public Assistance (PA) support. We also have an in-depth understanding of the Stafford Act and federal disaster guidance and programs, such as HMGP, and their effects on local and state governments. To fill longer-term needs or greater staffing support requirements, IEM can recruit additional personnel from our extensive consultant pool, which has been used to support surge staffing efforts for numerous disasters. We intend to fill any requested positions with New Jersey-based personnel whenever possible.

IEM currently serves as the Monitoring and Verification contractor for the Louisiana Department of Natural Resources (LDNR), overseeing more than \$80M in ARRA State Energy Plan and EECBG programs. Designing, documenting, and improving State and contractor processes, controls, and procedures in support of these programs has provided us with a unique insight into the inner workings of State accounting, especially as it pertains to interfacing with federal grant programs. We are assisting LDNR in fulfilling their federal grant fiduciary responsibilities and helping to ensure that federal funds for energy programs are spent appropriately and that transparency requirements are met or exceeded. IEM performs verifications and quality control audits of the information and data provided by the program's implementation contractor. We are also helping LDNR to reduce its financial and compliance risks related to the federally funded energy programs by reviewing LDNR's program implementation contractor's internal controls, procedures, and policies regarding deterrence, detection, and record-keeping to ensure that the State is able to demonstrate compliance with all legal and regulatory requirements. In addition to testing the financial records, we are assisting LDNR personnel in the quarterly federal reporting (OMB-1512 and PAGE reporting) to ensure that the information reported is accurate and submitted in a timely manner.

By using a process-oriented approach, IEM can provide assistance to New Jersey using agencies, giving them the necessary information and support to enhance the decisions that will shape new grant programs. That means the decisions and actions made immediately following the disaster will maximize the number and value of eligible projects, speed up the obligation of funds for projects, and ensure that projects are documented appropriately to guarantee repayment through the appropriate grant program.

The IEM Team offers New Jersey a path around grant funding obstacles by drawing on the following strengths:

- **A group of professionals with local, state, and federal disaster program experience.** The IEM Team's expert staff will use their resources and abilities to support New Jersey. We will ensure that appropriate federal guidelines are being followed and that all benefit opportunities are being pursued.
- **A process-oriented accounting approach** that uses experience, common sense, and whenever possible, automation to reduce errors.
- **Strong and successful experience with the grant application process,** to mitigate the possibility of rejection of claims or later de-obligation of promised resources.
- **An understanding of how to best leverage the strengths of the various programs** to maximize the number and value of projects that can be funded to support recovery.
- **Cost-effective, streamlined rapid deployment capabilities** to begin project work quickly, while remaining fiscally conservative.

2.1.1 Development of Processes, Controls, and Technologies to Support Execution of Federal and State Grant and Assistance Programs

After a federally declared disaster, federal funds are made available to assist state and local agencies with the response and recovery costs. These funds take the form of grants from various federal agencies, such as FEMA, either through federal statute or congressional appropriations. Declared disasters make available recovery dollars through the Public Assistance (PA) Grant Program, the Hazard Mitigation Grant Program (HMGP), Individual Assistance (IA), Community Development Block Grant (CDBG) Program, and other federal and state grant and assistance programs. It is in the state's interest to secure the maximum available funding for eligible activities to support complete recovery from disasters. Regardless of the funding source, it is critical that all federal laws and grant program requirements and guidelines are adhered to in order to ensure that the federal government does not deny reimbursement or demand repayment. It is also important to follow the state's laws, processes, and procedures.

Our staff has a depth and breadth of knowledge and experience in both accounting and emergency management, especially the more specialized area of grants management. Our experience supporting disaster response and recovery gives us a unique understanding of how the federal government reimburses states following a disaster.

Requirements Collection and Analysis

Each grant program has unique requirements, and these requirements may change from disaster to disaster, or be interpreted differently by the federal employees and contractors monitoring the

programs. Therefore, to ensure that the proper processes, controls, and technologies are in place for a successful grant program, the IEM Team will first conduct a review and analysis of the disaster-specific guidance to ensure that we fully understand the eligibility and restrictions associated with the funding and the latest guidance issued regarding them. We will also identify areas where guidance may be inappropriately applied, and assist in getting the most appropriate interpretations to support the State's recovery.

Developing Processes and Controls and Identifying Technology Solutions

Once the requirements are fully documented and understood, the IEM Team will assist in developing the processes, controls, and technologies needed to monitor and audit the process from grant request to disbursement of funding to closeout. Our philosophy is to focus on early reviews of grant requests to ensure that all activities are eligible and appropriate for the funding. This assistance is especially critical for subgrantees who are not familiar with federal grant funding rules.

The IEM Team will leverage our knowledge of grant management best practices to recommend appropriate controls to monitor each step of the process in order to ensure and document compliance. It is very important to find an adequate balance, providing oversight that protects the taxpayer's investment without placing such a great burden on the process that the flow of money slows to a trickle. The IEM Team's experience working on Louisiana Road Home Program and the Louisiana Small Rental Property Program, among others, gives us insight into avoiding common pitfalls using a risk-based approach to quality assurance.

Our experience has taught us that you cannot inspect quality into the process; you must **design programs to produce quality results** that achieve outcomes consistent with program goals.

The IEM Team will also review and analyze the grantee and subgrantee accounting processes. We will determine whether these processes and their supporting automation have the capability and capacity required to manage the grants and the ability to scale with the size of the program. Inadequate accounting processes often result in staff accountants managing grant programs with brute force and spreadsheets. While this may be adequate for small grants, we want to make sure that accounting processes are implemented which support complete, correct, and compliant accounting of these grants, and will make recommendations for process improvements.

Staffing

The IEM Team will assist using agencies in two key areas: determining appropriate staffing levels and staff training. Having too many people involved in the process can be just as problematic as having too few. Aside from incurring unreasonable—and therefore ineligible—costs, unnecessary workers add to the confusion and erode morale. Also, a thorough understanding of the grant management process as well as an understanding of regulatory and legal requirements associated with each grant program must be promulgated to the workers in the trenches. With PA grant implementation alone, a staff of a few hundred may be working to support the program, and each person needs to have the appropriate knowledge base and a level of efficiency that is adequate to the task.

Proven Experience

Since 1991, the IEM Team has been of developing successful, smart grants management systems. That depth of grants management experience coupled with our recent work monitoring, verifying, and auditing the American Recovery and Reinvestment Act (ARRA) grants and the Energy Efficiency and Conservation Block Grant (EECBG) Programs in Louisiana—grant programs designed to help homeowners and small businesses recover from Hurricane Katrina—give us a thorough understanding of the grants management process and the need for measurable outcomes, documented compliance, and transparency. We already know the requirements that apply to federal grants, and we will apply rigorous quality assurance processes to ensure that these requirements, and the requirements specific to each of these grants programs, are met. Finally, we have demonstrated success working directly with the State of New Jersey, and look forward to building on that relationship by creating and implementing grant programs that meet the needs and goals of the New Jersey using agencies.

2.1.2 Review and Improvement of Procedures Addressing Reimbursement Review Backlog and Financial Management

The tension between the economic need to keep the grant money flowing and the programmatic need to verify compliance with all regulatory, legal, and accounting requirements has proven to be extremely problematic for grant programs. As stated in Section 2.1.1, our philosophy is to focus on early reviews of grant requests to ensure that all activities are eligible and appropriate for the funding and that the grant packages have been reviewed in their entirety before being submitted for reimbursement. This early and comprehensive review reduces the number of projects that get caught in an endless loop of rejection and correction that increases the number of times each reimbursement request must be handled. Also, if there is inadequate record-keeping, reconciling contractor invoices and staff time to the correct grants can be equally problematic when seeking reimbursement. A careful, early review of those procedures is vital for timely reimbursement.

Placing the emphasis on quality assurance from the very beginning will reduce the time and cost of closing projects. The IEM Team will provide business process expertise to design and improve programs that produce quality outputs that can be reimbursed the first time they are submitted. By assigning someone who understands the larger picture of business processing, documentation, and financial controls to oversee quality assurance, the reimbursement review backlog can be minimized. The IEM Team will also review staffing levels and make recommendations to align those levels with the anticipated workloads. The time that each step of the process requires will be measured, giving program managers the ability to calculate the level of effort that will be required to achieve the desired outcomes.

2.1.3 Resources to Perform Various Analyses and Strategies

During the execution of these grants programs, it is critical that grant managers routinely compare forecasts of performance and cost with actual performance and costs. The IEM Team has experience performing a wide variety of analyses to support using agencies in performing this function, and will make recommendations based on our experience and analyses.

Workload Analysis

IEM believes strongly in business process analysis and using the best scientific approaches to problem solving. We will develop a framework for each project that will outline the overall process and who is responsible for completing the major tasks. Then our analysts will break down each task into its component tasks and its associated data requirements. From there, we will develop the work flow models based on the required rate of case completion. This allows the Management Team to understand risks associated with staffing changes and process changes, as well as rapidly advise New Jersey of the costs and benefits of these changes.

Our team will develop production numbers based on expected outcomes. In other words, how many cases do we expect to close out in a given timeframe? What steps are involved in bringing a case to completion? What is the amount of time needed for each of these steps? From there, we calculate the staffing level needed to achieve the desired outcomes.

In IEM's experience, the most efficient staffing levels will not be static, but change over time to meet the demand. IEM believes this introduces a low risk and high cost savings approach. We also recommend that staffing levels be evaluated every three to six months based on projected levels of work with possible reductions at each review. IEM will provide expertise to periodically review staffing levels and make recommendations regarding the appropriate level of staffing throughout the life of the project, with staff reduction decisions focused on retaining the top staff and maintaining a commitment to quality.

The base factors used in our work flow models include:

- Staff required to complete each type of case
- Labor hours for each staff position to complete each type of case (including different levels of experience in staff members)
- Interactions between dependent tasks
- Calendar time required to complete the different types of cases
- Numbers of each type of case

IEM uses these factors in a work flow model to project completion rates of cases by type and the number of staff needed to complete those cases. While these models are initially driven by assumptions provided by our own SMEs, they will be updated with actual data during program execution to give accurate estimates of project status in real time. This allows the IEM Team to accomplish the following tasks:

- Estimate completion time for different milestones.
- Develop projections under different scenarios.
- Rapidly assess the benefits of process improvement on projections.
- Assess the impacts of policy changes on case completion rates and thus completion timelines.

Example Model: IEM’s Homeowner Work Flow Model

One example of our using work flow models is IEM’s Homeowner Work Flow Model developed to assist with program management for a Hazard Mitigation Grant Program. The model is particularly **effective in testing different staffing plan strategies**—for example, the sample chart on the next page (Figure 2) might suggest maintenance of a steady-state staffing level, and the program might consider delaying the processing of Phase 1 cases until about nine months into the program. This would allow the staff to reduce the number of cases in Phase 2 and 3 to low enough levels to manage the total caseload with a smaller team. Visually, the purple bars in the chart, representing Phase 1 cases, would shift to the right by nine months until the bar heights in the chart are fairly level—distributing the workload across time. Alternatively, all cases can be addressed simultaneously, as the chart displays, and staffing levels should be evaluated every three to six months to determine if reductions can be made. When reductions are made, the staff that demonstrates the highest productivity levels will be retained.

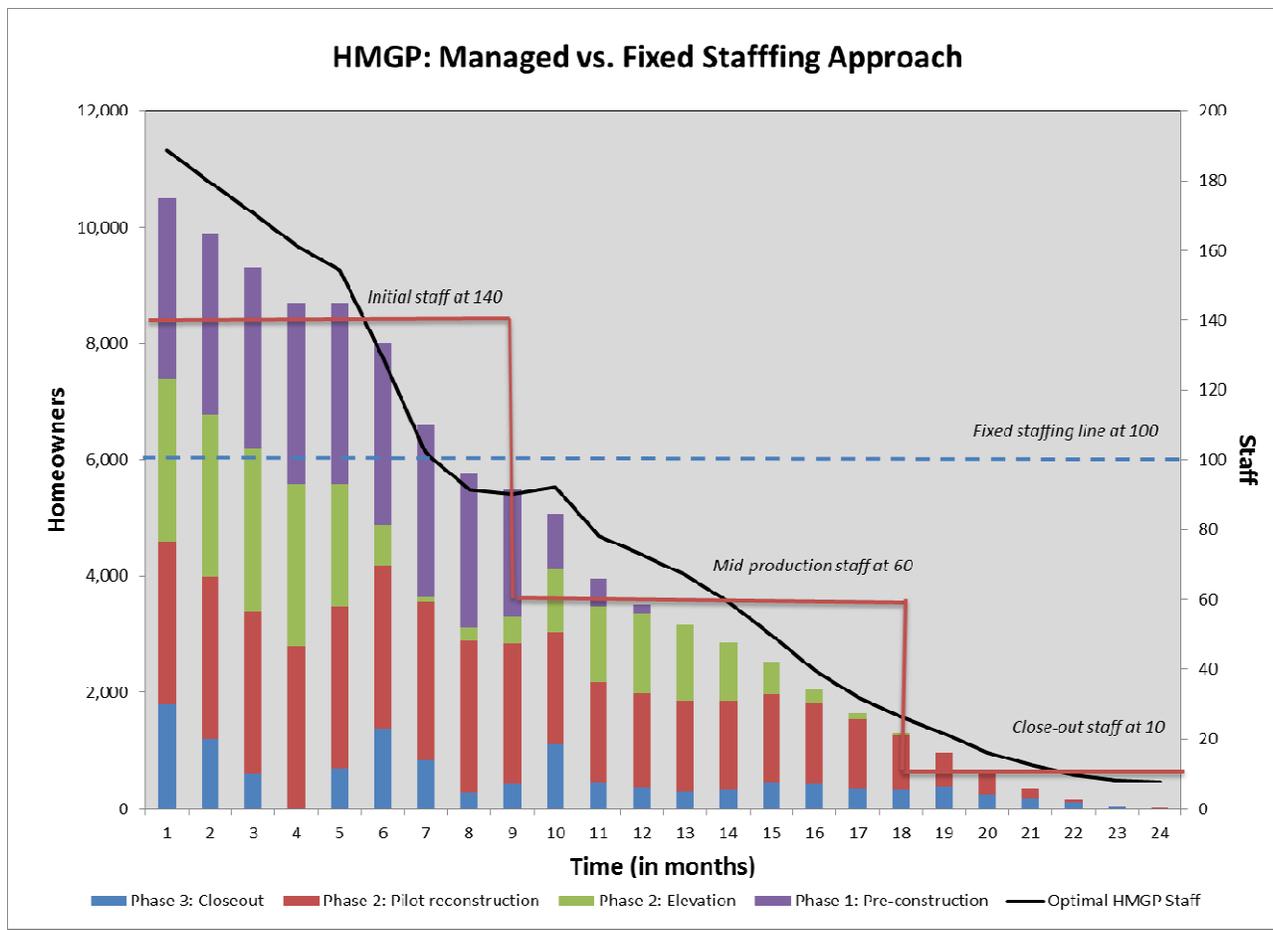


Figure 2: Managed vs. Fixed Staffing Approach for HMGP. As time progresses, IEM’s Homeowner Flow Model allows our team to adjust staffing levels as appropriate.

Skills Gap Analysis

One of the factors in building a work flow model is determining all of the necessary skills needed to complete each task and also taking into account the labor hours needed for each staff position to complete that task based on different levels of experience.

For each task, analysts will identify the critical and noncritical skills that are needed to carry out a role effectively. This information will then be given to the recruiters who will identify talent with the needed skills. This information will also be used to train or retrain current staff whose roles can be shifted as the case loads move through the processes. Identifying opportunities for retraining will allow the program to retain high performers by shifting them to new roles to meet the changing demands of the project.

Organizational Effectiveness

Throughput of case files will be highly variable in the early stages of most grant programs. Once the number of case files being processed increases with program demand, the IEM Team will assist in monitoring the rate at which they move through the program. We will compare the actual rate to the projected throughput from the work flow models. This will help refine the model and allow us to check for problems in the processes. We will also maintain control charts on case file completion rates to identify potential problems before they significantly affect milestones. All processes have normal variability, and a few inexact projections do not necessarily indicate a problem—control charts help understand the difference between normal variability and actual problems in the program.

The IEM Program Manager will work closely with New Jersey to address all workforce and organizational performance issues. We will provide feedback to the employee as well as to leadership. Our approach to productivity assessments integrates analyses at the skills, individual, and organizational unit levels. In addition to our objective approach, **the IEM Project Manager will keep all team members placed by IEM motivated and on task, drawing on managerial experience, intuition, and professional judgment working in such dynamic environments.**

Recruiting Strategies

For any situations requiring specialized personnel, IEM uses a structured and effective process, shown in Figure 3, to gather personnel requirements as discussed in Section 2.1.3, locate qualified candidates, and assist in bringing them on board upon the using agency's approval. Alternately, we can provide reports on the needed skill sets to New Jersey so that they can do their own hiring. Our standard process is designed to accomplish this task quickly when a fast turnaround is required.

2.1.4 Compliance Sanctions Program

The IEM Team will assist the using agency in setting up and using a performance metrics approach throughout the various projects to ensure that specific and overarching program goals are being met. IEM recommends that all



Figure 3: IEM Recruiting Process. *The IEM Team employs a proven method for understanding requirements, identifying suitable talent, and integrating personnel into the support teams. We will customize this process to meet the customer's recruiting needs.*

performance measures be calibrated to align with the agreed-upon service level agreements (SLAs) established by the using agency. Recommended performance measures will be SMART (specific, measurable, achievable, relevant, and time-bound) so that it is clear what the goal is and whether or not it is being met. The IEM Team will provide expertise in developing procurements that will build-in performance measures into the RFPs and bid documents.

For public entities, the consequences of noncompliance can take many forms. Poor performing applicants will warrant special oversight and review status to ensure that they have the guidance necessary to get back on track. The IEM Team will assist with creating corrective action plans that detail the steps necessary for compliance and provide performance measures that will demonstrate whether or not the entity is meeting its obligations. If an applicant continues to perform poorly, administrative actions can be taken such as reduction in payments or, in rare cases, the termination of the grant.

In addition, entities that demonstrate an inability or unwillingness to comply with program requirements can be suspended or even excluded from the program. The IEM Team will also advise New Jersey of the criminal or civil penalties that may be pursued.

For programs such as CDBG with established compliance programs, the IEM Team will provide experts on CDGB's CPD Monitoring Handbook 6509.2, particularly Exhibit 2-2: Program and Technical Area Sanction References for Noncompliance Remedies. Suspensions—excluding a person or entity from receiving federal financial and non-financial assistance and benefits under federal programs and activities—can be imposed for a short time, pending the completion of an investigation or legal proceedings. The outcome of the investigation or legal proceedings may be cause for a more serious sanction such as debarment. Debarments are similar to suspension, but are for a longer period of time. HUD debarments usually last for three years, but can be longer depending upon the seriousness of the violation. Limited Denial of Participation (LDP) is a sanction lasting no longer than one year. LDPs are usually specific to a particular HUD program.

2.1.5 Consulting Services to Support Account Reconciliations

IEM's experience in both grant program accounting and disaster recovery programs will allow us to support the using agency in creating efficient and compliant procedures in order to secure recovery funds in a cost effective manner. IEM proposes to use a process-oriented approach that will allow for consistency and reliable outcomes.

Our goal is to support New Jersey in implementing effective and efficient process and procedures. These policies and procedures will help ensure that the following goals are met:

- All appropriate incurred costs are captured
- All related invoices and timesheets are audited for compliance with federal and other governmental agencies rules and regulations
- All appropriate supporting documentation is maintained in the disaster files
- All reimbursement requests are filed appropriately
- All filed reimbursement requests are paid correctly
- New Jersey is prepared to withstand any level of audit scrutiny

Identify Disaster Files. Working with the using agency's personnel, IEM will aid in identifying all open disaster files, including files that relate to prior and current disasters, and their status.

Determine Cost Eligibility. While FEMA determines project eligibility for the PA Grant Program, we can help the using agency to maximize cost reimbursement by interpreting federal and other governmental agencies rules and regulations based on experience. IEM will assist in determining what costs should be reimbursable and the appropriate allocation percentage. Working with using agency personnel, we will then confirm the specific responsibilities and procedures to ensure that New Jersey receives all appropriate disaster-related cost documentation.

Document the Costs. The IEM Team has the expertise to ensure the following outcomes:

- All captured incurred costs associated with each disaster are identified
- All supporting documentation is maintained in the files
- The cost allocation plan and associated schedules, if any, have been created for each disaster.

For new disasters, IEM will help to ensure that the disaster cost allocation plan and its associated schedules are created to capture all incurred costs, calculate the appropriate cost reimbursement amounts, and track the status of all reimbursement requests filed and payments received. For example, a schedule will be attached to the cost allocation plan showing the exact amounts paid out of pocket, the amounts covered by insurance, and the cost share to be paid by FEMA—typically, 75% or 100%. In some cases, a property may fall under more than one disaster. If so, the cost to repair the structure will need to be allocated between the two disasters. As invoices and timesheets are received, IEM will audit these documents to ensure that they comply with all appropriate federal and other governmental agencies rules and regulations and that costs are being allocated correctly.

Verify Reimbursement Requests/Supporting Documentation. We will verify that all reimbursement requests are being filed appropriately for all captured incurred costs and that the reimbursement amount is being calculated correctly based on federal and other governmental agencies rules and regulations, including compliance with all applicable regulations and guidance.

Submit Reimbursement Requests. At this stage of the process, IEM will green-light the reviewed case files for reimbursement and make sure that any outstanding reimbursement requests are being followed up on in a timely manner, to ensure that correct payments are received promptly. We will verify that receipt of payments are properly tracked and that the cost allocation schedule is updated.

Track Reimbursements. IEM will verify that the payment has been received for all filed reimbursement requests, that the payment is for the correct amount, and, if appropriate, follow-up on any discrepancies and outstanding requests.

Ensure Compliance. For all incurred costs for which a reimbursement request has not yet been filed, the IEM Team will assist in obtaining the appropriate supporting documentation, audit all invoices and timesheets to ensure compliance with federal and other governmental agencies rules and regulations, and verify that the disaster cost allocation schedule has been created or amended and that the reimbursement request is submitted. For example, we will review all invoices against the fair wages published by the Department of Labor in effect at the time of the contract to ensure compliance with the Davis-Bacon Act. We will also audit all disaster-funded projects for compliance with all other applicable regulations such as the National Environmental Policy Act (NEPA), Buy American, Stafford Act, etc.

Familiarity with Federal Guidance Improves Reporting

Federal program guidance can often be difficult to understand and federal program monitors do not always actively monitor their reports. This lack of feedback on reporting poses a risk to the State. Reports can be completed incorrectly and submitted to the federal government with erroneous information that is not discovered in a timely manner. This can affect the State's ability to recoup their incurred costs, as it relates to disasters.

As an example, the Office of Management and Budget requires quarterly reporting of federal grant programs activity. IEM reviewed the initially submitted OMB-1512 reports from one of our customers and found that federal guidance had been interpreted incorrectly for specific elements contained in the reports. After confirming with appropriate federal government personnel that our understanding of the federal reporting guidance was correct, we provided guidance regarding how to correctly complete the reports, and set up the reporting infrastructure that allowed the state agency to more efficiently gather the reporting information.

Report. IEM will support all required programmatic reporting. In order for NJ to understand and maximize the beneficial impacts of disaster funds, IEM will also work with selected individuals to develop regular reports that outline expenditures and milestones at the project level and program level. These reports are useful in communicating progress and program effectiveness to other state agencies and leadership.

2.1.6 Quality Assurance/Quality Control

As noted in Section 2.1.5, compliance assurance will be integrated into the account reconciliation process. IEM's philosophy is that quality assurance is program-wide, not a single step in the process. Quality assurance reviews begin by analyzing the processes and procedures for executing the grant program work with a focus on how those processes and procedures support the achievement of quality attributes in the work product throughout each program step. Compliance with federal and state regulations must be properly documented as part of this process.

IEM's focus on developing performance metrics is the key to good quality control. IEM will use industry best practices to determine acceptable levels of errors and make necessary recommendations to the process if established measures are not being met.

One common mistake in attempting to improve performance is to add more and more layers of oversight and to increase the number of checkpoints. While this may seem like the best way to reduce errors, it runs the risk of slowing the flow of program funds to a halt while implementation contractors work and rework the same error-filled files.

As noted in Section 2.1.1, quality cannot be inspected into a product; it must be built in through the design of the program. Appropriate performance measures must be developed and applied to determine if the program goals are being met. If those goals are not being met, then using the proposed work flow models will allow the IEM Team to pinpoint where the problems are and determine the effects of any proposed changes on the necessary staffing levels or skill sets required by the staff.

2.1.7 Risk Analysis and Identification of Options for Risk Management

In the design phase of a program, the IEM Team will review all relevant reports, like the formal program reviews by the Government Accountability Office (GAO) and Inspector General (IG), on similar programs, to ensure that NJ does not repeat the mistakes made by others. Findings from that review will aid in the development of a risk-based monitoring plan for the program.

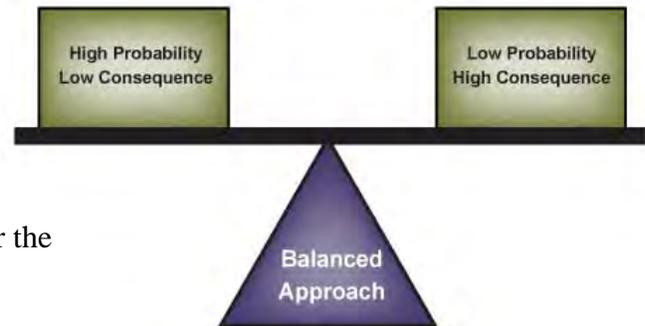


Figure 4: A Balanced Approach. IEM's approach to risk management requires that the full spectrum of threats be addressed—both high-probability/low-consequence events, as well as those with low-probabilities, but high consequences.

The Risk-Based Financial Monitoring Plan

The IEM Team will develop risk-based financial monitoring plans that consist of three main sections:

1. Risk identification
2. Risk assessment and prioritization
3. Strategies to manage and mitigate the identified risks

After scoping the monitoring requirements and documenting a project's internal controls, the IEM Team will develop a Risk -Based Financial Monitoring Plan, and it will be updated as needed throughout the project. For example, as the number of transactions for a particular program decreases and with them the associated risks, that program will drop lower on the monitoring priorities list. The plan will be revised to reflect that change. Changes to federal and State guidance may also affect the risk assessment, and those too will be reflected in the plan.

Risk Identification

The first step in identification of risks will involve a review of each program's internal process and controls. This review will identify all of the vulnerabilities by program. We will identify the stakeholders, the types of projects, the funding channels, and the geographic locations. Then IEM Team, with input from the using agency, will identify the risks. One key risk is that insufficient monitoring controls will be in place to ensure compliance with federal requirements like the Buy American clause or the Davis-Bacon Act. Other potential risks include, but are not limited to, misuse of grant funds, disbursement of funds not in keeping with the program's disbursement schedule, disbursement of funds to ineligible or fictitious recipients, duplicate payments of program funds, duplication of funding sources, and inadequate accounting of expenditures.

Risk Assessment

Once the risks have been identified, the IEM Team, with input from the using agency, will assess each risk. The risks will be scored on likelihood of occurrence and potential impact. Then the risks will be prioritized from most likely/largest impacts to least likely/smallest impacts. As shown in Figure 4, this risk assessment will allow us to craft a balanced approach to monitoring and managing the risks involved with the various programs – ensuring that realizing the benefits of these programs is not overly encumbered by bureaucratic processes.

Risk Mitigation Strategies

The mitigation portion of the Monitoring Plan will include appropriate strategies to help each program manage and mitigate the financial risks. The IEM Team will review each program's internal controls, procedures, and policies with regard to deterrence, detection, and record-keeping to ensure that we are able to demonstrate compliance with all legal and regulatory requirements.

- **Deterrence.** Deterrence strategies will focus on limiting the opportunities for errors, fraud, abuse, and waste.
 - The IEM Team will ensure that each program has an inclusive and appropriate deterrence strategy and that those methods are communicated and followed by project personnel.
 - Where additional deterrence strategies would prove beneficial, the IEM Team will make recommendations to New Jersey.
- **Detection.** Detection focuses on monitoring for suspicious transactions by both random sampling and by developing metrics that will help flag transactions for further review.
 - The IEM Team will monitor each program's detection processes by randomly sampling that program's sampled and verified projects to ensure that all checklists have been filled out with due diligence. This sampling may include site visits to visually verify that the work has been performed and that the program's controls are being followed.
 - The IEM Team will randomly sample, at a lower rate, projects not sampled and verified by the program to ensure that the processes in place are sufficient to verify the desired outcomes.
 - The IEM Team will perform statistical analyses to identify projects whose expenditures fall outside of expected parameters. If analysis identifies problem projects, we will recommend adjustments to the monitoring plan.
- **Record-keeping.** Additional record-keeping may be needed to provide a sufficient audit trail to facilitate audits and investigations.
 - Monitoring by checklist can lead to items being checked off without retaining sufficient back-up documentation. The IEM Team will ensure that the documentation is sufficient to justify approval.
 - The IEM Team will ensure that each program is preserving records demonstrating compliance with all federal and state requirements throughout the audit period.

Upon engagement, the IEM Team will review a program's current controls and procedures. Any findings will result in immediate procedural recommendations. For example, in high-risk areas, there may be recommendations for more checks in the approval chain before a disbursement can be made. Depending on a program's current practices, a recommendation that a disbursement require approvals from both the project manager and a financial manager might be made. Likewise, in areas with low risk, we may recommend fewer controls. This balanced approach will mitigate against the most likely risks without the need to commit additional resources. In all cases, the IEM Team will provide recommendations designed to help the programs succeed rather than burdensome bureaucratic requirements that lose sight of program goals.

2.1.8 Consulting Services to Reduce the Reconciliation Backlog

As discussed in Sections 2.1.1 on program design, 2.1.3 on workload analyses, and 2.1.6 on QA/QC, where our early engagement makes it possible, we will address preventing or reducing the reconciliation backlog in the initial program design. This reduction will also require a flexible staffing plan developed from a work flow models that take into account the following factors:

- Labor hours for each staff position to complete each type of case
- Interactions between dependent tasks
- Calendar time required to complete the different types of cases
- Numbers of each type of case

When our team is engaged after a reconciliation backlog has already built up, the IEM Team will identify problem areas and make recommendations for improvement based on which changes will achieve the desired results as demonstrated by the work flow models.

2.1.9 Subject Matter Expertise Regarding Required Standards

The heart of the CDBG mission is to provide a boost to struggling communities in times of economic stress so that they can become viable communities. In the aftermath of Hurricane Sandy, local communities are facing economic hardships that have been exacerbated by the tepid national economy. In this setting, demonstrating the need for federal funding to assist recovery is relatively easy. The difficulty is in thoroughly documenting each project in order to get the funds flowing into these communities as quickly and efficiently as possible.

The IEM Team member companies were selected to provide a broad base from which to pull individual staff members with expertise in the key CDBG

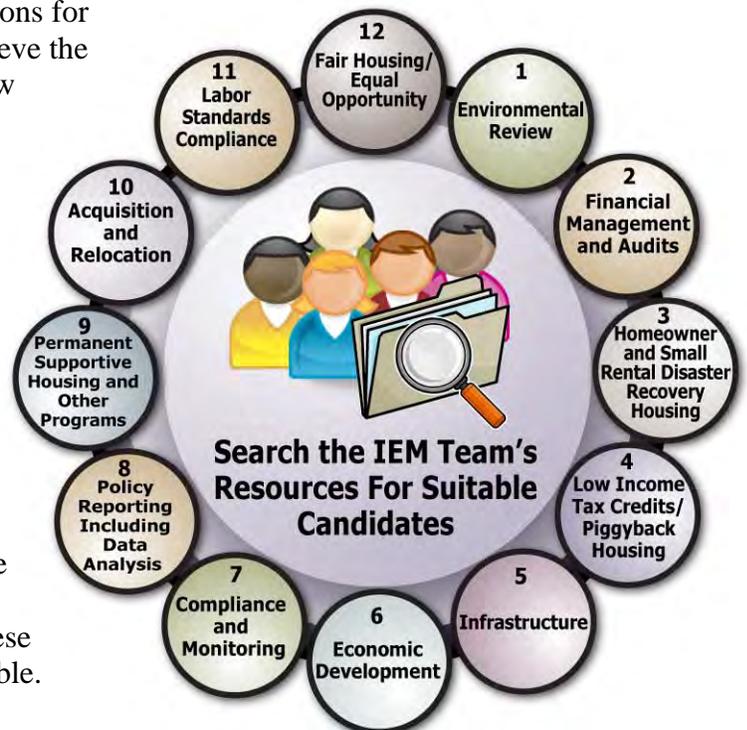


Figure 5: The Complete CDBG Package. The IEM Team has expertise in each of the 12 CDBG knowledge areas.

knowledge areas related to disaster recovery as represented in Figure 5. We have pre-identified candidates with much of the requisite expertise, and their resumes can be found in Appendix A. We will be able to draw on IEM Team resources, as needed, to provide additional expertise.

Since Hurricane Katrina, CDBG funds have been used increasingly as a supplemental funding source for disaster recovery activities. Traditionally used for the rehabilitation of blighted urban communities and housing, these funds are also flexibly authorized for use on public and commercial facilities, construction and maintenance of neighborhood centers, and economic development and job creation/retention activities, among others. The IEM Team knows how to leverage CDBG funds with Stafford Act disaster funds to create optimal cost coverage and to speed recovery.

Expertise in the following knowledge areas is essential to addressing the myriad and complex standards associated with CDBG grants:

- **Environmental Review.** Environmental review is vital to ensure that the State complies with the National Environmental Policy Act and other federal and state environmental laws and regulations.
- **Financial Management and Audits.** The IEM Team can provide an opinion on whether financial statements demonstrate compliance with the specific financial requirements of the program.
- **Homeowner and Small Rental Disaster Housing Recovery.** Our Team has experience working with administration of housing recovery programs to assist communities in crisis. We have been responsible for oversight in fraud, waste, and abuse, as well as compliance with HUD and all CDBG regulations, for multiple housing recovery projects in Louisiana.
- **Low Income Housing Tax Credits.** The IEM Team can provide expertise on the rules and regulations associated with HUD and the Low Income Housing Tax Credit programs that support affordable housing investments.
- **Infrastructure.** Knowledge of New Jersey's entire recovery program is necessary to properly manage the expenditure of CDBG funds on infrastructure projects. The IEM Team's broad experience in this area allows us properly demonstrate and document that the CDBG infrastructure projects approved are not eligible under the PA program.
- **Economic Development.** While all CDBG funds spent in a community have an economic impact, there are guidelines for helping to evaluate and select projects for economic development purposes. These guidelines are meant to help evaluate, first, the project costs and financial requirements, and second, the public benefit. The goal is to select projects that are financially viable that will make the best use of the CDBG funds.

Questions to Ask Regarding Economic Development Projects

- Are the project costs reasonable?
- Are all financing sources committed?
- Is non-federal financial support available?
- Is the project financially feasible?
- Is the return on the owner's equity investment unreasonably high?
- Are the CDBG funds disbursed on a *pro rata* basis with other project finances?

- **Compliance and Monitoring.** Our personnel performed regularly-scheduled and random monitoring on multiple Louisiana recovery projects to ensure compliance with requirements as established by HUD and CDBG regulations. During this period, we began using data analytics reports to identify cases of possible duplication of funds from more than one program.
- **Policy and Reporting Including Data Analysis.** The IEM Team can assist New Jersey in mining and analyzing applicable data to support the CDBG reporting requirements. The specific data elements can be used to report on the program using the Community Planning and Development (CPD) Outcome Performance Measurement System. The IEM Team can also provide expertise on completing the Consolidated Annual Performance and Evaluation Report (CAPER).
- **Permanent Supportive Housing and Other Homeless Programs.** Permanent Supportive Housing (PSH) is one of many CDBG programs developed to help citizens at risk of becoming homeless and those who are already homeless. Groups of interest include low-wage workers, at-risk youth, victims of domestic violence, low-income seniors, and people with disabilities.
- **Acquisition and Relocation.** CDBG funds can be used to buy out real property in areas prone to a recurrence of the event. For instance, following the Midwest floods of 1993 and 1997, CDBG funds were used to acquire private property within flood plains in the nine states. The land was converted for public use or allowed to return to its natural state. Knowledge of both the Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) and the Housing and Community Development Act of 1974 (Section 104d) is required to comply with federal regulations when acquiring, rehabilitating, or demolishing homes, businesses, or farms.
- **Labor Standards Compliance.** IEM has experience with labor standards compliance, including adherence to the Davis-Bacon and related Acts (40. U.S.C. 276(a)-276(a)-7). Failure to comply with federal labor policies can result in the loss of future funding.
- **Fair Housing/Equal Opportunity.** IEM Team staff will ensure that all projects are compliant with the Fair Housing Act. The scope of this responsibility is quite large, as the Fair Housing provisions apply to the community as a whole and not just to CDBG activity.
- **Other Emerging CDBG Needs.** While the above CDBG knowledge areas cover most of the expertise that is likely to be needed, the IEM Team can also provide support in areas such as handicapped accessibility and Section 504, projects involving historic preservation and restoration, Section 3 compliance, and other emerging CDBG needs.

2.1.10 Conducting On-Site and Remote Monitoring for Compliance

As mentioned in Section 2.1.7, a good risk-based monitoring plan will require that a percentage of the work sites have on-site visual verification of work performed and compliance with grant requirements. The IEM Team will work with the using agency to determine the number of visits that the implementation contractor should perform, as well as a metric for targeted on-site visits by the auditing contractor. Criteria used in this process may vary by program and may include, but are not limited to: total dollar amount of the HUD or FEMA Public Assistance grant awarded for a specific Project Worksheet; expected completion date of the repairs; responsiveness of the

subgrantee or State agency (entities not responding to requests for information, required reporting not completed correctly or not submitted timely, etc.); scope risk (greater complexity is considered a greater risk); and federal and State regulations risk (projects subject to numerous National Environmental Preservation Act, National Historic Preservation Act, Davis-Bacon Act, Buy American Act, Section 3, etc. are considered to be of higher risk).

In preparation for the on-site and remote monitoring visits, all documentation relating to the project received to date would be reviewed to gain an understanding of the project and the project milestones that may have been met. In addition, a customized monitoring visit checklist would be created to help the IEM Team interview personnel and gather documentation to verify compliance with State purchasing requirements (such as bid documents, public notice of RFPs, purchase orders, vendor contracts, etc.); with federal and State regulation (compliance is appropriately documented); and with OMB Circular accounting requirements (timesheets, invoices, etc.). They will also ensure that all incurred repair costs are within the Project Worksheet scope of work and are eligible for reimbursement by FEMA, and will follow up on any outstanding issues identified while reviewing the project documentation or observed in prior monitoring visits.

IEM would then conduct the on-site and remote monitoring visits at the project site locations. On these site visits, IEM staff would meet with appropriate State agency personnel, review and obtain copies of documentation evidencing compliance with federal and State regulations, perform Davis Bacon and Section 3 interviews of selected contractor personnel, walk through the construction site to observe the work completed to date, and perform any other procedures deemed appropriate.

To facilitate this process, IEM Team recommends that using agencies develop written monitoring strategies that identify the following elements:

- The areas for review
- A low/medium/high risk analysis of the individual projects
- Information that should be submitted prior to monitoring
- Who will conduct the monitoring and their areas of responsibility
- A schedule of monitoring tasks and the required resources

As a cost-saving measure, some compliance issues can be monitored remotely. For example, requests for information letters or e-mails can be sent to staff, contractors, subrecipients, or clients to determine the accuracy of reported information. However, on-site visits will be necessary to prevent sophisticated fraud operations and, more importantly, to convey to the construction company or other vendors working on site that they need to take compliance seriously.

Additionally, some reporting requirements may need to be met even if a project is not required to comply with a regulation. For example, a project that is below \$200,000 may not need to comply with Section 3. However, the Section 3 annual report will still need to be submitted, usually with the CAPER report.

2.2 Pool 2: Financial Auditing and Grant Management

Partners, Not Rivals

Grant implementation contractors and internal staff are not always motivated to point out grant implementation problems; often they are motivated to hide them. You may not even know there is a problem until you hear about it from FEMA auditors or the DHS Inspector General's Office.

Our role has been to review grant processes, procedures, and documentation to ensure that they result in compliant projects that are accepted by FEMA, with minimal risk of clawback.

Ideally, once a grant program leaves the design phase, it enters the execution phase, where the work of day-to-day grant management and financial auditing begins. In reality, execution often starts before the design is fully mature. As a result, the auditors must be agile and create an environment of continuous process improvement. According to our clients, IEM professionals personify mission support through their reliability, stability, and knowledge of organizational procedures and technologies. We can provide support to a wide variety of mission-critical operations and areas, delivering needed expertise regarding federal grant programs against a backdrop of transitioning personnel and changing requirements. Our experienced professional auditors and accountants have supported start-up operations and developed standard operating procedures (SOPs). They can also provide surge staffing in times of crisis.

2.2.1 Evaluate Specific Activities; Develop and Modify Policies, Procedures, and Systems

The IEM Team auditors will examine the program from top to bottom from an auditing perspective. Doing this will allow them to proactively suggest any changes that eventually come to light as federal and state auditors begin doing their jobs. Good design can go a long way toward successful program implementation, but adjustments will likely need to be made when the work begins to ensure that the program objectives are being met.

IEM auditors can assist with identifying issues and with making recommendations to improve efficiency. We do this by discussing the program objectives and any pre-defined performance measures with the program managers. Next, if not already developed during program design, we can assist in developing cross-function flow charts (see Figure 6) that show what needs to be done, by whom, and at what step in the process. These flow charts help the auditors see the big picture.

No "Hit and Run" Audits

The IEM Team does not simply identify problems and dump them in the customer's lap. We always have a proposed solution to any problem we identify.

- For example, IEM found a major issue with an implementation contractor's process. Instead of merely reporting it to the customer, we went to the contractor and got them involved in the solution.
- When we found a problem with the quarterly reporting for a grant project, we developed a mechanism to help with the reporting and defined a QC role for ourselves directly within the process.

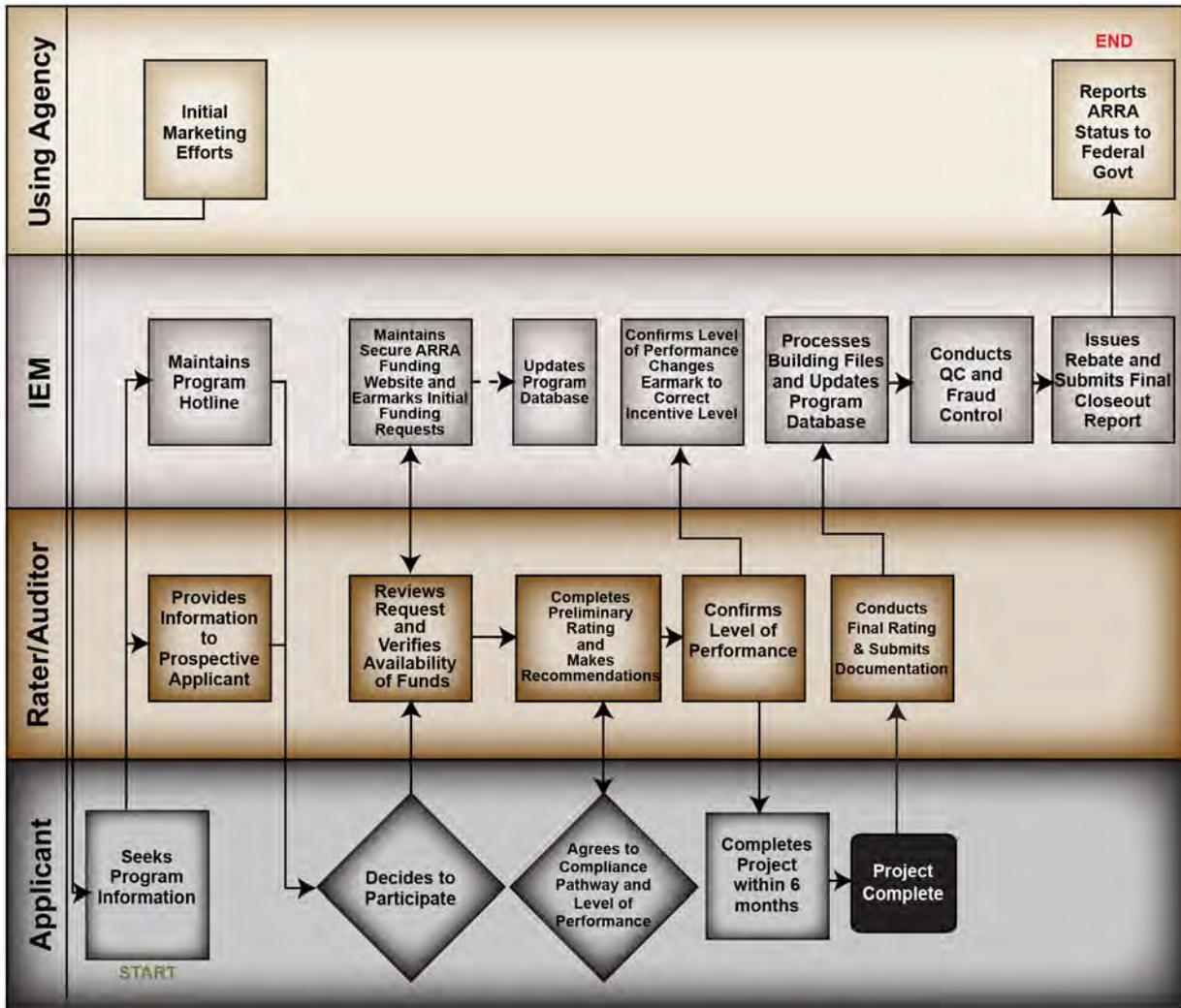


Figure 6: Cross-Function Flow Chart. *The major processes of the grant program are shown in swimlanes that designate who is responsible for each task.*

Once we have an idea of what everyone should be doing, the IEM Team will interview the staff to determine their understanding of their roles and responsibilities. Next, we review and, if necessary, help write the procedures for each position. Carefully written procedures are critical if the many federal and State regulations are to be consistently met and documented. At this point, we can take a close look at what controls there are, if proper checks and balances are in place, and whether or not the tools and documentation are sufficient to the tasks.

Improvements may take the form of checklists, requests for more documentation, or recommendations for more efficient ways of tracking the information. Ultimately, at the heart of this review is ensuring that compliance is documented. When it comes to grants management, it is not enough to check a box saying that you are compliant—grantees and subgrantees need to be able to demonstrate compliance through proper documentation. The interview process may also reveal unnecessary controls. For example, if cutting a check requires six people to sign off on a payment, but two of the six includes staff who add no real value to the process, we would

recommend that the process be streamlined to keep in the work flow only those truly necessary to meet standard accounting procedures.

Additionally, the IEM Team will examine if the program is generating the necessary data to meet the program reporting requirements, and, equally important, the kinds of data that grantees and subgrantees will be asked by other interested parties such as local and state politicians.

2.2.2 Assist in Integration of the Electronic Grants Management Program

The IEM Team can assist New Jersey by having our experts in the Electronic Grants management program assist with any configuration changes that need to be made to synchronize the state system with the grant management process. To accomplish this, IEM recommends having one of our auditors take any training courses that are available on the State systems to ensure that we have a solid working knowledge of how it works.

Integration with electronic grants management programs will require creating tracking codes in the State finance and accounting system that will track both project money and the administrative costs associated with each project. The IEM Team can assist with this and help ensure that the numbers in the State system agrees with what the applicant is reporting and with what the grantee (or subgrantee) is reporting. If there is a difference, it needs to be noted and an explanation provided.

The IEM Team can provide support by teaching program accounting staff how to properly classify or reclassify items to ensure that they are placed in the correct accounting bucket. Procedures also need to be in place to ensure that the State receives the money in a timely manner and that it is properly recorded in the system.

2.2.3 Streamline the Grant Management and Fiscal Management Processes and Ensure Accountability of Funds and Compliance with Program Regulations

One of the pitfalls of managing a large grant program is that the right hand often does not know what the left hand is doing. As part of IEM's auditing process, the IEM auditors will prepare internal control questionnaires. The auditors will use the questionnaires when interviewing grant staff (as discussed in Section 2.2.1) to identify any gaps, redundancies, or inadequate internal controls. During implementation, there is a risk that some grant implementation tasks will fall through the cracks while other tasks will be duplicated. Using our comprehensive review, we will evaluate all tasks, ensuring that their purpose is recorded, effort is not wasted, and compliance is documented.

The IEM Team does this as part of the auditing process so that our auditors have a thorough understanding of the grant processes. This audit function, however, can also be used as a feedback loop to the implementation process. Verifying that the process and controls are in place is the auditor's main purpose, but IEM believes that to be most effective, the auditors need to be integrated into the team, sharing the program's goals and objectives and working with the accounting staff to achieve those goals.

The IEM management team will encourage the auditors to assist in developing a process or making the necessary changes to a process to avoid repeated findings on the same issues. As an example of this, when looking at the reporting for OMB 1512 on a grant, the IEM auditor discovered that the accounting staff did not fully understand the reporting requirements. Rather than simply writing a finding that the number of payments was not being reported, the IEM auditor helped the staff member create a sortable spreadsheet that made counting the number of payments simple and painless.

At IEM, we do not simply identify problems; we suggest solutions and work with our clients until we have a solution that works for them and meets all federal and State requirements.

2.2.4 Provide Tools for Assessment of Performance

The media, politicians, and the public will all request frequent updates on how the grant money is being spent, how quickly it is being spent, if it is being spent wisely, and where it is being spent. The IEM team can aid in keeping the key leadership informed by providing both high-level reports and detailed reports that communicate the necessary information.

One common problem with requests for information is that depending on whom you ask, the subgrantee, grantee, implementation vendors, or the state, the answers will likely be different. Often this is caused by delays in reporting, differences in vocabulary, or human error. To the public, these discrepancies look like ineptitude. The solution is to have a centralized reporting mechanism. This mechanism can be an electronic report that is distributed to key leadership, a central portal where the reports are stored, or an electronic dashboard that pulls the information from a database.

IEM supported FEMA's Technical Assistance Contractor with temporary housing operations during the response and recovery to Hurricanes Katrina and Rita in FEMA's JFO in Baton Rouge. The JFO work included collection, analysis, evaluation, and dissemination of management information for crucial and timely decision-making. IEM staff also **monitored and evaluated program performance**, recommended improvements, and supported strategic planning for Katrina response and recovery.

Our Goals Are The Customer's Goals

IEM fully identifies with the customer and its goals, and focuses our auditing on making sure the customer can meet those goals—like maximizing grant funding. We are quickly perceived by the client as an **integral member of the team**, not an outsider.

- One customer sent IEM's auditor to represent two state agencies at PA training. She was **completely trusted** to gain the necessary information, bring it back, and integrate it into agency processes.
- An engineer on one grant project we audited named our auditor MVP of the project because none of his projects were rejected by FEMA—they were reimbursed the first time. In fact, **all of the projects we've worked on have been paid the first time.**

For these reports to be effective, they need to address the most common requests for information. The IEM Team has used each of these reporting solution alone and in different combinations. The team will work with the various stakeholders to determine the kinds of information needed and the best platform for presenting that information.

We are also experienced in developing clear and intuitive performance measures for financial transactions. Our approach is to develop transaction thresholds based on Generally Accepted Accounting Principles (GAAP), and to color-code thresholds to quickly communicate whether

transactions are being properly handled (color-code = green), falling slightly short of GAAP standard (color-code = yellow), or falling woefully short of the standard (color-code = red). The following are examples of performance measures we have developed and tracked for accounts payable activities.

Performance Measure #1: Percent of payments processed on time:

- Above 98% (Green)
- Between 98 percent and 97 percent (Yellow)
- Less than 97 percent (Red)

Performance Measure #2: Percent of duplicative and erroneous payments:

- Below 2% (Green)
- Between 2% and 5% (Yellow)
- Above 5% (Red)

Performance Measure #3: Interest penalties on late payments:

- Below .02% (Green)
- Between .02% and .05% (Yellow)
- Above .05% (Red)

The One-Page Report, or Executive Briefing Sheet

The one-page report provides basic information about a program at a very high level. It will give basic information about the program, what the key benefits of the program are, and a snapshot of the funding in terms of total project funding, total expended obligations, total unexpended obligations, total unobligated, and the total number of working projects, total of completed projects, funding spent on outreach and education, and total administrative fees. These numbers can be accompanied by dashboard graphics (Figure 7–Figure 9) that allow you to see the status of the program at a glance.

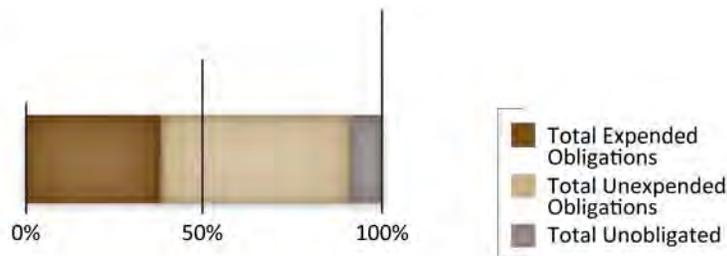


Figure 7: Obligations Graphic. *Providing a simple graphic that shows the amount expended as a percentage of the total project funding will not convey the progress that various stakeholders want to see. Displaying the data to show unobligated, expended, and unexpended percentages tells a more satisfying story.*

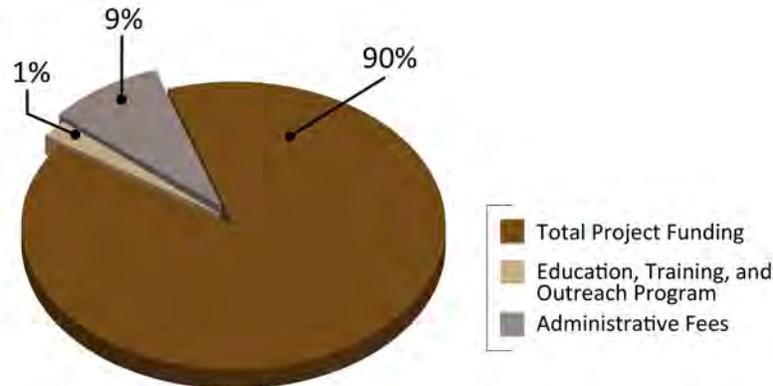


Figure 8: Funding Pie Chart. *There is always concern that the project dollars are not making it into the hands of those who need it. This chart clearly shows that the overhead costs of the project are within the program's guidelines.*

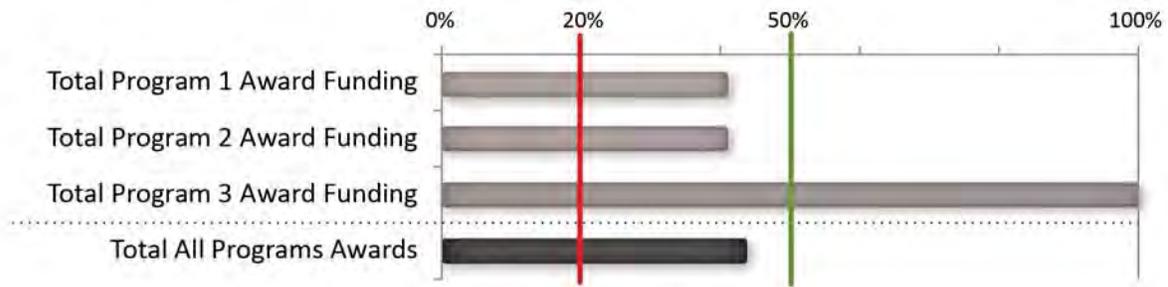


Figure 9: Funding Usage Chart. *This chart shows how much of the grant funding has been awarded and the progress toward project milestones. The red line indicates the 20% expenditure goal, while the green line indicates the 50% expenditure goal.*

Project Summary Report

The project summary report is a more detailed report that lists each and every project under a program. It includes the applicant, brief project description, contract amount/funds obligated, amount expended, percentage expended, remaining balance, as well as a brief milestone checklist to show bid status, date of contract award, date work began, anticipated completion date, and issues/comments.

Web-Based Reporting

The reporting elements described in the Executive Briefing sheet and the Project Summary report can also be hosted in a web environment complete with dashboards. Alternately, the IEM Team has experience creating interactive web-based reporting systems that allow the user to drill down for more detailed information (see Figure 10).

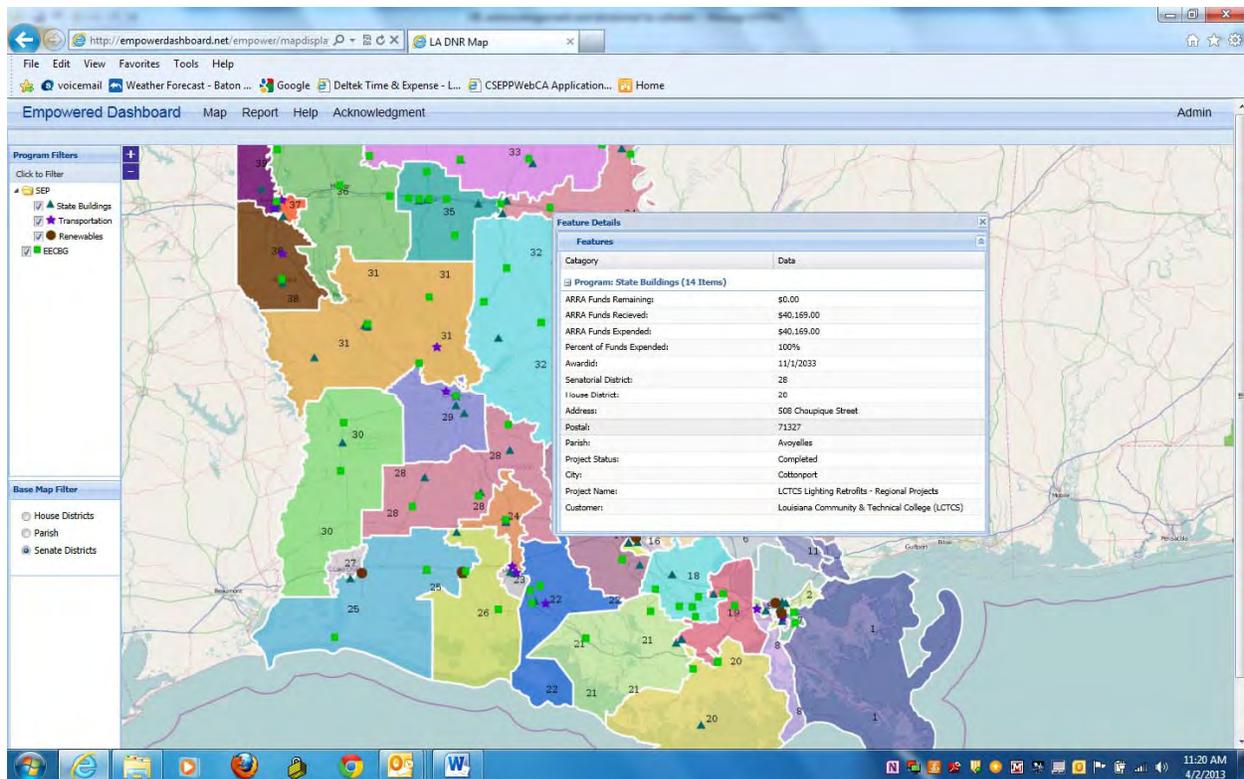


Figure 10: Interactive Map. *Separate channels will be created for each program, allowing the user to easily view program utilization and distribution across the state, as IEM did for Louisiana's DNR.*

One option that may be of interest to the using agency is the IEM Team's ability to import the verified reporting data elements into a map and reporting portal that will allow real-time access, represent the projects on an interactive map, and allow access to basic reports. If desired, the IEM Team can build upon and adapt the web-based reporting and mapping solution tool used in Louisiana to meet the using agency's needs. Our team will work with the using agency to determine the best information to include in the reports. For basic reports, statistical summaries can provide the total amount of expenditures, by congressional district, by county, and by town.

To develop on web-based reporting, the IEM Team examines the reporting needs of any included programs to determine how to present the information in the various reports. As a cost savings measure, we recommend satisfying as many of these reporting needs in as few reports as possible. However, we will work with all the stakeholders to create custom reports as requested.

While preset reports are useful for quick access to information, the potential for changing program requirements and ad hoc requests from the Governor's office, members of Congress, and other interested parties may require the creation of specialized reports. By importing the key reporting data elements into our web-based tool, we will have the ability to support the using agency in quickly responding to those requests.

One of the advantages of IEM's on-line map and reporting portal, shown in Figure 10, is that with the using agency's approval, we can grant 24/7 view-only access to various stakeholders, which may limit the number of requests for customized reports. This web-based tool permits an unlimited number of users to view the data. This ability to share the verified data will allow all

stakeholders to share a common operating picture. Basic information such as the general location of the project can be made available while limiting access to an individual’s private information to the appropriate project personnel.

Information for each of the different programs can be published in separate data channels. This will allow key state stakeholders to view individual programs, a combination of programs, or all programs on a single map. This will help stakeholders to see exactly where the funds are being spent by congressional district, county, and town. As shown in Figure 10, we can create icons that will show at a glance the specific program and size of investment for each project. If more detail information is needed, the user will be able to select a project on the map and pull up more information (see Table 2).

Table 2: Recommended Data Elements By Project

| |
|---|
| Program Title |
| Project Name |
| Project ID |
| Project Description |
| Project Status |
| Total Federal Amount Funds Received/Invoiced |
| County |
| Congressional District |
| URL Detailed Project Information (limited access) |

This map and reporting portal is an open source solution hosted by IEM. The benefits of an open source solution include **no licenses to buy, minimal development costs, the database and data will be owned by and transferable to the State or using agency** at any time during the course of the project, and it can be **easily configured to import/export data in a variety of formats**, including SQL and Oracle databases. The tool can be maintained and accessible online to authorized users, at a minimum, for the length of the audit period following the conclusion of the grant. The audit period for FEMA grants is seven years.

Additional Reports

Other types of reports can be generated to give a snapshot to the grantee, the State EM, and other stakeholders of where a particular project is in the grant process. These reports can track how much of a particular project is eligible for reimbursement and whether any funding been denied. On the accounting side, the reports can be generated to show all expenditures (both grantee’s and state) and what is still pending. Likewise, reports can be generated to alert grant managers of overdue financial transactions so they can follow-up on them in a timely manner.

Presenting summary information in a performance dashboard or filtered spreadsheet will allow users to see project expenditures, reimbursements, and other details for a particular vendor. Some activities may be reimbursed at 100% while others are reimbursed at 75% and that can be shown as well. For example, a report might show the invoice amount, the percentage that is likely to be reimbursed, the percentage that is not likely to be reimbursed, and any ineligible amount.

Figure 11 below shows an example of a performance dashboard prototype that we used to track financial management metrics for chemical demilitarization program (prototype is shown to protect program information). Our performance dashboards allow the user to track a broad range of financial performance metrics for a number of program units using interactive tabs and drill-down capability for in-depth review on demand. Such dashboards can be developed to link to a source database (such a spreadsheet or the financial system database) so that when data are refreshed at the source, the dashboard is refreshed automatically. Such dashboards have been found to be very useful to busy and mobile managers and executives who can review such information at any time of day in any location from their remote computers, tablets, or smart telephone.

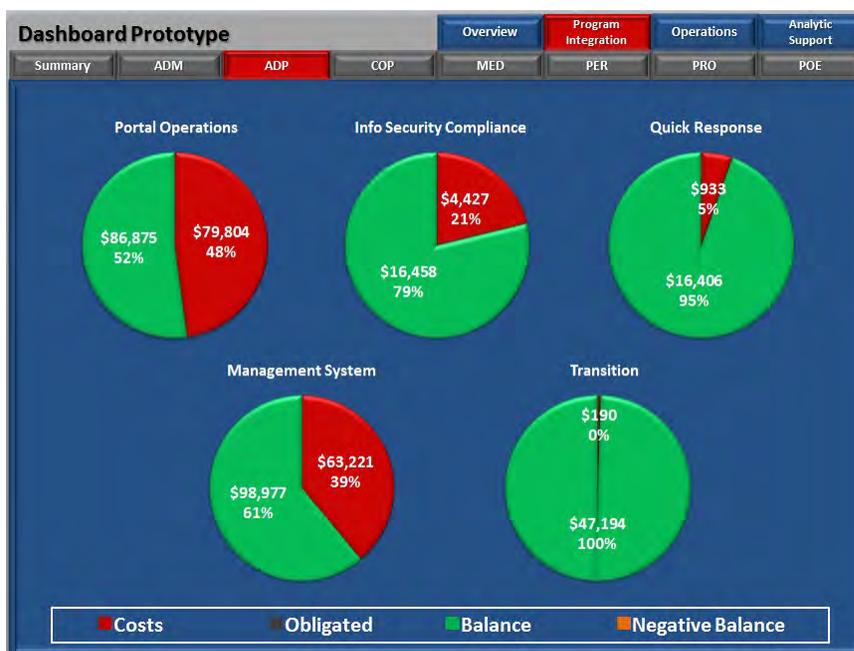


Figure 11: Performance Dashboard Prototype. IEM used a similar performance dashboard to track financial management metrics for a chemical demilitarization program. (We present only a prototype here to protect sensitive program information). The dashboard allowed the user to track a broad range of financial performance metrics for a number of program units using interactive tabs and drill-down capability for in-depth review on demand.

2.2.5 Monitor All Business Office Functions

As discussed in Section 2.2.4, the IEM Team can provide dashboard reporting tools to provide information to key stakeholders about a grant program. These tools will allow the leadership team to see progress toward agreed upon milestones. In Section 2.1.1, we described how the IEM Team will help develop performance metrics and performance measures. These performance metrics will allow the IEM Team to sample transactions, verify that the process is working the way it is intended, verify that proper documentation is being kept, and determine how long it takes a project to move from one milestone to the next.

The IEM Team will prepare and submit monthly status reports for the using agency on the status of the program, including any findings, recommendations, and status updates. These status reports will document the tasks undertaken and accomplished for a given period while highlighting the lessons learned and newly discovered best practices. It will also track the progress of overall program deliverables. Program outcomes will be measured against the agreed upon performance metrics and will be documented in the report. It will also outline the plans for subsequent months (short and long term) with the clear assignment of personnel responsibilities. This report will also highlight the logistical requirements and necessary steps for implementing cost-effective solutions for improving the implementation of the program.

The IEM Team will monitor all aspects of the process from the bid/solicitation, contract award, contract start, project completion, and project closeout. After establishing how long each step should take, the project auditor will report on any projects that are not within the expected timeframe and discover the cause of the delay. Likewise, the auditor will monitor turnaround times for FEMA reimbursements and make sure that grant managers follow-up on any delayed payments in a timely manner.

As discussed in Section 2.2.3, our goal in monitoring is to catch mistakes early in the process rather than later. In essence, the IEM Team auditors will act as a second set of eyes. By regularly monitoring and verifying that the proper controls are in place and that all procedures are being followed, the IEM Team auditors will be in a position to help the using agencies communicate compliance to State or federal auditors.

2.2.6 Staff Training on Detection and Prevention of Fraud, Waste, and Abuse

The IEM Team will provide training on detection and prevention of fraud, waste, and abuse. While the IEM Team auditors will be running analytics on data and sampling transactions as part of fraud prevention, our philosophy is to take a common sense approach to detection. Staff training is a key part of that approach as the staff processing daily transactions can be instrumental in spotting irregularities that may indicate fraud waste or abuse.

The staff will be trained on the basic purchasing expenditure cycle, the basic checks and balances that are in place, and the controls available to prevent or quickly detect fraud, waste, and abuse. Cross-training staff on how the entire process works and how a particular processes work will give them the grounding they need to apply common sense to each transaction rather than taking a head down approach that focuses only on a given task.

In addition, the staff will be encouraged and rewarded for reporting any suspicious activity whether or not it turns out to be actionable. Staff will be trained on when to raise a red flag and to whom it should be reported. Building a team that understands that we are all responsible for detecting fraud, waste, and abuse, not just those assigned to the task on a full time basis, will greatly increase the team's effectiveness.

The IEM Team will also provide access to statisticians trained in spotting anomalies. By looking through the data on a macro level and identifying outliers, we can pinpoint projects more likely to involve fraud, waste, or abuse. The following examples might require further investigation: multiple projects listed at a single address, vendors working on an unusually high number of projects, or inconsistent dating issues on invoices.

Once identified as a concern that needs further investigation, the IEM Auditor will make a determination of whether there is a pattern of human error or a pattern that indicates a deliberate attempt take advantage of the system. In both cases, the auditor will provide follow-up training to the staff so they can be on lookout for future incidents of a similar nature.

2.2.7 Ensure Compliance with Applicable Accounting and Financial Reporting Requirements

Federal grant compliance is necessary to ensure that all reimbursable expenditures can be collected from the government. By accepting a grant funds, the recipients, from the grantee to the subgrantee to the applicant, are all agreeing to comply with the applicable federal and State requirements. In addition, accepting the funding also obligates the recipients to be a good steward of those funds and to take the necessary and reasonable precautions to see that the money is put to its intended use. This requires the submission to the government of proper grant applications, status reports, financial reports, and documentation. When a payment request is made, the government requires that all requirements and terms of the program are being met. If through audits or reporting, the government learns otherwise, they will demand that the money be repaid. Given the amounts of funding that New Jersey will receive from the federal government in the form of grants, it is critical that the State, the grantees, the subgrantees, and the applicants understand and comply with all federal and State accounting and financial reporting requirements to demonstrate that compliance with each program's guidance.

The reporting tools discussed in Section 2.2.4 can help in gathering and reporting on individual program requirements. In addition to each program's guidance, there are also reporting requirements contained in the following documents:

- OMB Circular A-110 (2 CFR Part 215), Uniform Administrative Requirements for Grants and Agreements which has project performance and financial reporting requirements
- OMB Circular A-122 (2 CFR Part 230), Cost Principles for Non-Profit Organizations which requires grant application budgets and financial reports be scrutinized for compliance with cost principles
- OMB Circular A-87, Cost Principles for State, Local and Indian Tribal Governments which also requires grant application budgets and financial reports be scrutinized for compliance with cost principles
- OMB Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations Statutes and Regulations that Establish Specific Grant Programs which has additional auditing requirements applicable to any grant recipient or subrecipient that expends more than \$500,000
- Agency-specific grants regulations and policies, many of which require grant recipients to obtain prior written approval prior to making significant project changes such as:
 - Change in objective or scope
 - Change in the amount or proportion of cost sharing
 - Budget changes totaling \$25,000 or more

The IEM Team is well-versed in these reporting requirements and will assist the using agencies in meeting them as we have demonstrated in assisting Louisiana's Department of Natural Resources meet their reporting requirements for PA and ARRA grants.

2.3 Pool 3: Integrity Monitoring/Anti-Fraud

For the federal grant programs, fraud, waste, and abuse concerns will center on swift and accurate investigations, allegations of falsification and/or misrepresentation of documents, contractor fraud, and duplications between federal programs. In addition, the IEM fraud, waste and abuse team (IEM's FWA team) will investigate any past, present, or future issues and/or discrepancies escalated from any program section in the event the applicant does not adhere to program guidelines.

IEM successfully supported fraud, waste, and abuse (FWA) coordination for Louisiana's Small Rental Property Program for three years. IEM personnel were responsible for investigating allegations of fraud and reporting findings to HUD's Office of Inspector General for possible criminal prosecution. IEM's FWA team was also responsible for investigation potential duplication of benefits properties between the various programs.

Our well-trained, experienced staff can immediately adapt to various grant program guidelines. While there are differences between PA, HMGP, and CDBG, the basic procedures for identifying and researching potential fraudulent activities remain the same.

2.3.1 Forensic Accounting and All Specialty Accounting Services

With the amount of money going through the federal grant programs, using agencies will face new and more complex financial schemes designed by a small but bold percentage of contractors and applicants who will attempt to illegally manipulate the system to their advantage. Such schemes are often inadequately investigated by unqualified experts or internal staff. As a result, these poorly crafted and poorly documented investigations often cannot be prosecuted. Therefore, IEM has brought onto the team the Integritas Consulting Group, a Category 4–approved NJ Small Business Enterprise, which will provide accounting support. One of their subsidiaries, DeVito, Snowden, & Co., LLC (DSW), will provide us with access to certified public accountants, computer forensics specialists, and professionals certified in both financial forensics and fraud examination by the American Institute of Certified Public Accountants. These certified fraud examiners will help to protect and preserve the grant funding opportunities for applicants who truly deserve and need assistance.

Examples of investigative services the IEM Team can provide include, but are not limited to, the following:

- Assisting with regulatory compliance and enforcement.
- Investigating and analyzing financial evidence.
- Communicating findings in the form of reports, exhibits, and collections of documents.
- Assisting in legal proceedings, including testifying as an expert witnesses and preparing visual aids to support trial evidence.

2.3.2 Risk Assessments and Loss Prevention Strategies

As discussed in detail in Section 2.1.7, the IEM Team will develop a Risk-Based Financial Monitoring Plan comprised of three main sections:

1. Risk identification

2. Risk assessment and prioritization
3. Strategies to manage and mitigate the identified risks

To prevent fraud, waste, and abuse, the IEM Team proposes to verify through on-site inspections of a statistical sample of projects. These inspections will document the suitability and regulatory compliance of the project and ensure that all grant guidance is adhered to. The volume and complexity of the likely projects precludes a one hundred percent inspection; therefore, the IEM Team proposes to do an initial risk analysis to determine the projects most likely to experience mistakes, fraud, waste, or abuse. This determination will be based on project size, complexity, grant recipient, etc. The distribution of metrics for all projects will be analyzed to identify projects that do not fit the statistical norm. These “outlier” projects will be scrutinized more closely to ensure that are correct, appropriate, and properly documented. In addition, a statistically valid subsample of projects will be selected for on-site verification. This process will involve coordinating a site visit where one of our auditors or engineers will verify project progress, material, and other parameters.

While everyone makes mistakes, the IEM FWA Team will be on the lookout for trends and repeat occurrences as those are leading indicators of fraud.

2.3.3 Performance and Program Monitoring and Promotion of Best Practices

The IEM auditors will rely on proven documents and publications from a variety of sources such as the Yellow Book, the Association of Independent Certified Public Accountants, the National Procurement Fraud Task Force Guide to Grant Oversight and Best Practices for Combating Grant Fraud, publications from the Inspector General offices, statutes, and actual case studies to inform our auditing and monitoring tasks.

Although the IEM Team is extremely familiar with and committed to training staff in these best practices, we recognize that perpetrators of fraud are ways looking for new and unique ways to defraud the federal government. Therefore, the IEM Team will continuously review the latest reports from OMB and OIG for the latest guidance and advice and integrate their recommendations into our approach.

One key is to learn from past mistakes. What happened, how much money was at stake, what documentation is there, and most importantly, what can we do to prevent it from happening again?

Much of our familiarity with these practices is illustrated in Sections 2.3.5 and 2.3.6.

2.3.4 Fraud and Misconduct Investigation, Prevention, Detection and Remediation

Internal and External Audits

IEM’s FWA Team will review applicant files in preparation for closing (i.e., before an applicant receives further funds from the program). Each file must be researched and marked as “passed FWA review” before the file can proceed to pre-closing. When discrepancies are found, the file is marked “On Hold for FWA Review” to prevent disbursement of funds until further investigation and a resolution is determined.

IEM's FWA Team processes ensure that possible fraudulent activity is investigated and resolved in a timely manner in order for the program to expedite delivery of funds to applicants. The FWA process prevents the disbursement of funds but does not hinder the processing of files.

Any releases of confidential information must go through specific processes, including, when necessary, a legal review of the request. The IEM Team will not release any information to a third party without written approval from the using agency.

Potential Fraud Investigations

Requests for investigations are submitted through three main avenues—e-mail from project team members to the IEM Team's Project Manager, calls from concerned citizens via program hotlines, and requests for auditing from Team Leads. Possible fraudulent activities reported to FWA by program employees are required to be submitted by e-mail and must include the application number, address, individual or vendor name, and social security number if available. This is to ensure the correct file is being investigated.

Comprehensive FWA Blueprint

- Before applicant files proceed to pre-closing, our personnel will conduct internal and external audits to preclude any inappropriate disbursement of program funds.
- IEM's FWA Team will follow our fraud investigation process to ensure a thorough investigation of any allegations that may arise throughout the contract.
- IEM's Project Manager will issue Analytic Outlier Reports to ensure that all cases in the pipeline are current and require no further review.
- IEM's FWA Abuse Team will track, investigate, and report requests for Freedom of Information Act (FOIA), subpoena, and prosecutorial support using the policies and procedures established by the program.

As shown in Figure 12 on the next page, issue tracking begins immediately when a request for investigation is received. The FWA Team will use a series of tracking reports that log requests by date, requestor, and investigator and include a description of the findings. Excel spreadsheets work well for small programs. If the using agency has equal or better procedures, we will adapt the most proven method of issue tracking.

The authorized staff member that receives the allegation will immediately enter the call in the investigation log and place a hold on the applicant's file. Using established and proven procedures, the file is thoroughly investigated and documented. The investigator will update the log daily with a disposition until the allegation or review is closed.

Zero Audit Findings

For SRPP, IEM's FWA team has a proven record of success, with over 1,900 duplicate files reviewed, 430 subpoenas processed, and 250 allegations of fraud, waste, and abuse complaints successfully investigated. FWA has investigated and reviewed over 2,500 SRPP files with zero audit findings in three years of operation.

FWA will place a notation on the file until the review has been completed. Inquiries by applicants pending the FWA review must be handled with extreme discretion. Program employees should only communicate that the file is under special review as part of an internal audit. No other details regarding the file can be conveyed pending the release of the investigative findings so as not to impede

a potential OIG investigative case. Persons outside the program who reported suspicious activity

may not receive any information regarding the potential investigative case or any results from an investigation. FWA employees may not reveal an ongoing investigation or previous allegation regarding any applicant or property.

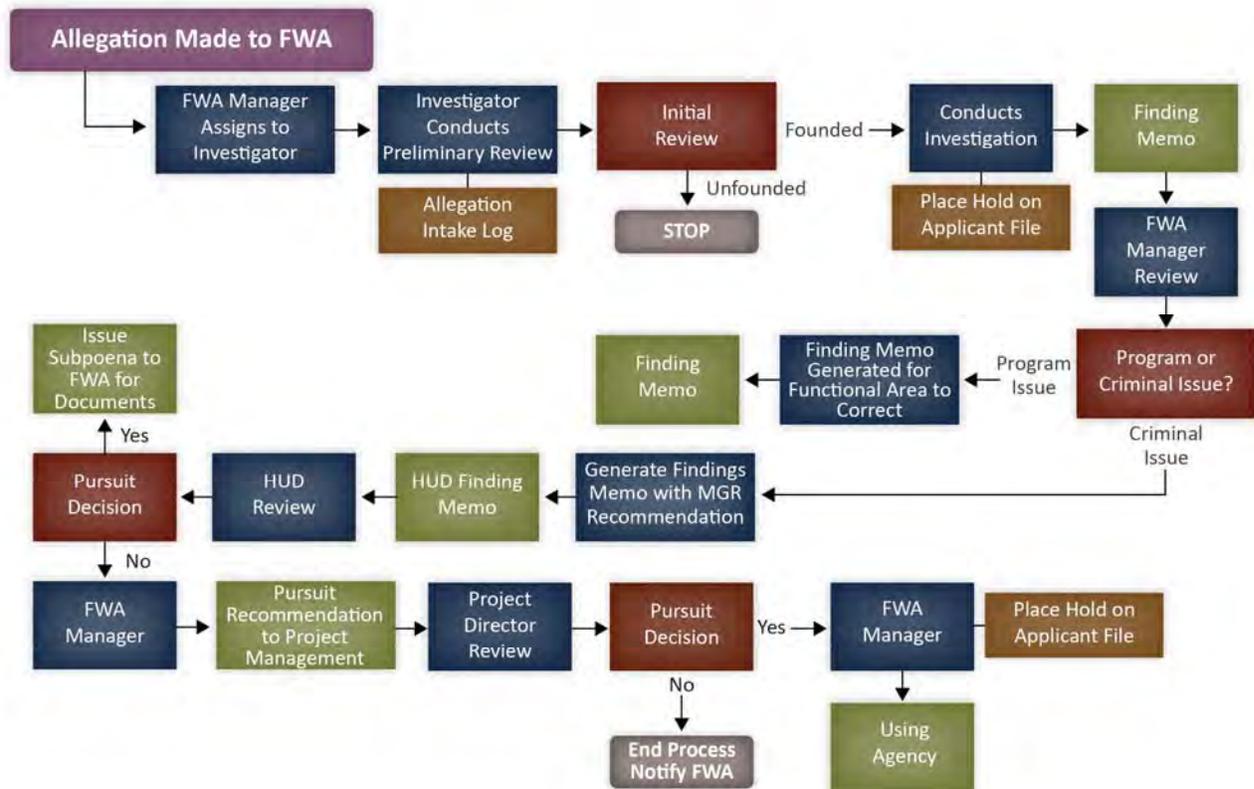


Figure 12: Fraud Investigation Process. IEM's FWA Team will follow process similar to the one IEM developed for HUD to ensure a thorough investigation of any allegations that may arise throughout the contract.

Responses to FOIA Requests, Subpoenas, and Prosecutorial Support

The FWA department is responsible for tracking, investigating and reporting requests for Freedom of Information Act (FOIA), subpoenas, and prosecutorial support using the policies and procedures established by the program. We are committed to delivering information in a timely manner. The decision on release of the requested information must be obtained from the using agency. As illustrated in Figure 13 on the next page, responses are handled as follows:

- All using agency-approved outgoing documents are copied and sent via certified mail to the requesting party.
- If the request comes from OIG, the original documents are copied and date-stamped and the original documents are sent to OIG. The copy is stored at FWA until the file is returned.
- Subpoenas are logged and tracked by the Issue Tracking Team and include the date the subpoenas were sent to the using agency for a decision and the date the decision is received.

- Updates to criminal subpoenas do not need a new release from the using agency, but must be logged and maintained by FWA.
- Document management includes retention of hard copies of subpoenas and the supporting documents.

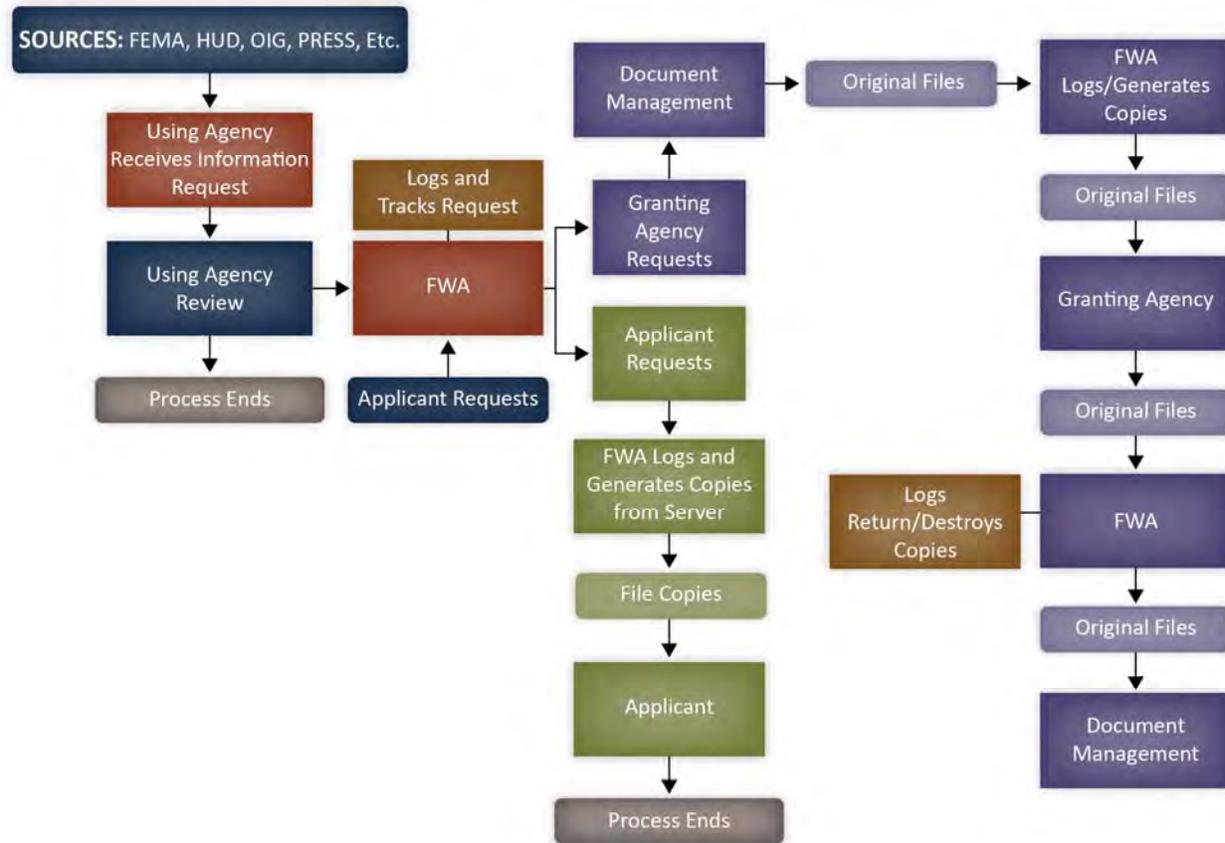


Figure 13: FWA Information Request Process: *Using this process will allow us to respond to any information requests in a timely manner.*

Implementation and Management of Appropriate Compliance Systems and Controls

As discussed in Section 2.2.3, verifying that the processes and controls are in place is the auditor’s main purpose, but IEM believes that to be most effective the auditors need to be integrated into the team, sharing the program’s goals and objectives and working with the accounting staff to achieve those goals. By integrating with the project team and helping to foster an environment where the effective use of internal controls for each transaction makes FWA impossible, or at least harder, to commit.

Below is a partial best practices list of internal controls and policies recommended by OIG that will foster an FWA-free work environment where project staff will follow procedures regarding compliance systems and controls:

- Management reinforces attention to ethical values
- Management specifies needed levels of competence for each position

- Management displays an avoidance of unnecessary risk-taking (e.g. aggressive accounting principles, liberal estimates)
- An organizational structure is in place with clearly defined lines of authority and reporting responsibilities.
- Personnel performance appraisal measures are in place.
- There is adequate comparison of budgets with actual performance and costs; forecasts and prior performance; and regular reconciliation of control records.
- There is sufficient physical security over facilities, assets, records, computers, data files, and cash; existing assets are compared with related records at reasonable intervals.
- There is adequate or appropriate segregation of duties regarding initiation, authorization and recording of transactions, and maintaining custody of assets.
- Accounting systems are adequate to the task of grants management.
- There is internal, ongoing monitoring of controls which are in place; corrective actions are taken, if needed.
- Purchasing systems and procedures are adequate (complete documentation of purchase, payment, receipt; sufficient internal controls as to authorization and segregation of duties).
- Subcontractor records and systems reflect adequate internal controls.
- Management is aware of or displays concern regarding applicable laws and regulations.
- Specific problems and reportable conditions identified by prior audit (A-133 or other audits), oversight, or other means are corrected in a timely manner.
- A mechanism exists to inform management of possible fraud.

The IEM auditing team will not only check to make sure that each step of the process is being done properly, but that the entire organization supports and works toward program objectives.

2.3.5 Development and Implementation of Policies and Procedures to Ensure That Program Requirements Are Met

In addition to the policies and controls listed in Section 2.3.5, the following policies and best practices are recommended by OIG and are equally important to ensuring that program requirements are met, that FWA controls are in place and followed, and that the grant program is in compliance with all federal and State laws:

- Personnel policies demonstrate a commitment to hire competent and trustworthy people. Management by checklist is sometimes substituted for hiring good people, but while a checklist is powerful tool in the hands of a competent team member, it is a weak tool in the hands of a poor team member.
- Policies are in place on information security, computer use and access, verification of data accuracy completeness or authorization of transactions. Data integrity and security are vitally important in a grants management system if FWA is to be prevented.

- The following key controls will also be implemented:
 - Effective method for identifying and recording transactions
 - Able to track time periods during which transactions occur
 - Sufficient description of transactions and to which account they should be allocated, and an easy way to know the status of funds on a timely basis
 - Adequate procedures to prevent duplicate payments or prevent missing payment dates, etc.
- Management must also display a commitment to the identification and management of risks relevant to the preparation of financial statements.

2.3.6 Compliance with Local Regulations and Ordinances

While federal regulations vary between programs, they also share many similarities. This allows auditors to focus on the minor differences and program-specific guidance. Local regulations and ordinances, however, vary widely from county to county and town to town. The IEM Team recommends developing training materials on the appropriate regulations and ordinances pertinent to each program and maintaining those documents on a centralized web-based information portal. IEM will assign a team of subject matter experts to update and maintain these materials as following a disaster such as Sandy new ordinances are often passed (the not in my backyard effect) and others waived to expedite recovery.

The portal will be organized to distinguish between the most recent version of materials and previous versions. While staff will have access to older material for historical reference that may be necessary based on project start dates, the IEM Team will make sure that staff is actively using the most updated versions. The portal will serve as a knowledge management repository, ensuring that the right policy, guidance and tools are always accessible to staff.

In addition, key local regulations and ordinances that require demonstrated compliance will be integrated into the checklists.

2.3.7 Disseminate Information Regarding the Anti-Fraud Hotline

With proper implementation, anti-fraud hotlines can go a long way towards preventing and detecting FWA. It reminds everyone that employees and community stakeholders can serve as the eyes and ears of program managers, providing an added layer of protection for funds designed to rebuild and revitalize our communities.

As mention in Section 2.2.6, the IEM Team believes that all project staff have a role to play in the prevention of FWA. We will encourage and reward staff for reporting any suspicious activity whether or not it turns out to be actionable. Staff will be trained on when to raise a red flag and to whom it should be reported, including use of the Anti-Fraud Hotline.

In addition to raising internal awareness, the IEM Team can assist with the production and dissemination of outreach materials to raise awareness of the Anti-Fraud Hotline for the citizens in the community.

The IEM Team's goal is to ensure that all outreach material provides a clear and consistent message about how to report suspected incidents of FWA.

We understand that a strong and simple graphics approach works best. Our graphics experts will work with public outreach specialists, Applicant Relations personnel, and program analysts to develop brochures and advertisements that support outreach objectives. An example of IEM's past outreach materials is detailed in Figure 14.

The definition of key audiences will inform us how to best reach key audiences. For example, marketing materials can be produced in English, Spanish, Hindi, Mandarin Chinese, Haitian Creole, Portuguese, and other identified languages that will help the IEM Team reach the target audience. Partnerships with these cultural communities also will assist us in disseminating consistent messaging.

2.3.8 Develop Data Management Systems/Programs

The IEM Team will use master's-level statisticians and database administrators to manage the information and data provided by the using agency and program implementation contractor, document the algorithms used in the verification process, and perform a final quality control audit before the information is included in reports.

As discussed in Section 2.2.5, these statisticians are trained in spotting anomalies. With an objective and careful study of the data, using algorithms designed to ferret out unusual or irregular activities, the analysts can identify cases that merit further review. Successful implementation requires two key factors: 1) identifying and collecting the appropriate metadata, and 2) determining what factors are predictive of potential fraud.

The IEM Team can help the using agency determine what metadata to collect on applicants and vendors and design ways of sifting through that data that are both high tech (computer analytics of the data—expensive) and low tech (spreadsheets—inexpensive). Whichever approach is taken, the IEM statisticians will continue to develop new ways of looking at the data, just as those desiring to exploit the grant programs continue to come up with new schemes to avoid detection.

Examples of project transactions that might require further investigation include the following:

- Excessive number and value of payments to a single vendor



Figure 14: Past Promotional Materials Developed by IEM.
IEM developed an entire outreach program to support the recovery from marine debris damages caused by Hurricanes Katrina and Rita. Outreach materials will present a clear message to the community.

- Whole dollar amounts when transactions are based on actual costs
- Payments to unapproved vendors
- Expenditures outside of the allowable project period

The FWA Analytic Outlier report is generated monthly, or upon request by the FWA Manager. This report contains information for all active FWA holds, which enables FWA to review all open cases and files for further information. This report ensures that all cases in the “FWA pipeline” are current and require no further review. As each program nears completion, these reports will become important to programmatic closeout. The IEM Team will produce these reports every four weeks, and produce predictive analyses that can assist in better management of FWA cases.

Data Analytics at Work

In a grant program designed to give rebates to customers for qualified appliance purchases, our auditors analyzed records from the Rebate Fulfillment Center and discovered that cashiers were not always documenting **serial numbers** for these purchases (sometimes just entering “12345”). Serial numbers are required to identify consumers who are returning a purchase after receiving a rebate. We also identified individuals receiving **multiple rebates**. Further investigation led to **arrests** of individuals committing fraud.

2.4 Contracts Providing Similar Services

We are pleased to provide below a list of contracts for similar services performed by the IEM Team. Contracts represent IEM experience unless noted otherwise.

2.4.1 Louisiana DNR ARRA Program Monitoring

| | | | |
|--------------------------|---|------------------------|--|
| Contract Name: | American Recovery and Reinvestment Act (ARRA) Program Monitoring | | |
| Customer | Louisiana Department of Natural Resources (DNR) | Contract Dates: | June 2010–March 2013 |
| Contract Type: | Time & Materials | Budget: | \$1,333,182.26 |
| Reference # 1: | Bob Harper, Undersecretary Louisiana DNR | Reference #2: | Paula Ridgeway, Technology Assessment Division Manager |
| Phone No. # 1: | (225) 342-4540 | Phone No. # 2: | (225) 342-4513 |
| Applicable Pools: | Pool 1 | Pool 2 | Pool 3 |
| Description: | <p>As part of the American Recovery and Reinvestment Act (ARRA) of 2009, the Louisiana Department of Natural Resources (LDNR) was awarded \$71.7 million through the State Energy Program (SEP) Grant. The SEP grant dollars have been allocated toward five programs, including the ENERGY STAR® Appliance Rebate, HERO, Renewable Energy, State Buildings–Lead By Example, and Transportation Efficiency & Alternative Fuels Programs. LDNR also received \$13.1 million for the Energy Efficiency and Conservation Block Grant (EECBG), and an additional Energy Star grant from the Department of Energy (DOE).</p> <p>In order to improve energy efficiency, LDNR has implemented six grant programs funded by these three different DOE grants. Some of the programs are funded by more than one funding source. These programs improve energy efficiency, renewable energy, and alternative fuels transportation for thousands of applicants across the state. LDNR is the grantee and is responsible for the grant programs. Parishes, universities, and homeowners are subgrantees who are implementing projects designed to reduce energy consumption. Generally, these subgrantees hire construction contractors to complete the ARRA-funded projects.</p> | | |

“[IEM staff] are highly responsive, focused on continuous process improvement, and form a true partnership with DNR on every project.”

—Bob Harper, Louisiana DNR

Because these projects are funded with federal dollars under the ARRA, they are subject to all ARRA and federal regulations. This requires compliance with the National Environmental Protection Act, the Historic Preservation Act, the Davis-Bacon Act, and Buy American, among other federal and state regulations.

IEM was awarded the contract to monitor program activities and verify the DOE-required metrics that are reported monthly, quarterly, and annually to the federal government. Program monitoring involves providing assurance to LDNR that all program-related activities are conducted in a way that (1) is in compliance with all relevant laws and regulations, and (2) makes efficient and effective use of the funds to achieve the goals of ARRA. IEM worked closely with LDNR and the program implementation contractor, the Shaw Group, to document the program execution and management processes in place. We then reviewed them for compliance with ARRA and state requirements and for the existence of appropriate financial controls. Finally, we worked with the customer to correct areas of the processes and recommend changes to processes to increase efficiencies and implement adequate controls. We continue to monitor program execution to provide our customer with assurance that the program is being run effectively, efficiently, and according to the requirements and goals of ARRA. Examples of IEM's programmatic support and accomplishments include:

- **Compliance with the Davis-Bacon Act.** Since the 1930s, the Davis-Bacon Act has required all federally funded construction projects (over \$2,000) to pay prevailing wages by location. Among other goals, the David-Bacon Act ensures that contractors bidding on federal construction projects do not lower wages of workers in order to lower their bid. The implementation contractor's proposed processes to ensure individual project compliance with this law were based on an overly strict interpretation of the requirement. This would have resulted in an increased cost of compliance to the State. IEM addressed this with LDNR, verified a different interpretation of the requirement with the Department of Labor, and reduced the costs of Davis-Bacon compliance to the State.
- **Identification and prevention of fraud, waste, and abuse.** The implementation contractor hired a third party to issue debit cards for the State's Energy Star rebate program. IEM reviewed the rebate data to identify cases of potential fraud or inappropriate issuance of rebates. This information was provided to LDNR. IEM then supported the State's Attorney General in its investigations. IEM also supports LDNR as their programs are routinely reviewed by the State's Legislative Auditor.
- **Creating a common operating picture, despite the challenges of disparate systems tracking the same data.** OMB-1512 sets specific reporting requirements for ARRA programs and projects. LDNR programs also must use State IT accounting systems. The implementation contractor uses its own proprietary systems to track much of the same data. IEM has assisted the State in coordinating the data across these systems so that all compliance requirements are met, decision-makers have the most relevant and up-to-date information, and information is consistent across systems. We review LDNR's and the implementation contractor's reports for compliance and correctness, and work to resolve discrepancies before the reports are released. We provide weekly overarching and detailed reporting to LDNR leadership and management.
- **Subgrantee Advisory Services.** A serious challenge throughout the entire program has been the rate of progress that subgrantees can demonstrate on their projects. IEM is providing Advisory Services to provide subgrantees with the required skill sets and tools to calculate their energy savings to show project effectiveness.
- **Defining and documenting the management and grant administration processes** for the implementation contractor and internal LDNR accounting. We documented program implementation processes, and then verified them for compliance with the ARRA regulations and other applicable State and local requirements. We improved processes with an eye towards preventing non-compliance—not relying on inspection to catch problems at the end of the program, when it might be too late to fix them.
- **Ensuring that project expenses are eligible for the ARRA grants.** We have used project site visits to verify that purchased equipment complies with program requirements. Where issues have been discovered, we have worked with LDNR and the subgrantee to identify solutions to bring them back into compliance.

- **Identifying process inefficiencies.** When evaluating LDNR's contractor processes for Department of Labor (DOL) compliance, we found the potential for re-work in their project payroll monitoring processes. Their process required all payrolls to be audited, instead of a sampling of records. In addition, the pay rates were verified against the prevailing DOL rates each time a payroll was submitted, instead of verifying the pay rates in effect at the time of contract. To be compliant with federal regulations, this time-consuming process should have been performed once, and the extra verifications did not provide additional assurance of compliance. We worked with the contractor and the DOL to verify that our understanding of the federal requirements was accurate, and the contractor modified their procedures. This resulted in additional efficiency to the program, allowing additional attention to be spent on other issues.
- **Refining the Quarterly Reporting Process.** IEM helped to refine the quarterly reporting process in a way that increased the accuracy of the reports yet reduced the time required to prepare them. IEM reviewed the initially submitted OMB-1512 reports and found that federal guidance had been interpreted incorrectly for specific elements contained in the reports. After confirming with appropriate federal government personnel that our understanding of the federal reporting guidance was correct, we provided guidance on how to correctly complete the reports and set up the reporting infrastructure that allowed LDNR to gather the reporting information more efficiently.
- **Increasing Process Efficiencies.** The federal government requires that grant funds drawn down be quickly disbursed as payment to recipients. IEM identified points in the drawdown and payment process that can lead to drawn-down funds remaining in the State account longer than the required maximum of three days. IEM worked with DNR to refine the process, not only to bring it into compliance with requirements, but also to ensure that subgrantees were reimbursed in a timely manner. IEM also worked with the customer to improve the accuracy of projections of grant expenditures for the two rebate programs, thereby avoiding having unspent funds left at the end of the performance period.

IEM's ability to foster these improvements resulted from a combination of using personnel with the appropriate skill (i.e., a financial auditor with strong accounting experience) to address the problem, and maintaining open communication among all of the stakeholders, which leads to process improvement. IEM has supported LDNR in managing this effective and productive program since June of 2010. Our expertise in grants management has resulted in real improvements to the processes of both LDNR and the implementation contractor, which have increased the rates of compliance and the efficiencies of the program.

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| Relation To Ability To Complete The Services Described in This Proposal | IEM was hired specifically to ensure that DNR's grant activities were in compliance with state and federal accounting and financial reporting requirements. IEM reviewed accounting, reimbursement, reporting, and other grant-related processes and made recommendations for process improvements and implementation of checks to ensure reporting accuracy. |
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2.4.2 LA OCD Road Home Program Hazard Mitigation Support

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| Contract Name: | LA OCD Road Home Program Hazard Mitigation Support | | |
| Customer | ICF International for LA OCD | Contract Dates: | December 14, 2006– March 31, 2009 |
| Contract Type: | Time & Materials | Budget: | \$4,386,891.54 |
| Reference # 1: | Dolores Acurso | Reference # 1: | Casey Levy |
| Phone No. # 1: | (213) 627-5376 | Phone No. # 2: | (225) 267-2673 |
| Applicable Pools: | Pool 1 | | |
| Description: | In 2006, IEM was awarded a contract by ICF to support the Louisiana Office of | | |

Community Development (OCD) with the execution of the Road Home Program's mitigation efforts. On behalf of the LA OCD, IEM wrote the successful \$1.4 billion grant application that enabled Community Development Block Grant (CDBG) funds to be used as the state match in the Road Home Program. Only the second successful application in history to use the Global Match approach, which allows the application of CDBG funds to the state match, this HMGP grant had the potential to save Louisiana \$490 million.

IEM's Project Manager for the Supplemental Staffing contract was tasked with providing onsite technical assistance to OCD's Housing Manager, helping the State to position itself to maximize the benefits of federal hazard mitigation funding. He worked with OCD, the Louisiana Governor's Office for Homeland Security and Emergency Preparedness (GOHSEP), and FEMA to develop the approaches used to accomplish the Global Match and Global Benefit Cost Analysis used in this unique and largest HMGP Elevation/Pilot Reconstruction application in U.S. history.

This groundbreaking effort called for dozens of trained hazard mitigation specialists to provide information to homeowners interested in the program, and also required administration of grant money awarded to qualifying applicants.

- Within two weeks of the award date, IEM fully staffed the task order requirements and initiated the training program.
- Within three weeks of award, IEM notified the customer that the execution team was fully staffed and trained for deployment.
- IEM deployed trained professionals throughout South Louisiana in support of Louisiana residents.

IEM facilitated the execution of the program by dispatching teams of skilled mitigation counselors to Housing Assistance Centers across south Louisiana. These counselors were trained to provide homeowner applicants with information on the latest building practices for structures in hurricane- and flood-prone areas. This information was vital to the successful rebuilding of their communities.

Later in the program, IEM personnel were asked to staff the Road Home Elevation Technical Support Hotline. The IEM staff supporting this hotline were responsible for working directly with Road Home applicants who were interested in, or had questions about, the Road Home Elevation program. While supporting the Road Home Elevation Technical Support Hotline, IEM mitigation staff also collected Elevation Incentive and HMGP forms and entered the data from them into the Road Home database.

IEM also performed CDBG-specific activities, processing approximately 2,000 homeowner applications. Our personnel conducted evaluations of randomly selected files to ensure compliance with all HUD and CDBG regulations, working directly with applicants to correct discrepancies or collect documentation.

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| Relation To Ability To Complete The Services Described in This Proposal | In this project, IEM demonstrated its knowledge of and experience with federal grant applications, in particular Hazard Mitigation grants. Hazard Mitigation funds may be used in conjunction with PA funds to provide maximum benefit to a New Jersey recovery effort. |
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2.4.3 CSEPPWebCA Web-Based Grants Management Software

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| Contract Name: | CSEPPWebCA Web-Based Grants Management Software | | |
| Customer | Chemical Stockpile Emergency Preparedness Program (CSEPP), FEMA | Contract Dates: | September 2006–December 2011 |
| Contract Type: | Blanket Purchase Agreement; task orders are Time and Materials | Budget: | \$2,253,988 |

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| Reference # 1: | Thomas Warnock | Reference # 1: | James Chestnut |
| Phone No. # 1: | (202) 657-2301 | Phone No. # 2: | (301) 447-1412 |
| Applicable Pools: | Pool 1 | | |
| Description: | <p>IEM developed the process, structure, guidance, and tools to assist states, localities, FEMA Regional offices, and FEMA Headquarters (HQ) in managing the entire cooperative agreement (CA) process for CSEPP. FEMA initially awarded IEM this contract in 2006, and since then, IEM has won several follow-up contracts and continues to support this process today.</p> <p>Cooperative agreements are similar to grants, but typically require more involvement of the grantor in the management of the grant funds. CSEPP funds are provided via CA between the states and FEMA, and managed with CSEPPWebCA (originally called CA Tools), which IEM developed specifically for this project.</p> <p>After working with stakeholders to create functional requirements and design the software, IEM developed a user-friendly software system that integrates FEMA's existing database with capabilities for providing effective automation support for the entire CA process. CSEPPWebCA automates the CA grant application and submission process, as well as the approval of funds via FEMA HQ, processing of grant awards by the FEMA regional offices, quarterly reporting of financial status and performance by the states, and grant closeout. The CSEPPWebCA application minimizes requirements for training and data entry, yet it maintains a consistent framework that supports FEMA application and management protocols for CA grants.</p> | | |
| Relation To Ability To Complete The Services Described in This Proposal | <p>CSEPPWebCA is a national system supporting federal, state, regional, and local organizations in which we deploy a bottom-up technology and support the governance of a user-run system of systems. IEM emergency management experts have designed individual CA templates that have been accepted and used in jurisdictions across the United States. We created a system that supports operational independence in establishing local policies and guidelines. The system also facilitates the replication of best practices.</p> | | |

2.4.4 Louisiana DNR Katrina and Rita Marine Debris Removal Program Support

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| Contract Name: | Katrina and Rita Marine Debris Removal Program (30066 & 30068) | | |
| Customer | Louisiana Department of Natural Resources (DNR) | Contract Dates: | July1, 2008–June 30, 2011 |
| Contract Type: | Time & Materials | Budget: | \$600,000.00 |
| Reference # 1: | Garrett Broussard | Reference # 1: | Karen Y. Lewis |
| Phone No. # 1: | (337) 482-0690 | Phone No. # 2: | (225) 342-4513 |
| Applicable Pools: | Pool 1 | | |
| Description: | <p>IEM has supported the Louisiana Katrina and Rita Marine Debris Program since the Coastal Engineering Division at DNR became involved. The focus of this support has been gathering data and supporting the State's interests in documenting and removing marine debris caused by Hurricanes Katrina and Rita. IEM worked with GOHSEP, the FEMA PA grant program administrator, and DNR, and the Coastal Protection and Restoration Authority (CPRA) to ensure that the State receives the maximum benefit from these recovery activities.</p> <p>A large portion of the debris is being removed by the U.S. Coast Guard (USCG) using FEMA Stafford Act funds under a FEMA Mission Assignment. IEM consolidated information from the State and affected parishes, and provided documentation of debris issues to the USCG and FEMA for consideration. IEM then supported the State in monitoring the USCG and FEMA as they made determinations of Public Assistance program eligibility and USCG mission applicability.</p> | | |

Some debris problems were PA eligible, but not USCG mission applicable. In these cases, IEM supported the appropriate parish or State agency in obtaining a FEMA PA Grant in the form of a Project Worksheet to fund the removal of this debris.

FEMA determined that some debris issues were not eligible for FEMA PA funds, but the State felt that they should be. In these cases, IEM used its PA knowledge and expertise to document the debris and present a compelling case for eligibility.

An example of a success is Bayou Delesaire, which was determined to be non-navigable by FEMA and thus ineligible. IEM worked with the GOHSEP, FEMA, and OCPD to demonstrate that the bayou was indeed navigable. **FEMA reversed their decision.** The Bayou will be cleaned under a PW written to OCPD.

Our attention to detail, diligence, and understanding the FEMA PA grant program ensures that the State receives the full benefit of recovery activities.

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| Relation To Ability To Complete The Services Described in This Proposal | This project demonstrates IEM's ability to work with multiple agencies (state and federal) participating in the FEMA PA program to provide <i>on the ground</i> technical assistance in the execution of activities that were key to remedying debris-related impacts of the storm. |
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2.4.5 Virginia DEM Public Assistance Support

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| Contract Name: | Virginia DEM Public Assistance Support | | |
| Customer | Commonwealth of Virginia Department of Emergency Management (DEM) | Contract Dates: | March 2006–July 2010 |
| Contract Type: | Time & Materials | Budget: | \$1,306,742.66 |
| Reference # 1: | Nelia Dabney | Reference # 1: | Mark Penn |
| Phone No. # 1: | (804) 840-5916 | Phone No. # 2: | (703) 838-4600 |
| Applicable Pools: | Pool 1 | Pool 2 | |
| Description: | <p>Through an equal partnership agreement with James Lee Witt Associates, IEM was tasked to provide onsite support to the Virginia DEM for two different disasters. IEM was contracted to evaluate damages, submit related Project Worksheets for funding, and develop scopes of work to repair damages. IEM also carefully monitored and documented recovery work to justify the federal funding allocated. IEM helped to facilitate this process and worked to minimize unnecessary financial vulnerability of the Commonwealth of Virginia following a disaster.</p> <p>IEM assisted clients with PA and HMGP services relevant to disaster recovery. IEM conducted site visits as an opportunity to discuss and provide guidance on possible development of mitigation projects under the HMGP to complement and leverage PA expenditures to achieve even greater and more comprehensive mitigation solutions. During consultations with applicants on their project needs, our staff used this information, discussed the needs and desires of applicants, and provided expert advice related to mitigation opportunities. IEM staff also helped to integrate identified mitigation priorities and projects into long-term community recovery planning efforts, as required, in order to encourage the integration of risk-reduction activities into the ongoing operations of state and local governments, non-profit organizations, and the private sector.</p> <p>IEM worked closely with FEMA staff to ensure that all inspected damages were documented correctly for the validation of eligible damages during the recovery program. IEM also worked as an advocate for the applicant, and worked closely with the State to resolve any eligibility, funding, or other recovery program issues. IEM provided services to the State and FEMA in order to achieve the maximum amount of revenue</p> | | |

from eligible damages to the State. Our staff also worked to develop and recommend new program policies and protocols, as required, for maximum program flexibility. In our role as contractors, we served as an advocate for both the State and the applicant, and made sure their best interests were represented for maximum funding capability.

IEM was able to achieve several positive outcomes for the State of Virginia. IEM personnel found approximately \$9 million in additional damages for communities near Alexandria, Virginia, and \$50 million for Richmond. IEM helped the State to recoup grantee management funds for these two disasters—funds that were not reimbursed under previous disasters in Virginia. These examples of exceeding the requirements of the contract are typical of the results IEM provides for our clients.

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| Relation To Ability To Complete The Services Described in This Proposal | To be successful in this project required a thorough understanding of the goals of PA and HMGP, as well as a working knowledge of execution of these programs both from the state side and the federal side. IEM will apply this knowledge and understanding to support New Jersey's recovery efforts. |
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2.4.6 LA DNR Program Monitor for Disaster Recovery

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| Contract Name: | LA DNR Program Monitor for Disaster Recovery | | |
| Customer | LDNR/CPRA | Contract Dates: | July 2011–present |
| Contract Type: | Time & Materials | Budget: | \$300,000 |
| Reference # 1: | Gwen Thomas, LDNR Fiscal Officer | Reference # 1: | Janice Lansing, CPRA Chief Financial Officer |
| Phone No. # 1: | (225) 342-4840 | Phone No. # 2: | (225) 342-4698 |
| Applicable Pools: | Pool 1 | Pool 2 | |
| Description: | <p>IEM was awarded a contract to provide the Louisiana Department of Natural Resources (LDNR) and the Coastal Protection and Restoration Authority (CPRA) with accounting services for their Disaster Recovery efforts. The first task order under this contract is called "FEMA Current and Prior Disasters Public Assistance Grants Support" and is for Hurricanes Katrina, Rita, Gustav, Ike, and Isaac.</p> <p>Under this contract, IEM is managing, controlling, and performing the accounting functions related to all prior, current, and future disasters. We are responsible for making sure that grant-funded project documentation and reimbursement requests meet the requirements of the granting agencies. IEM is responsible for close-out and maintenance of all files when projects are completed for audit purposes. Additionally, we act as liaison between the department and the appropriate state and federal agencies.</p> <p>In our efforts to support LDNR, IEM compiles and prepares documents for cost allocation plans as required by federal and other governmental entities. We also prepare reimbursement requests and documentation as it relates to cost reimbursement in accordance with required rules and regulations. With minimal oversight from the State Project Manager, IEM reviews invoices and timesheets to verify compliance with federal and granting agencies' rules and regulations.</p> <p>Our work on this project includes the following:</p> <ul style="list-style-type: none"> ▪ Prepare all required reports in accordance with state and federal guidelines. ▪ Enter documents in the statewide accounting system as necessary. ▪ Write any necessary procedures or policy changes as needed. ▪ Maintain all files associated with each project. ▪ Act as liaison between the department and the appropriate state federal agencies. ▪ Prepare cost allocation plans as required. | | |

- Prepare all reimbursement requests and documentation in accordance with guidelines.
- Audit all invoices and payroll in accordance with state and federal regulations.
- Provide other deliverables as required by state or federal guidelines specific to the disaster.

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| Relation To Ability To Complete The Services Described in This Proposal | This work demonstrates IEM's ability to perform accounting and financial functions while also working with multiple involved agencies to ensure seamless flow of information among the parties. |
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2.4.7 New York State Office of Emergency Management Recovery Support

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| Contract Name: | New York State Office of Emergency Management (NYOEM) Recovery Support | | |
| Customer | NYOEM, as a sub to Adjusters International | Contract Dates: | January 2013–present |
| Contract Type: | Time & Materials | Budget: | \$10M |
| Reference # 1: | John Marini | Reference # 1: | Greg Raab |
| Phone No. # 1: | (315) 797-3035 | Phone No. # 2: | (315) 534-1783 |
| Applicable Pools: | Pool 1 | | |
| Description: | IEM has been providing Public Assistance and Hazard Mitigation Grant Program (HMGP) support to the State of New York through a prime contract held by Adjusters International. This support includes direct staffing support with expertise in all categories of Public Assistance, designing an HMGP solution for NY, and developing their grant application. IEM is also responsible for staffing the HMGP grant once it has been approved to ensure that it is properly executed in a timely and efficient manner. | | |
| Relation To Ability To Complete The Services Described in This Proposal | This work demonstrates that IEM has staff with direct experience in managing PA and HMGP activities, which can be applied to supporting New Jersey efforts in these areas. | | |

2.4.8 Indiana Public Assistance Support

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|--------------------------|--|------------------------|---------------------|
| Contract Name: | Indiana Public Assistance Support | | |
| Customer | State of Indiana | Contract Dates: | July 2008–July 2010 |
| Contract Type: | Time & Materials | Budget: | \$ 254,001.00 |
| Reference # 1: | Arvin Copeland | Reference # 1: | Rosemary Petersen |
| Phone No. # 1: | (317) 233-6507 | Phone No. # 2: | (317) 233-6507 |
| Applicable Pools: | Pool 1 | Pool 2 | |
| Description: | IEM was awarded a contract to assist the State of Indiana with emergency services for its PA activities due to the June floods of 2008, as a partner with James Lee Witt Associates/Global Options Group. Through this contract, IEM assisted State and local governments with expediting the disaster recovery process through seamless coordination and integration. IEM provided ongoing onsite support to the Indiana Department of Homeland Security for flood disasters FEMA-1766-DR-IN and FEMA-1795-DR-IN. An IEM staff member served as Deputy Public Assistance Officer (DPAO), the principle agent for PA operations in Indiana. IEM was contracted to evaluate damages, submit related Project Worksheets for funding, and develop scopes of work to repair damages. IEM also carefully monitored and documented recovery work to justify the federal funding allocated. Our team helped to facilitate this process and worked to minimize unnecessary financial vulnerability of the State of Indiana following a disaster. IEM provided guidance clarification of FEMA policy, and even completed the required research to support applicant efforts to reverse negative FEMA findings. Working in communities with minimally experience in PA and FEMA processes, IEM personnel were able to guide local governments through often-complex federal | | |

regulations and procedures, resulting in a better understanding of their responsibilities during disaster recovery operations.

IEM assisted clients with PA and those parts of the Hazard Mitigation Grant Program (HMGP) relevant to disaster recovery. IEM conducted site visits as an opportunity to discuss and provide guidance on possible development of mitigation projects under the HMGP to complement and leverage PA expenditures, to achieve even greater and more comprehensive mitigation solutions. During consultations with applicants on their project needs, our staff used this information, discussed the needs and desires of applicants, and provided expert advice related to mitigation opportunities. IEM staff also helped to integrate identified mitigation priorities and projects into long-term community recovery planning efforts, as required, in order to encourage the integration of risk-reduction activities into the ongoing operations of State and local governments, non-profit organizations, and the private sector. IEM staff also took part in writing Project Worksheets at the State's request. Because the affected communities had minimal experience with PA and FEMA processes, IEM kept its focus on advocacy for the State and applicants, while promoting a teaming environment with FEMA to work for best possible eligibility, funding, and grants management outcomes.

IEM worked closely with FEMA staff to ensure that all inspected damages were documented correctly for the validation of eligible damages during the recovery program. IEM also worked as an advocate for the applicant, and worked closely with the State to resolve any eligibility, funding, or other recovery program issues. IEM worked with FEMA and the applicants in order to achieve the maximum amount of revenue from eligible damages to the State. Our staff also worked to develop and recommend new program policies and protocols, as required, for maximum program flexibility. In our role as contractors, we served as advocates for both the State and the applicant, and made sure their best interests were represented for maximum funding capability.

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| Relation To Ability To Complete The Services Described in This Proposal | This project demonstrates IEM's ability to assist a state government in recovery efforts and support it in developing policies and procedures specific to FEMA's Public Assistance program. This task also demonstrates IEM's ability to help clients use the Hazard Mitigation Grant Program to address their mitigation needs. |
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2.4.9 FEMA Region II Public Assistance and Planning Support to New York JFO

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| Contract Name: | Public Assistance (PA) and Planning Support to New York Joint Field Office (JFO) | | |
| Customer | FEMA | Contract Dates: | August 14– October 27, 2006 January 17– April 13, 2007 |
| Contract Type: | Time & Materials | Budget: | \$128,566.62 (combined value of both contracts) |
| Reference # 1: | Marianne Jackson | Reference # 1: | Michael Wagner |
| Phone No. # 1: | (917) 579-8667 | Phone No. # 2: | (917) 364-6608 |
| Applicable Pools: | Pool 1 | | |
| Description: | By special request of FEMA, IEM provided onsite experts in planning and PA to the FEMA JFO in Albany, New York. On July 1, 2006, FEMA declared Major Disaster FEMA-1650-DR-NY to supplement state and local recovery efforts in New York State in the region struck by ongoing severe storms and flooding that began on June 26, 2006. Twelve counties were designated for Individual Assistance (IA) and 19 for PA, with hazard mitigation statewide. The resulting operation covered 10,000 square miles, and included an Area Field Office (AFO) and ten PA field locations. By the end of July 2006, there were approximately 275 FEMA employees working in the New York JFO | | |

and other field offices supporting this operation. The Planning Section, one of the four sections in the New York JFO, had a staff of ten. This staff included a number of individuals who would be needed if Region II were impacted by a hurricane, including a disaster reservist from hurricane-prone Puerto Rico. The staff also included several local hires who were receiving on-the-job training.

FEMA quickly realized that in order to ensure continuity of the operation, in accordance with their commitment to the state, they would need contractor support to augment their Planning Section staff with experienced disaster recovery personnel. FEMA called on IEM to assist, based on our prior experience and performance with disaster response and recovery support for Hurricanes Katrina and Rita, as well as our extensive knowledge of FEMA's processes and procedures.

FEMA requested that IEM provide SMEs to help lead recovery efforts. IEM served onsite from August 14 through October 27, 2006, a period of time that included two contract extensions. IEM was in place in the Planning Section and quickly became an integral part of day-to-day activities, and crucial to the success of the mission. Tasks included assisting in the development of supporting documentation for the pending Puerto Rico activation, assisting in the development and maintenance of the Fact Sheet, training local hires on various tasks, and coordinating with other sections of the JFO (e.g., Mitigation, PA, External Affairs). Additionally, IEM developed transition plans, updated the Action Tracker, attended coordination meetings between the Federal Coordinating Officer (FCO) and State Coordinating Officer (SCO); attended Senior Staff meetings; reviewed Situation Reports (SITREPS); and produced the Senior Staff meeting agenda. IEM also acted as a liaison between PA and the Command Staff. IEM developed the method for reporting Project Worksheet status, coordinated with PA staff to obtain needed information, and created status and milestone time projections.

Soon after the initial deployment, IEM received a request for follow-on support to the New York JFO, to support a second disaster declaration, FEMA-1670-DR-NY. This declaration was made to supplement state and local recovery efforts in the area struck by severe storms and flooding that occurred during the period of November 16–17, 2006. Due to this flooding, pending closure of the New York JFO was put on hold, and FEMA had an immediate request to perform the following tasks:

- Develop a study of the PA timelines established for FEMA-1650-DR-NY
- Convene a multi-agency group to discuss timeline implementation for 1650
- Develop a JFO-to-closeout transition plan. No Planning SMEs with strong PA backgrounds were available within the FEMA system, so FEMA again entrusted IEM to assist in this mission.

IEM was tasked with not only closing out the 1650 disaster tasks, but setting up the new 1670 tasks as well. Work performed included assisting FEMA personnel with Excel pivot tables for JFO training programs, closing out disaster 1650 and tracking the remaining high-profile projects, and tracking the disaster 1670 PA management plan milestones and projections. In addition, IEM quickly earned the trust of the FCO and was asked to attend the Senior Staff meetings and troubleshoot PA issues. Day-to-day activities also included general planning section assistance with many short-turnaround tasks. IEM went on to provide similar PA and planning support for FEMA-1692-DR-NY in 2007.

Relation To Ability To Complete The Services Described in This Proposal

This work demonstrates IEM's working knowledge of both the PA program and the larger scope of recovery efforts. It demonstrates that the scope of IEM experience and expertise in recovery efforts extends beyond the intricacies of grant management and into the area of multi-agency recovery from disasters.

2.4.10 Iowa Public Assistance Support

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| Contract Name: | Iowa Public Assistance Support Following June 2008 Floods | | |
| Customer | Iowa Homeland Security and Emergency | Contract Dates: | July 2008–July 2010 |

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| | Management (IHSEM) | | |
| Contract Type: | Time & Materials | Budget: | \$186,726.76 |
| Reference #1: | Dennis Harper | Reference #1: | Dave Miller |
| Phone No. #1: | (515) 281-3231 | Phone No. #2: | (515) 281-3231 |
| Applicable Pools: | Pool 1 | | |
| Description: | <p>In July of 2008, IEM was awarded a contract, in partnership with James Lee Witt Associates/Global Options Group, to assist the State of Iowa with Emergency Services for its Public Assistance activities related to the floods of 2008. IEM assisted local and State governments with expediting the disaster recovery process through seamless coordination and integration. IEM provided onsite support to IHSEM for disaster number FEMA-1763-DR-IA.</p> <p>IEM was contracted to evaluate damages, submit related Project Worksheets for funding, and develop scopes of work to repair damages. IEM also carefully monitored and documented recovery work to justify the federal funding allocated, and helped to facilitate this process and worked to minimize the State's unnecessary post-disaster financial vulnerability.</p> <p>IEM assisted clients with PA and those parts of HMGP relevant to disaster recovery. IEM conducted site visits as an opportunity to discuss and provide guidance on possible development of mitigation projects under the HMGP to complement and leverage PA expenditures, to achieve even greater and more comprehensive mitigation solutions. IEM staff also helped to integrate identified mitigation priorities and projects into long-term community recovery planning efforts, as required, in order to encourage the integration of risk-reduction activities into the ongoing operations of local and state governments, non-profit organizations, and the private sector.</p> | | |
| Relation To Ability To Complete The Services Described in This Proposal | <p>This project demonstrates IEM's ability to evaluate damages and submit the proper project documentation. This project also demonstrates IEM's ability to integrate mitigation projects into future community recovery planning activities.</p> | | |

2.4.11 Louisiana OCD Small Rentals CDBG Program Support

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|--------------------------|---|------------------------|-----------------------|
| Contract Name: | Small Rentals CDBG Program Support | | |
| Customer | Louisiana OCD (through a subcontract with ACS State and Local Solutions) | Contract Dates: | March 2009–March 2012 |
| Contract Type: | Time & Materials | Budget: | \$7,285,000 |
| Reference #1: | Ernie DeHoyos | Reference #1: | Mark Maier |
| Phone No. #1: | (210) 479-5581 | Phone No. #2: | (225) 330-0535 |
| Applicable Pools: | Pool 1 | | Pool 3 |
| Description: | <p>In June 2006, the State of Louisiana OCD implemented the Road Home Program. As part of the program, the CDBG-funded Small Rental Property Program was established, with the goal of assisting small property owners with the repair of their storm-damaged rental properties. In turn, the property owners agreed to offer these properties at affordable rents.</p> <p>As part of a team, IEM was awarded a contract to provide technical support to the Small Rental Property Program. IEM was tasked with providing personnel to manage and operate the pre-closing, compliance and monitoring, and anti-fraud departments of the program. While providing staffing support to this program, IEM was instrumental in assisting in the design of the Initiative Option, which allowed applicants to receive funding prior to construction. IEM continued to be involved in all phases of the work up to and including closing activities.</p> <p>IEM personnel were responsible for investigating allegations of fraud and reporting findings to Housing</p> | | |

and Urban Development's Office of Inspector General for possible criminal prosecution, as well as for tracking applicant data to ensure that there was no duplicative funding. As part of this process, we also monitored adherence to the Urban Redevelopment Act, ensuring that displaced tenants had safe, sanitary living conditions during the rehabilitation process. The IEM FWA staff manually review files as an additional measure to avoid improper disbursement of funds.

In the pre-closing stage, files were reviewed and completed packages were forwarded to OCD-DRU for approval. At this stage, IEM personnel monitored files and communicated appropriately with the applicants to address concerns, enabling applicants to move through the process in a timely fashion.

During the compliance and monitoring phase, IEM personnel followed up with applicants, including making site visits, to ensure adherence to all HUD and CDBG guidelines. This was a key contribution, as documentation of quality housing and satisfied tenants would indicate a successful program, and the excellent communication and people skills of IEM personnel have contributed to its success.

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| Relation To Ability To Complete The Services Described in This Proposal | This project demonstrates IEM's experience and expertise with the CDGB program and well as its ability to perform monitoring and anti-fraud activities such as those requires under Pool 3. |
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2.4.12 LA CDBG Engineering Support

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| Contract Name: | LA OCD Community Development Block Grant and Infrastructure Management | | |
| Customer | Louisiana OCD (subcontractor to Waggoner Engineering) | Contract Dates: | May–October 2008 |
| Contract Type: | Time & Materials | Budget: | \$116,330 |
| Reference #1: | Lois Copeland | Reference #1: | Joe Tuccio, VP, Waggoner |
| Phone No. #1: | (504) 528-7128 | Phone No. #2: | (601)355-9526 |
| Applicable Pools: | Pool 1 | | |
| Description: | <p>As the contractor responsible for implementing and administering Community Development Block Grant funds within Jefferson Parish, IEM was responsible for managing a \$15 million budget and providing a range of administrative services to the Louisiana Office of Community Development.</p> <p>The IEM Team assisted in the development of the Execution Plan, which prescribed the management of the project and financial documentation during the effort. Knowing the importance of a transparent process, the IEM Team established a reporting system that provided visibility on task progress and associated costs.</p> <p>IEM analyzed and compiled data in the State's OCD handbook and related materials to assist with the development of an internal procedure manual. IEM also helped to create a strong training program that informed OCD and contractor personnel about administering CDBG funds. Throughout the project, IEM was responsible for compliance with federal HUD regulations and policies governing local government policies for Jefferson Parish.</p> <p>Once the CDBG program was implemented, we assisted grant recipients throughout the entire process. IEM analyzed and compiled post-Katrina assessments for all Community Development–related issues within Jefferson Parish, providing us with unique visibility on the challenges faced by hurricane-stricken residents. We assisted grant recipients throughout the entire process, helping recipients to select appropriate projects, submitting the application, coordinating bid advertisements, and ensuring program compliance. Once the projects were complete, we prepared and submitted the final wage report and the project close-out package, again ensuring that the projects were compliant with program requirements.</p> <p>Showing a willingness to do whatever it takes to contribute to the project and communicate with the</p> | | |

applicants participating in our customer's program, and at the request of OCD, IEM also assisted in web page development.

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| Relation To Ability To Complete The Services Described in This Proposal | IEM was responsible for compliance with federal HUD regulations and policies governing local parish government policies for Jefferson Parish. We assisted grant recipients throughout the entire process, helping recipients to select appropriate projects, submitting the application, coordinating bid advertisements, and ensuring program compliance. Once the projects were complete, we prepared and submitted the final wage report and project close-out package, again ensuring that the projects were compliant with program requirements. This experience will help us to do the same to assist the State of New Jersey. |
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2.4.13 DHS Performance Measures Development and Implementation

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| Contract Name: | DHS Performance Measures Development and Implementation | | |
| Customer | DHS | Contract Dates: | September 2010– September 2011 September 2011– September 2012 |
| Contract Type: | Firm Fixed Price | Budget: | \$609,351 (both contracts) |
| Reference # 1: | Paula Nusbaum | Reference # 1: | Rachel Cook |
| Phone No. # 1: | (202) 447-0907 | Phone No. # 2: | (202) 447-5464 |
| Applicable Pools: | Pool 1 | | Pool 3 |
| Description: | <p>Since 2010, IEM has developed and implemented strategic, management, and operational performance measures for a broad range of offices and components within DHS. Our client is based in DHS's Management Directorate, whose mission is to ensure the efficient management of a \$60 billion budget which is shared by components that include FEMA, Customs and Border Protection, the Coast Guard, Immigration and Customs Enforcement, the Transportation Security Administration, and Citizenship and Immigration Services, to name a few. We support DHS in measuring the results of the varied and complex activities of these components by developing and implementing performance measures, as well as reporting agency-wide strategic and management progress in meeting DHS's goals.</p> <p>IEM has worked with DHS to design the quarterly performance review process mandated by the Government Performance and Results Modernization Act. This process sought to integrate the broad range of component and office leadership into a set of meetings with the Deputy Secretary to review progress toward achieving Act goals and objectives, as well as the agency's High Priority Performance Goals.</p> <p>Our approach to performance measurement is to measure program results in terms of outcomes rather than outputs, but with a focus on intermediate outcomes, which provide leading indicators of the ultimate outcomes. IEM's internally developed Outcome Pathways Model—a framework for evaluating existing measures and developing new ones—was used in this project for strategic analysis and performance measure development, evaluation, and reporting. Our design took into account the varied nature of the security bureaus and the governance groups that were set up to coordinate security policy and activity in DHS.</p> <p>We provided data analytic training to the 30 members of performance team at the DHS Office of Program Analysis and Evaluation. This training was designed to improve the performance staff's ability to turn raw</p> | | |

data into useful information for decision-making. Our training addressed the practical application of the basic statistics, experimental methods and sampling, confidence intervals and hypothesis testing, and regression analysis and forecasting.

IEM is also contracted to provide strategic analysis on how DHS can integrate program performance measures into the evaluation of Senior Executive Staff and decision-making at the operational level.

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| Relation To Ability To Complete The Services Described in This Proposal | IEM's purpose in this work was to help DHS achieve maximum performance in its programs. To that end, IEM developed performance measures that allow DHS to assess its programs. The work IEM performed demonstrates its ability to support process improvement to raise process efficiencies, which is key to maintaining customer faith in the services provided by the government. |
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2.4.14 FEMA Program Coordination & Planning Management Support Services (ATCS)

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|--------------------------|---|------------------------|-------------------------|
| Contract Name: | Program Coordination & Planning Management Support Services | | |
| Customer | FEMA, Planning Branch, Recovery Directorate | Contract Dates: | August 2009–August 2014 |
| Contract Type: | IDIQ, with mixed FFP/T&M task orders | Budget: | \$45 million |
| Reference # 1: | Roy Dunn | Reference # 2: | Anna Necheles |
| Phone No. # 1: | (202) 646-2673 | Phone No. # 2: | (202) 646-2946 |
| Applicable Pools: | Pool 1 | Pool 2 | |
| Description: | <p>ATCS is the managing partner of the Coordination and Planning Partners (CaPP) joint venture which holds a five-year, \$45 million Management Support Services contract with the Planning Branch (PB) of the FEMA Recovery Directorate. ATCS works directly with the Branch Director and his management staff overseeing the day-to-day execution and long-term strategic improvement of its five program areas, including Program Evaluation and Coordination; Disaster Assistance and Recovery Operations Planning; Long-term Community Recovery (LTCR)/Post-Disaster Community Planning; Disaster Assistance Training; and Disaster Assistance Continuity of Operations.</p> <p>ATCS has managed and supported the following key projects:</p> <ul style="list-style-type: none"> ▪ Long-Term Recovery Mission Supports between 2010 and present ▪ Individual Assistance Program Focus Group Survey and Validation ▪ National Disaster Recovery Framework (NDRF) ▪ Long-Term Community Recovery (LTCR) Program Development ▪ Presidential Disaster Declaration Tool Development & Training ▪ Joint Field Office Rightsizing ▪ Federal Coordinating Officer Professional Development ▪ Contingency Planning for IND, RDD, anthrax, and pandemic flu ▪ Field/Region-based LTCR support including FEMA LTCR operations in TN, ND, MT, IA, and KY, which constituted all LTCR missions in 2010. <p>Key components of ATCS's program and project management support services include Managing Contractor Resources & Performance; Developing Long-Term Recovery Division Program & Capabilities; and Improving Program Execution and Efficiency.</p> <p>Managing Contractor Resources & Performance</p> <ul style="list-style-type: none"> ▪ As the managing partner of a joint venture with AECOM, manages the JV with AECOM and nine other | | |

large, mid-size and small business firms, which include PricewaterhouseCoopers, IEM, Hagerty, Bullock & Haddow, IBTS, CONOP, and HumanTech.

- Helps the FEMA PB management team to identify and deliver needed contractor support that includes management consultants, program analysts, emergency management subject matter experts, recovery planners, architects, engineers, training designers, human resource developers, meeting facilitators, event organizers, communication specialists, and project managers, among others.
- Oversees readiness management, which includes recruitment, training, retention, communication, deployment, and administration of surge technical assistance staff to support FEMA long-term recovery operations in the nation and U.S. territories outside the CONUS.
- Supports the FEMA PB management in monitoring overall contractor performance and costs against established priorities and milestones, via program management and earned-value management techniques, and communicates through weekly project meetings and monthly contractor status reports.

Developing Long-Term Recovery Division Program & Capabilities

- ATCS supports PB Division in its strategic planning, which includes development and determination of annual operational objectives, milestones, budgets, and human resource needs.
- Develops management training and exercises for PB managers that meet Emergency Management Institute and FEMA requirements, in addition to providing PB managerial staff with on-site, in-person management consultancy.
- Coordinates human resourcing and credentialing requirements planning that led to the agency-wide approval of a PB federal recovery assistance cadre for Long-term Community Recovery and Post-Disaster Community Planning.
- Manages identification and deployment of technical resources needed to supplement and strengthen each of the PB five program areas' technical capacity and capability.
- Plans and organizes PB's annual conference on long-term disaster recovery for promoting staff development, interagency support, and broader public understanding of the program.

Improving Program Execution and Efficiency

- Develops tools, job aids, and other documentations to improve efficiency and effectiveness of PB management and delivery of programs for disaster missions in the field: e.g., field manager guide, field operational manual, needs assessment tool, and resource deployment matrix.
- Provides management support in field operations: e.g., setting up field M&A cells to coordinate deployment and allocation of contractor technical staff, and deploying experienced technical leads and project managers to help expand FEMA field management capacity.
- Plans, organizes, and facilitates after-action reviews with stakeholders and staff to review mission performance and operational efficiency, and identify and incorporate for future activities lessons learned.

Under this contract, ATCS continues to support a variety of task orders. These task orders can be divided into two general categories: HQ or national-level planning support, and Field or Region-based Long-Term Community Recovery support.

ATCS' work in LTR missions has been recognized and awarded by both governmental and professional organizations for recovery and planning.

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| Relation To Ability To Complete The Services Described in This Proposal | This work demonstrates ATCS's expertise and experience in program management and program and process execution and improvement, and significant experience supporting long-term recovery similar to that going on in the state of New Jersey. |
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2.4.15 NJDOT Rt. 46 Bridge Construction Claim Dispute Support (DSW)

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| Contract Name: | State of New Jersey Department of Transportation Rt. 46 Bridge Construction Claim Dispute Support | | |
| Customer | State of New Jersey Department of Transportation (NJDOT) | Contract Dates: | July 2010– October 2011 |
| Contract Type: | Firm Fixed Price | Budget: | \$50,000 |
| Reference # 1: | Michael DiPento | Reference # 1: | Ronald Parisi |
| Phone No. # 1: | (609) 530-5517 | Phone No. # 2: | (973) 800-8821 |
| Applicable Pools: | | | Pool 3 |
| Description: | <p>To support the State of New Jersey DOT in this bridge construction claim dispute, DSW provided financial analysis; investigated labor costs, classification, and existence; and calculated excessive billings by the contractor during highway and bridge construction. DSW's responsibilities included the following services:</p> <ul style="list-style-type: none"> ▪ Performing the field exam ▪ Providing document abstraction, organization, and review ▪ Performing job cost analysis ▪ Performing contractor billing analysis ▪ Calculating overages ▪ Holding conferences with the contractor regarding accounting deficiencies and errors ▪ Presenting findings | | |
| Relation To Ability To Complete The Services Described in This Proposal | This experience demonstrates DSW's ability to investigate and report on the billings of contractors that will be funded by the federal dollars provided for Hurricane Sandy disaster recovery. | | |

2.4.16 The Bennett Company vs. the State of New Jersey Elizabeth Raised Playground Litigation Support (DSW)

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| Contract Name: | The Bennett Company vs. the State of New Jersey Elizabeth Raised Playground Litigation Support | | |
| Customer | State of New Jersey School Construction Corporation | Contract Dates: | January–December 2008 |
| Contract Type: | Firm Fixed Price | Budget: | \$20,000 |
| Reference # 1: | Sudha V. Raja, Esq. | Reference # 1: | Ronald Parisi |
| Phone No. # 1: | (609) 777-4866 | Phone No. # 2: | (973) 800-8821 |
| Applicable Pools: | | | Pool 3 |
| Description: | <p>DSW provided financial analysis and litigation support services to the State of New Jersey School Construction Corporation regarding playground construction. DSW's responsibilities included discovery, document retrieval, organization and review, job cost analysis, verification of contractor claims, assisting counsel with document requests, preparation of expert report, analysis of plaintiff's expert report, drafting of questions for deposition, assistance with mediation preparation, mediation attendance, consultation, and negotiation of settlement.</p> | | |
| Relation To Ability To Complete The Services Described in This Proposal | Long-term construction projects lead to change orders, miscommunication, loss of oversight, excessive billings, delays, and productivity impacts—and too often, damage claims for work not even performed or performed below standards. | | |

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| | The services rendered under this project were rendered after the fact; if such services had been rendered during the project in the form of integrity monitoring, the excessive damage claims could have been averted. This experience can be applied to the State of New Jersey's recovery projects while they are still in progress, in order to avert the waste of federal funds before it happens. |
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3.0 Management Overview

Five months have passed since Hurricane Sandy made landfall on the New Jersey coast on October 29, 2012. While the initial rush of interest in Sandy has faded, the hard work of recovering from one of the costliest disasters in U.S. history is just beginning. With an estimated **\$30 billion plus in damages and 346,000 homes damaged or destroyed**, it will be many years before local residents and businesses fully recover from the storm that formed from a tropical wave on October 22 and dissipated on October 31. As families and businesses rebuild and whole communities begin to recover, the State of New Jersey, its using agencies, and a host contractors and vendors will play a vital role in reviving and strengthening our nation's eleventh-most populous state, one that has traditionally contributed much more to the federal coffers than it has ever asked in return.

With federal grant dollars in the billions, many using agencies will receive five or ten times their normal annual budgets to fund recovery programs. The influx of funds is a welcome source of relief, but it is incumbent upon the recipients to be good stewards of the taxpayer's money. Successful grant programs will have measurable outcomes that clearly demonstrate that the program goals were met. Processes and procedures that have been effective tools to manage smaller budgets may need to be modified to effectively administer and account for the proper expenditure of these funds. And, equally important, expenditures must be scrutinized to ensure that the grant dollars are put to their intended purpose without duplication of assistance or significant amounts of fraud, waste, or abuse. The three Pools reflect these needs, and the IEM Team is prepared to offer support for all three.

Using IEM's pioneering performance outcomes framework, the IEM Team is focused on achieving specific outcomes for New Jersey and the using agencies:

- **Keep the strong elements of the using agency's current and past programs**, as well as identifying the elements of similar programs that can be done better and more efficiently. (Pool 1)
- **Reduce costs** of project management, produce **more progress and results**, and **reduce delays** for applicants. (Pool 2)
- Create high-quality processes so that **projects can efficiently move through the program** and be turned into closed-out projects. (Pools 1 and 2)
- Maintain **high ethical standards** in all project operations. (Pool 3)

The contractors selected to assist New Jersey in this mission must be able to design programs that produce results—efficiently and effectively. IEM's core philosophy and nearly 28 years of experience are centered on **producing meaningful results for customers**—not just producing deliverables and meeting minimum contract requirements. The IEM Team's special emphasis on **performance management** and **quality** will bring a successful conclusion to the various grant programs.

IEM: A Strong Partner with New Jersey

IEM has developed strong, established relationships in New Jersey's emergency management community, including many of the potential using agencies for this contract. IEM has been a strong partner with New Jersey, beginning in 2005 with a project to support emergency preparedness for the New Jersey Transit Corporation and continuing through today with an active contract with NJ OEM to provide Emergency Operations Center (EOC) Planning and Training Support and with NJ Office of Homeland Security and Preparedness (OHS&P) for Statewide Exercise Services. Past New Jersey projects have provided IEM with experience working with the New Jersey State Emergency Operations Plan (EOP) and its appendices, and we have direct experience integrating the State EOP into several State catastrophic planning initiatives. Through a contract with NJ OHS&P, IEM completed work on EOPs for 14 non-Urban Area Security Initiative (UASI) counties. This work—along with our experience in New Jersey working on Continuity of Operations/Continuity of Government (COOP/COG) planning for the Executive Branch, State-level agencies, and 21 counties; the NJ Transit Corporation EOP; the New Jersey portion of the DHS Nationwide Plan Review; the initial Chemical Sector Comprehensive Review program in northern and southern New Jersey; and planning for the Port Authority of New York and New Jersey—demonstrates IEM's long-term commitment to supporting the State of New Jersey in reducing risk and improving the lives of its people.

The IEM Team pledges to assist in the development and implementation of aggressive **performance metrics**. Over the course of IEM's history, we have developed a proven, razor-sharp focus on getting results in shortened timeframes. We accomplish this through development of **appropriate, quantifiable goals** that are aligned with the using agency's overall goals and outcomes for the program. Each functional area will own its own performance goals and be **accountable** for them.

Our insistence on building quality into every step of the process will help to **speed the closeout** of the various programs and address the delays and associated cost overruns that plague similar programs.

Closely related to quality is good project design. **Good results come from good design**, and this applies to people-centered service programs and projects as much as it does to technologies. Our program design experts will work closely with our Project Managers to ensure that we make the most efficient use of available processes, personnel, and resources to achieve each using agency's desired outcomes. In this case, the only results that matter are building stronger, more resilient communities in New Jersey.

Progress toward that goal has already been made. IEM has put in place a management team headed by Madhu Beriwal to give direct corporate oversight to the contract and to ensure that company resources are available to support the project teams. Reporting to Ms. Beriwal are three Program Managers (discussed in Section 5.1), one assigned to each of the three Pools, who will respond to task order requests and put together task order teams. Each task order team will be

assigned a Project Manager who will be responsible for working with the using agency to understand and meet the agency's needs.

To supplement our corporate resources, IEM has assembled a team of strong business partners who can provide New Jersey with quality and quantity of expertise across a wide range of knowledge areas to achieve program goals (discussed in the Introduction to this technical approach).

The IEM Team has also populated a pool of individuals who have the experience and drive to support the using agencies as managers, program consultants, auditors, subject matter experts, accountants, engineers, and more. (See Section 5.2 and Appendix A.)

Task Order Request Management

In addition, the IEM Team has adapted a mature and highly successful method for responding to task order requests from the using agencies. Originally developed for IEM's participation in a statewide omnibus IT services contract, the process shown in Figure 15 has been refined through successful implementations for ID/IQ contracts for state and federal customers over the past 12 years.



Figure 15: IEM's Agile Task Order Response Process. *The task order response workflow delivers the best solution in as little as five days, while meeting the customer's quality expectations. The IEM Team Program Managers will use SMEs to vet each solution's technical merits and to provide a final review to verify accuracy.*

Task Order Evaluation

In a high-paced, results-driven environment, IEM builds teams, develops and articulates solutions that meet client goals, and delivers quality proposals in compressed timeframes.

As part of our Day 1 process, the IEM Program Manager for the appropriate Pool will determine if anyone on the Team has a conflict of interest that would result in a no-bid decision. In the event that there is no conflict of interest, the process provides us with a framework to draw on the strength of our Team to develop detailed solutions in just five days (as shown in Figure 15) while still giving us the flexibility to quickly respond to multiple, frequent short-suspense requests for proposals. As specified in Section 1.4 of the RFP, all task order proposals will include a detailed budget, a contract schedule, a deliverable items list, a chart showing person-hour and/or labor category mix, and a detailed list of all disaster recovery engagements.

Once a task order has been awarded, the IEM Team will use IEM's Task Management Process (TMP) for all of our projects to develop, design, execute, and closeout our work. The TMP, used

on hundreds of successful federal projects, is specifically designed to reduce risk while controlling the cost of project execution. IEM's TMP is described in detail in Section 4.0.

High Standard of Ethics

Another key aspect of our approach is to provide **required mandatory ethics training** to all program personnel assigned to execute a task order. This training will ensure adherence to IEM codes of conduct and compliance with regulations. IEM will encourage reporting of any perceived ethics violations to the Program Manager.

Execution of Task Orders

While the tasks to be executed will vary, IEM's overall technical approach will not. Whenever possible, IEM will send in a small core team to discuss with the using agency our understanding of the task, the level of effort needed to execute efficiently, the skills required of the staff, and where staff need to be placed. Then the IEM Team will supply the right people with the right expertise to integrate with the using agency's staff to execute the task. The Program Manager will ensure that the IEM Team incorporates the following guidelines:

- Measures success by outcomes.
- Streamlines processes where possible.
- Improves processes continually.
- Integrates QA/QC throughout the process.

The Program Manager will also monitor the staffing levels on each project and suggest increases or reduction in staff. The IEM Team is committed to getting in, accomplishing our tasks, and getting out when the task is done. More about our approach to specific tasks can be found in the discussions of Pools 1–3 in Sections 2.1–2.3.

4.0 Contract Management

As with the other projects IEM has performed in New Jersey, IEM has assigned an experienced team of senior managers to oversee this contract and ensure that it meets all customer objectives and requirements. Each Pool will be led by a Program Manager—a senior IEM executive with special expertise in that subject area.

Upon receipt of a task order, based on careful assessment of the customer's needs, the Program Manager for that Pool will assign a Project Manager, Task Lead, and other resources from the IEM Team to the task order. The IEM Task Lead provides day-to-day technical leadership to the team and serves as a deputy to the Project Manager. The formation of the task order team may take place during the development of the task order proposal.)

Upon award, this team will manage, control, and supervise the task order in accordance with IEM's proven Task Management Process (TMP), using the suite of management tools our firm has developed over time to support projects and achieve client outcomes.

During task execution, in order to streamline communications and reduce layers, the Contract Manager from the State or the using agency will normally interface directly with the IEM Team Project Manager and Task Lead (see Figure 16). However, the IEM Team Program Manager will always be available to meet with the client representative upon request, to serve as an alternate feedback loop with the task order team for issue resolution, and to intervene with corporate-level input, redirection, or additional resources as necessary to ensure project success.

A schedule of weekly and monthly status meetings or project reports will be determined in dialogue with the customer at the outset of the project. These will normally take place between the customer and the IEM Team Project Manager and Task Lead. The IEM Team Program Manager will monitor and review project status and may participate in critical project milestone meetings (i.e., kick-off, closeout, etc.) or as otherwise requested by the customer.

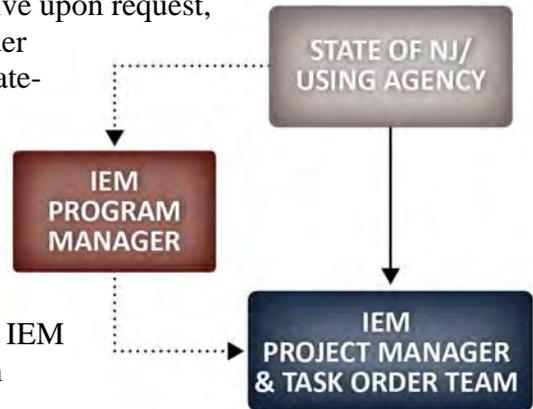


Figure 16: Project Team Interface. To streamline communications, the customer contact will routinely interface directly with the IEM Project Manager, although the IEM Program Manager will continuously monitor progress and will always be available to meet with the State upon request.

IEM’s Task Management Process

The IEM TMP has been refined through continuous process improvement to the point where quality is inherent in all tasks. Key elements of the TMP are described below and illustrated in Figure 17.

- **Formal task start-up activities** include detailed understanding of legal, regulatory, and stakeholder requirements and identification and analysis of stakeholder interests.
- **Initial and detailed design** includes detailed reviews by task-level and senior managers and results in a formal project plan that is reviewed and approved by the customer.
- **Implementation activities** focus on completing the individual project tasks. Project tracking continues in the form of in-process reviews (IPRs).
- **Structured after-action activities** represent a real-time feedback loop to apply lessons learned to current and future tasks.

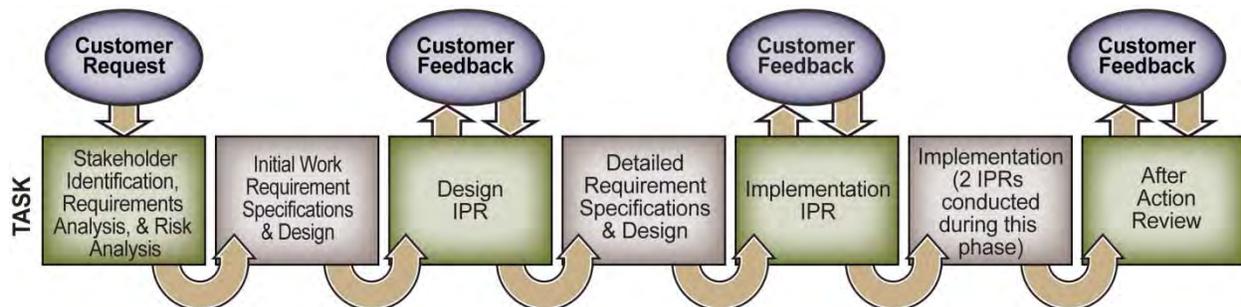


Figure 17: IEM’s Task Management Process Framework. The TMP ensures that we are continually seeking and responding to customer feedback throughout the project cycle.

One of the principal QC metrics that we use in all IEM projects is strict adherence to the TMP. Experience shows this as a key factor in determining the quality of the final product or service.

4.1 Project Monitoring and Tracking

The basis for successful project tracking is comprehensive and documented project planning. For each project, the IEM Team Project Manager will establish a project plan comprised of subsidiary planning documents such as a cost management plan, a schedule with major milestones, and a resource plan. In addition, the IEM Team Project Manager (in dialogue with the Program Manager) will establish key performance measures that are monitored throughout a project's life cycle. Additional milestones or performance measures can be added at the request of the using agency.

Once the project plan has been approved by the using agency, the work breakdown structure (WBS) used during the initial costing is revised if necessary. The WBS includes all work to be completed and captures all deliverables. Breaking down the work tasks in this manner ensures that actual performance experiences can be rapidly cascaded to develop realistic estimates of actual performance, costs, and schedules. **These detailed project plans also show where applications of process improvements, personnel re-assignments, and technology advancements can yield substantial improvements in performance, lower costs, and improve total completion times for tasks.**

Quality Assurance

The IEM Team Program Manager charges each task order Project Manager and Task Lead with quality assurance (QA). This team is ultimately responsible for ensuring that the using agency is satisfied with the services and products provided. Experience has shown us that meeting or exceeding individual performance measures does not ensure customer satisfaction. By defining project objectives and expected outcomes during planning and including discussion of them in multiple IPRs throughout the project life-cycle, **we ensure that the customer has sufficient insight into deliverables and services while minimizing the oversight burden.**

Process of Quality Assurance Assessment

The ultimate purpose of the QA process is to ensure a consistent level of quality of all products and leverage knowledge gained from past projects to improve the quality of future products. Thus, the QA process defines a mechanism for identifying non-compliance issues in an objective and independent manner, and for devising and executing appropriate actions to ensure these non-compliance issues do not reoccur in future projects.

Process non-compliance issues are tracked in an issue-tracking system and reviewed regularly by the IEM Team Project Manager, where decisions and action plans for addressing these issues are made.

Quality Control

One key component of the project plan is the Quality Control Plan (QCP). IEM's process-based approach to QC informs all of our work. The QCP ensures that only fully compliant services and deliverables meeting project requirements are provided. Performance objectives will be regularly monitored, and the QCP will be evaluated and revised as required.

Application of the QCP ensures successful completion of both individual and multiple concurrent task orders within constraints of schedule and budget. The IEM Team Project

Benefits of IEM's TMP

- On-time delivery within budget
- Consistent quality across tasks
- Transparent metrics tracking
- Flexibility to respond to changes

Manager, in coordination with the using agency, will determine the initial relevant quality standards and ensure that our QC policies are understood, implemented, and maintained by the IEM Team.

The IEM Team’s performance shall be evaluated by assessing the key deliverables and services. **The rating elements and acceptable standards of performance for the key deliverables are Quality of Performance, Timeliness, Cost, and Internal QC.**

Corrective and Preventive Actions

Corrective actions will be taken if a quality discrepancy is identified. Such discrepancies fall into one of two categories: contractor-identified discrepancies (CIDs) or Government-identified discrepancies (GIDs). A CID occurs when the contractor detects a discrepancy during routine work or through the application of the contractor’s QCP. When a CID is identified, IEM will document and report the discrepancy to the Contracting Officer’s Technical Representative (COTR) and identify the corrective actions being taken to resolve the discrepancy. **The IEM Team Project Manager’s process is optimized to quickly resolve any issues in accordance with clients’ requirements** (see Figure 18).

In cases where discrepancies in Team products have been identified by end users or customers other than the Government, such discrepancies will be reported to the Government as CIDs. We will then apply the same corrective action process.

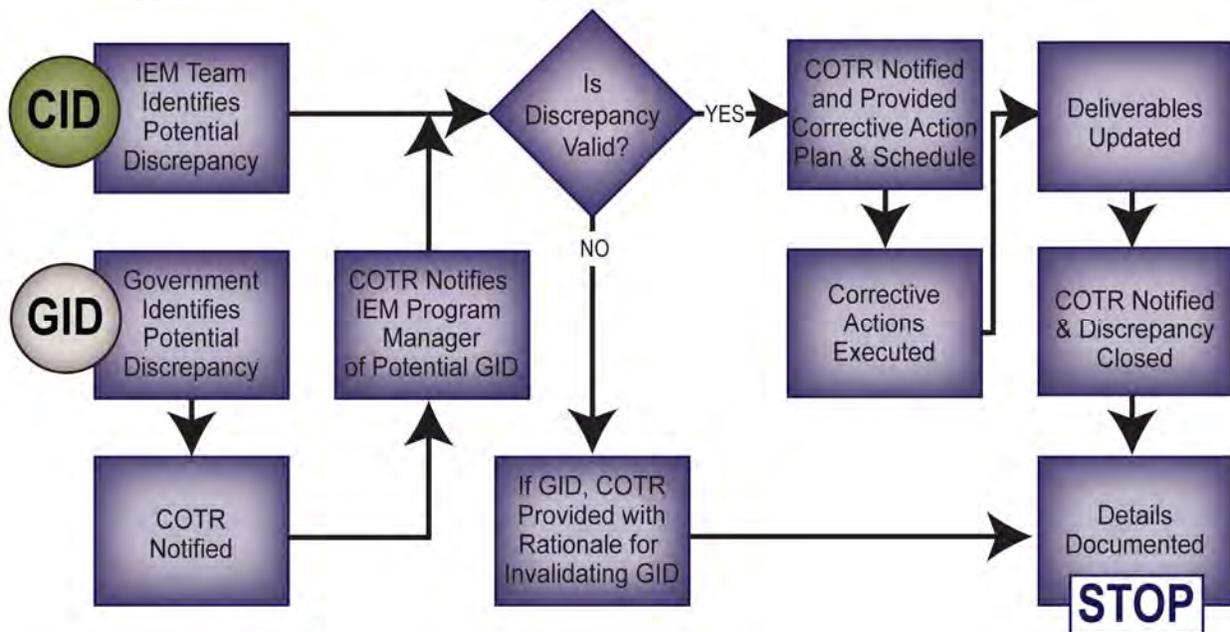


Figure 18: IEM's QC Corrective Action Process. *Our proven QC process ensures that discrepancies are identified and effective corrections are taken and documented.*

The IEM Team Project Manager will proactively audit performance and track issues of the IEM Team and, in dialogue with the IEM Team Program Manager, will follow a formal process for issue resolution. Substandard performance will be tracked until resolved by training or replacing capabilities. Penalties for unresolved performance issues are stipulated in the IEM Teaming

Agreements and enforced if escalated to a contractual breach. Status of any significant risks will be immediately reported to the using agency to ensure that operational awareness is maintained.

Project Reporting

The IEM Team Project Manager will ensure that all project reports described in of the RFP are submitted in a timely manner until the end of each task order period of performance. These reports will be submitted to the using agency and COTR to facilitate effective oversight, and will allow the principals to monitor progress of the project and provide regular feedback to ensure that the project stays on track and aligns with the needs of the State. Reports will be submitted in a format agreed upon by the using agency and COTR.

Upon completion of the contract, the project management team will deliver a final project closeout report that documents and summarizes the entire project. It will include lessons learned and process recommendations to be applied to other efforts. As part of this process, the IEM Team Program Manager is responsible for promulgating the lessons learned and best practices between task orders and ensuring consistency of service among the various customers.

Invoicing and Contracting

IEM uses streamlined program controls that involve accountants, contract specialists, and project managers to evaluate specific parts of the work execution, invoicing, and contract deliverables to ensure that the State and using agency get the needed information the first time it is delivered. This process has seen a high degree of success in the production of highly readable and understandable invoices. Staff members are kept informed and in agreement with the work being performed.

Team Support

The IEM Team Project Manager's goal is to maximize team member participation and accountability. Team integration is achieved by establishing agreed-on business rules, structured workflows, and a collaborative repository of project documentation. For New Jersey and its using agencies, this level of coordination will result in visibility of the IEM Team; timely metrics reporting; standardized, repeatable processes that have a high rate of success; and an integrated group of diverse firms functioning as single Team.

4.2 Deliverables

In addition to any deliverables specified in the task orders, the IEM Team will provide the following:

- Monthly status reports that include type of activity, results, recommendations, and analysis
- An analysis of data, delivered every four weeks, as to 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
- Monthly reports on the resolution and closure of auditor-identified issues

The IEM Team will provide the using agency with a deliverables schedule as part of our **detailed project plans**, as discussed in Section 4.1.

IEM routinely provides internal-facing status reports and related information to our clients. IEM understands the need for presenting complex information in a clear and understandable format. These reports will have a strong content focus on graphical representations. IEM's Information Management and Technical Communications (IMTC) division consists of technical writers who will work with a dedicated graphic designer to ensure that all of the graphics are clear and easy to interpret. IEM specializes in making complex information understandable through a variety of written and visual methods. IEM commits to meeting or exceeding delivery schedules for all tasks, including quick-turnaround assignments. We constantly seek to optimize our processes so that we can execute repetitive tasks with greater efficiency each time we do them.

Electronic versions of documents will be delivered using either MS Word or Adobe Acrobat PDF. The graphics included in the reports will be 300 ppi or greater for both color and black and white images. If requested, IEM will provide up to three hard copies of each report. If requested, reports can be posted on a project portal.

4.3 Reporting and Documentation

The IEM Team will provide and submit to the using agency and the State all reports and documents needed to satisfy federal, HUD, FEMA, and State requirements. The IEM Team includes DSW and Breakpoint Assurance, both NJ accounting firms that will certify any necessary auditing reports.

As discussed in Section 2.1.7, the IEM Team views record retention and preservation as a vital part of any risk plans for grants management, and the IEM Team will retain all records, documents, and communications that relate to the award and performance of this contract as required by state and federal regulations. Records will be maintained in a safe, secure, and accessible manner for a minimum period of five years from the date of final payment, or seven years as required, and made available to the New Jersey Office of the Comptroller, or other parties as requested, for audit and review upon request. Records can be retained longer if requested by the State.

IEM has a comprehensive approach to data and documentation management that will inform our recommendations to the using agency and guide our own document management.

Data and Document Management

The IEM Team has extensive experience managing documentation and record retention on similar grant programs. In today's fast-paced and dynamic environment, we understand that there are numerous challenges in the proper management and retrieval of documents. Information in hard copy, or electronically imaged versions, is extremely vital to the program and the applicants it serves.

All incoming documents will be processed and scanned into the virtual location provided by the State, and logged into respective systems of records. Under our Document Management and Records Retention program, protection of confidential applicant information will be critical. We will ensure our staff is current on all policies and procedures on all aspects of file management to ensure protection of the using agency and applicant confidentiality, as well as adherence to

policies and procedures. Back-up documentation will include documents such as deeds, loan documents, applications, affidavits, inspection documents, wills, titles, and applicant information.

The IEM Team will review any using agency procedures that are in place and identify any risks or problems with the current systems and processes and recommend improvements. Upon approval by the using agency, we will jointly develop strategies to quickly implement improvements or resolve any issues. Our proposed Document Management and Records Retention program will ensure the continuation of the highest level of accuracy in processing and storing important data.

Storage and Retrieval

Comprehensive records of all proprietary client information and applications will be maintained in accordance with the document management, storage, and retrieval procedures as required by the contract. Security of data is the most significant aspect of our hard copy and electronic file recording, storage, and retrieval procedures. All hard copy forms and electronic data will be archived on a regular basis and stored in a central data management center for a designated period of time, according to record retention policies designated by the State. We will maintain an inventory of all documents, which will be available to both program management and the State upon request.

We will maintain files, both physical and electronic, which will be readily available for public records request. Public records requests will be integrated with the compliance, monitoring, issue tracking, and fraud process for any files under investigation. Documents will be provided upon request to the audit team and appropriate State employees. All applicant related e-mails, correspondence, training material, and policy and procedures associated with the program will be received, stored, and archived in original hard copy as well as electronically.

The Document Management Team is a critical operational nerve center for the receipt of all incoming mail pieces. Document management specialists batch incoming documents by application ID and document type (e.g., applications, supporting documentation, and returned mail). They then scan all documents received, including returned mail. Any supporting documentation mailed with required documentation is scanned and imaged.

We will follow the protocol established by using agency with regard to allowing access to any physical file or document. The using agency's protocol requires coordination with the State File Manager, and the approval from the appropriate chain of command to the release any information to requesters. Once the State grants access to a requester, the IEM Document Management Team will coordinate the fulfillment of that request. We will use Chain of custody logs to track the location, possession, and return of a file.

Upon contract execution, we will either assume the terms of the existing lease and all equipment or provide a comparable file storage facility that adheres to the State's requirements relating to security, fire ratings, and storage equipment. All documents and data will be stored in this secured environment and in compliance with State requirements, preventing destruction from natural disasters, flood, fire, sabotage, or theft. Document retention will meet all applicable federal requirements.

Process, Scan, and Upload Documentation

Upon receipt of paper documents, IEM Team file clerks will scan, verify the quality of scan, and index each to the appropriate applicant ID. All electronic documents are stored in the electronic repository system managed by the using agency. Retrieval of electronic documents will be performed using the existing retrieval tools. We will coordinate all bulk requests for retrieval of electronic documents with the using agency and its current IT contractor. Each functional team will use the electronic images to process applications, as opposed to accessing paper documents. These imaged documents will be made available through State-provided functionality. We will use different search criteria that will include applicant name or applicant ID to retrieve the program documents through the functionality of respective system of records. Our process ensures that scanned images of incoming documents are automatically positioned and cleaned, allowing each image to be easily read.

File Inventory

We will follow the current policies and procedure established by the State relative to physical file management, which includes file tracking, location, and possession of a file, and return of a file. This approach includes obtaining the appropriate approval from the using agency prior to any physical document being released, and the use of chain of custody to track file location, possession, and return of file. We will also perform periodical file inventory reconciliation to ensure all files are accurately accounted for and preservation and security of applicant personal identifiable information.

We will ensure all staff members are current on the policies and procedure for coordinating the receipt and organization of program-related files on all aspects of file management policies to ensure protection of client confidentiality and adherence to standard procedures. This process will include applicant-related e-mails, correspondence, training materials, and policy and procedures associated with the program. Upon receipt, we will verify all closing documents and, once imaged, will organize and placed in a folder for each applicant and file numerically by applicant ID number.

4.4 Litigation Services

IEM agrees to fully cooperate with the State and provide all documentation and working papers necessary to represent and defend the State and any of its political subdivisions at its own cost, 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 subdivisions resulting from the implementation of IEM Team recommendations. IEM has assembled a team whose knowledge of and experience with federal grant programs will allow them to provide the State with recommendations and advice concerning the legal implications of program policies and procedures that will limit the State's exposure to future litigation.

As mentioned in Section 2.1.7, the IEM TEAM will mitigate the risk of litigation by recommending additional record-keeping controls that will ensure that all materials are retained that may be needed to provide a sufficient audit trail to facilitate audits and investigations. Additional records would



include memos, letters, and e-mail correspondence that supplement normal grant guidance and its interpretation on the federal side.

The IEM Team includes former FEMA General Counsel Ernest Abbot, who can provide strategic guidance, problem-solving, issue-spotting, and, if needed, training to New Jersey. Mr. Abbot's firm, FEMA Law Associates, based in Washington, DC, helps state and local governments and authorities to structure their activity to maximize access to federal funds and to expedite processing of FEMA grants and reimbursements, as well as to appeal adverse regulatory determinations. Its services range from short-term consultation services to guiding applicants through the FEMA process from start to finish.

4.5 Travel Expenses and Reimbursements

IEM will use internal full-time staff to coordinate project travel in accordance with GSA's published travel rules and rates in accordance with the Federal Travel Regulations and the State's

IEM Travel Rated "Best in Class"

The American Express Benchmarking Database uses three groups to evaluate travel data: AmEx Aggregate Group – all data in the database, Air Volume Peers – companies that have similar air spending to IEM, and Industry Peers – companies with a similar profile to IEM. In all three of these groups, each year for the last five years, IEM has earned "Best In Class" for "Average Air Segment Cost" and "Average Cost Per Mile" for both domestic and international flights by **spending 15% less on flights than our competitors**. In the area, once again, IEM is also rated as "Best in Class" for hotel bookings, with an average reservation costing **24% less**.

provisions as stated in Section 3.6 of the RFP.

IEM travel coordinators have established processes for booking cost-effective trips within GSA guidelines. During CY 2009, this group undertook a number of specific initiatives to directly target project travel cost reductions. Since we do not load general and administrative costs on travel costs, any savings in trip cost to the government over time are passed on directly. From 2009 to 2010, on a trip-to-trip basis, IEM reduced travel cost 2%. Comparing 2010 to 2011, IEM realized a 16% reduction. We apply creative cost-savings methods, such as

banking frequent flyer miles to use against short-notice, high-cost airline tickets. We apply consistent standards for hotel choices, pool rental cars, and monitor travel changes closely via an in-house automated system. We will continue to apply this cost management focus to travel for any physical trips required over the life of the contract.

5.0 Organizational Support and Experience

The delivery system for the support that IEM proposes for the State of New Jersey is tied both to our experience and to the organizational structure that has evolved to enable our work. More than a sideline, **disaster planning and management has been our primary focus for 28 years**, and the disaster arc is not complete until recovery has taken place. IEM's organizational structure, staffing mix, and TMP were developed specifically for and in response to projects from the emergency management arena.

Section 2.4 provides a detailed description of specific relevant projects. However, beyond the subject matter, it is important to emphasize that IEM's operations and support structures have been optimized for the kinds of quick-response task orders that are envisioned for this NJ

contract. The table below provides a sampling of other task order proposal-based contracts that IEM currently holds.

Table 3: Representative IEM Task Order Proposal Contracts

| Task Order Contract Vehicle | Response Requirements |
|---|-----------------------|
| U.S. Army Maneuver Support Center of Excellence | 3–21 days |
| NY-NJ-CT-PA Regional Catastrophic Planning Team | 10–14 days |
| FEMA Air Transportation Support | 8–24 hours |
| FEMA Response Planning | 10–21 days |

As another example, during the response to and recovery from Hurricanes Katrina and Rita, IEM deployed more than 100 personnel across the affected areas to support critical missions. Many of these positions were filled within 24 hours of request.

In addition, IEM has large multi-year contracts with FEMA’s National Preparedness Directorate to provide technical assistance to state and local jurisdictions across the U.S. and with FEMA’s Chemical Stockpile Emergency Preparedness Program (CSEPP) to provide a wide range of technical support and program integration services. These contracts frequently call for urgent quick-response tasks, and IEM has the resources in place that allow us to mobilize, scope, price, staff, and execute such tasks on very short notice.

5.1 Organizational Chart

Figure 19 shows IEM’s proposed organizational chart for this effort. (The number of Task Order Teams depicted is notional, for illustrative purposes.) The Program Managers will have the responsibility for assigning qualified Project Managers and Task Leads for task orders falling within their domains. These individuals, in turn, will be responsible for assignment and day-to-day management of project staff and resources.

All teams in all Pools will have access to the cadre of IEM senior SMEs, as necessary or appropriate to the task (subject to approval of the Using Agency). Given the importance of this mission, the contract will have visibility from the highest level of the company, the CEO.



Figure 19: Contract Organizational Chart. The Program Manager for the appropriate Pool will oversee the formation of teams specialized to each specific task order. IEM President and CEO Madhu Beriwal will provide Partner-level guidance over the entire contract and all task orders awarded under it.

5.2 Staffing

Staff members representative of the personnel who would most likely be called upon to perform task orders are presented in Table 4 below, along with their skills classification, title, and brief experience. We also present the Pools that each person is most likely to be working on; however, all personnel will be available to work on any Pool if their skills are needed for any reason. Hourly rates for all labor categories are provided in our Cost Proposal. Detailed resumes for personnel in all seven staff classifications, including management, supervisory, and key personnel, are provided in Appendix A.

Table 4: Proposed Staff. The IEM Team is pleased to offer the following experienced personnel, including management, supervisory, and key personnel.

| Staff Member | Classification (Title) | Associated Pools |
|----------------------------------|----------------------------------|------------------------|
| Madhu Beriwal | Principal (Executive Manager) | Pool 1, Pool 2, Pool 3 |
| Lloyd Blanchard, Ph.D. | Program Manager (Senior Manager) | Pool 1 |
| Will Eglin, CPA | Program Manager (Senior Manager) | Pool 2 |
| Meg Glisson Sollod, CPA | Program Manager (Senior Manager) | Pool 3 |
| Ernest B. Abbott, J.D. | SME (Expert III) | Pool 1, Pool 2, Pool 3 |
| Daniel Benbow, CPA, CFE, MBA | SME (Expert III) | Pool 2, Pool 3 |
| Francis C. DeVito, CPA, CFF, CFE | SME (Expert III) | Pool 2, Pool 3 |
| William Eargle, CPA | SME (Expert III) | Pool 1, Pool 2, Pool 3 |
| Donna Marie Erat | SME (Expert III) | Pool 1, Pool 2, Pool 3 |
| William R. Garrard | SME (Expert III) | Pool 1, Pool 2 |
| Ellen Gordon | SME (Expert III) | Pool 1, Pool 2 |
| Otto J. Hetzel, Esq. | SME (Expert III) | Pool 1, Pool 2, Pool 3 |

| Staff Member | Classification (Title) | Associated Pools |
|------------------------------------|---|------------------------|
| John J. Kane, AICP | SME (Expert III) | Pool 1, Pool 2, Pool 3 |
| Jan C. Opper | SME (Expert III) | Pool 1, Pool 2, Pool 3 |
| Ronald F. Parisi, PE | SME (Expert III) | Pool 1, Pool 3 |
| John O. Snowden III, CPA, CFF | SME (Expert III) | Pool 2, Pool 3 |
| Gary W. Truelsen, MPA | SME (Expert III) | Pool 1, Pool 2, Pool 3 |
| Jade Banks | SME (Expert III) | Pool 1, Pool 2, Pool 3 |
| Michelle Croney | Project Manager (Manager) | Pool 2 |
| Karen Legrand, PMP | Project Manager (Manager) | Pool 1 |
| Sam Martin, PMP | Project Manager (Manager) | Pool 1, Pool 2, Pool 3 |
| Lewis Roussel, Ph.D. | Project Manager (Manager) | Pool 1, Pool 2 |
| Karen Young, CPA, CIA, CFE | Project Manager (Manager) | Pool 1, Pool 2, Pool 3 |
| Phillip Abbey | Senior Consultant | Pool 1, Pool 2 |
| Christopher M. Arunkumar, CPA, CFE | Senior Consultant | Pool 2, Pool 3 |
| Stephen Bojekian | Senior Consultant | Pool 1, Pool 3 |
| Lazaro Roberto Gutierrez, Sr. | Senior Consultant | Pool 1, Pool 2 |
| Kristin McCuaig | Senior Consultant | Pool 1, Pool 2 |
| Gregory Suko | Senior Consultant | Pool 2, Pool 3 |
| London Van Oss | Senior Consultant | Pool 2, Pool 3 |
| Henry Walker, CEM | Senior Consultant | Pool 1, Pool 2, Pool 3 |
| Blake Boozer | Consultant | Pool 2 |
| Jacqueline Covington, CEM | Consultant | Pool 1, Pool 2 |
| Ronniesheia R. Hughes, CFE | Consultant | Pool 2, Pool 3 |
| Robin Dimattia Karisny | Consultant | Pool 1, Pool 3 |
| David Luke | Consultant | Pool 1, Pool 2 |
| Helen Miller | Consultant | Pool 1, Pool 2 |
| Robert E. Umphlett, CPA | Consultant | Pool 2, Pool 3 |
| Lorenzo Villanueva, CFE | Consultant | Pool 2, Pool 3 |
| Philip Achee | Associate/Staff (Senior Support Specialist) | Pool 2 |
| Karen S. Montero | Associate/Staff (Senior Support Specialist) | Pool 2, Pool 3 |
| Jonathan Seltzer | Associate/Staff (Senior Support Specialist) | Pool 1 |
| Danielle Stovall | Associate/Staff (Senior Support Specialist) | Pool 1, Pool 2 |
| Virlany Taboada | Associate/Staff (Senior Support Specialist) | Pool 2, Pool 3 |
| Joy Prichard* | Administrative Support Staff (Support Specialist) | Pool 1, Pool 2, Pool 3 |

*This resume is representative of the highly qualified administrative support staff IEM has available to support Pools 1, 2, and 3. Additional resumes in this category can be provided upon request.

6.0 Resumes

The IEM Team has provided detailed resumes for personnel in all seven staff classifications, including management, supervisory, and key personnel, in Appendix A.

7.0 Experience of Bidder on Similar Contracts

A comprehensive listing of similar contracts performed by IEM has been provided in Section 2.4. This listing provides all required information.

7.1 Company Background

IEM is a global consulting house for safety and security, and a national leader in emergency management, homeland security, defense, information technology, and public performance management. We provide emergency management services to local and state agencies and the federal government.

IEM was founded in 1985. The company's first project was evacuation planning for southeast Louisiana, one of the most hurricane-vulnerable regions of the nation. An early contract with the U.S. military and FEMA's CSEPP—a relationship which continues to this day—fueled IEM's early growth. It also drove IEM's early and ongoing commitment to the development of planning and performance management frameworks based on measurable scientific and quantitative data.

Since that time, IEM has been recognized as one of the leading emergency management companies in the U.S. through a succession of major contracts with FEMA and other branches of DHS, the Department of Defense, other federal agencies, states, major jurisdictions, and international concerns. **IEM has supported preparedness efforts in all 50 states.**

Today, IEM regularly supports a wide range of large, complex projects nationwide, and we provide the full spectrum of emergency management expertise—from planning for and responding to disasters to helping our customers mitigate and recover from their consequences. Because of our rigor, attention to detail, and quantitative bias, we are frequently engaged by customers for tasks that require careful monitoring of performance and compliance. This skill set—informed by our understanding of both the regulatory framework and the practical considerations of disaster recovery—will allow us to support New Jersey in ensuring a robust and speedy recovery.

7.2 Additional Experience of Bidder

IEM understands the terrain of recovery well. FEMA has been one of the company's most significant customers throughout our history, and we have worked closely with them through all phases of emergency management, including the response to and recovery from major catastrophic events. Because so many of our customers and projects are dependent upon grant dollars for achieving their objectives, we understand first-hand the critical role played by monitoring, oversight, and careful documentation practices. We also recognize the importance of monitoring the funding stream of federal grants and supplemental appropriations, since these are the life-blood of recovery and rebuilding.

Table 5 provides specific examples of our experience in the following areas:

- Dealing with FEMA following major catastrophic events (FEMA)
- Interfacing with State and federal agencies in administration of monitoring or oversight program (Monitoring/Oversight)
- Experience and success with federal and State documentation practices necessary to ensure the receipt and retention of grant funding (Documentation)
- Monitoring grants and supplemental appropriations from Congress and other governmental agencies (Grants)

Table 5: Additional Experience of the IEM Team. *IEM has extensive experience in all of the areas specified in the RFQ.*

| Project Name Brief Description | FEMA | Monitoring/ Oversight | Documentation | Grants |
|--|------|--------------------------|---------------|--------|
| FEMA Hurricane Katrina Response and Recovery Support Shortly before and for several months after landfall of Katrina (and later Rita), FEMA established field offices and logistics centers in or near highly impacted areas and ramped up its staffing at the FEMA Region IV and VI offices and HQ. FEMA needed staffing support from highly trained professionals who could bolster the response operations, allowing operations to continue efficiently, and also support special projects with specific subject matter expertise and advanced technical skills. IEM provided a range of expertise from around the country to support FEMA's needs—spanning entry-level planners all the way to former State Directors and other highly trained and experienced SMEs. | X | | | |
| LA OCD Road Home Program Hazard Mitigation Support See detailed project description, Section 2.4.2. | X | X | X | X |
| NY Hurricane Sandy Public Assistance Support (Adjusters International) Adjusters International, and IEM as a subcontractor, are providing PA support to the State of NY. | X | | | |
| Louisiana OCD Small Rentals CDBG Program Support See detailed project description, Section 2.4.11. | X | X | | X |
| FEMA National Air Operations Support FEMA required readiness planning and technical expertise to support the Gulf Coast Planning Team with the initial development and subsequent refinement of a National Disaster Air Operations Manual, and to help create an integrated interagency response pertaining to disaster aviation operations in the event of a catastrophic incident. IEM supported FEMA by providing project management, subject matter expert consultation, and technical support to develop deliverables pertaining to federal disaster aviation operations. With IEM support, FEMA developed the Aviation Operations Incident Annex to the NRF, the JFO Aviation Branch Operations Manual, and Employee Task Books for Aviation Operations Specialists. | X | | | |
| LA DNR Program Monitor for Disaster Recovery See detailed project description, Section 2.4.6. | X | X | X | X |
| Louisiana DNR Katrina and Rita Marine Debris Removal Program Support See detailed project description, Section 2.4.4. | X | X | X | X |
| Public Assistance and Planning Support to New York JFO See detailed project description, Section 2.4.9. | X | | | |

| Project Name Brief Description | FEMA | Monitoring/ Oversight | Documentation | Grants |
|---|------|--------------------------|---------------|--------|
| Virginia DEM Public Assistance Support See detailed project description, Section 2.4.5. | X | | X | |
| Indiana Public Assistance Support See detailed project description, Section 2.4.8. | X | | X | |
| Iowa Public Assistance Support See detailed project description, Section 2.4.10. | X | | X | |
| Public Assistance Support for Chattooga County, GA IEM provided Public Assistance support to Chattooga County, GA, in response and recovery related to the September 2009 Severe Storms and Flooding (FEMA DR-1858-GA). This federally-declared disaster affected northwest and central Georgia, causing over \$93 million in damages. IEM assisted in Emergency Operations (EOC Support) and assisted the county's transition to recovery by accomplishing preliminary damage assessments and project formulation alongside State and FEMA counterparts. Work concluded with the submission of final Project Worksheets for all impacted municipalities within Chattooga County. As a result of IEM's support, the County was able to develop a full project listing and preliminary scopes of work before the FEMA project officers were even deployed to the area. | X | | X | |
| FEMA Logistics Supply Chain Management System/Asset Tracking Services (LSCMS/ATS) IEM provided logistics support to FEMA, ensuring that in-transit visibility of commodities and equipment was maintained before, during, and after a disaster. We used location-based technology to provide real-time operational support. This capability allowed key FEMA stakeholders to make informed decisions based on operational and logistical response requirements. IEM's role in the project was two-fold. We provided operations, logistics, and planning support to FEMA during steady-state periods. We monitored the program and developed planning/preparedness documentation in support of disaster response operations. During response, we deployed strike teams to FEMA Incident Support Bases and Distribution Centers to affix the transponders to FEMA trucks and trailers and ensure their functionality. Our field personnel provided the link between disaster relief assets and the LSCMS/ATS system. This, in turn, provided key FEMA leadership with a common operating picture, facilitating the successful accomplishment of FEMA logistical and operational requirements. | X | | | |
| Louisiana DNR ARRA Program Monitoring See detailed project description, Section 2.4.1. | | X | X | X |
| CSEPPWebCA Web-Based Grants Management Software See detailed project description, Section 2.4.3. | | | X | X |

| Project Name Brief Description | FEMA | Monitoring/ Oversight | Documentation | Grants |
|--|------|--------------------------|---------------|----------|
| <p>Support to Port of Los Angeles for Homeland Security Port Security Grant Program</p> <p>IEM assisted the Port of Los Angeles with the DHS Port Security Grant Program for fiscal years 2005, 2006, and 2007 by providing multiple services, including project identification, project justification, budget worksheet and project descriptions, and grant application. Additionally, IEM assisted in 2008 with the State of California Proposition 1B that awarded the port an additional \$10.6 million in port security grant funding. IEM's range of subject matter experts and multiple port experience helped the port to better define project needs and to provide a more well-rounded justification and description of initiative benefits, which resulted in a significant increase in POLA's grant awards.</p> | | | X | X |

7.3 Disclosure

IEM has no current business relationships with any of the contractors providing services on the identified New Jersey contracts. IEM has had business relationships in the past with several of the identified contractors, as detailed in the table below.

| Project | Relationship |
|--|---|
| Witt Group Holdings | |
| Indian Point Energy Center Preparedness Study | IEM served as a subcontractor to James Lee Witt Associates, providing technical support for an independent review of emergency preparedness for the communities surrounding the Indian Point Energy Center under a contract with the State of New York. (2002–2003) |
| Pepco Hurricane Isabel Study Response Assessment | IEM provided technical writing support to James Lee Witt Associates for a study of the preparation for and response to Hurricane Isabel for the mid-Atlantic regional utility provider Pepco Holdings, Inc. (2003–2004) |
| Virginia Disaster Recovery Support | IEM and James Lee Witt Associates/Global Options Group served as 50/50 partners in the provision of disaster recovery services related to public assistance and hazard mitigation to the Virginia Department of Emergency Management for two disasters (FEMA-1655-DR and FEMA-1661-DR). (2006–2010) |
| Indiana Public Assistance Support | IEM served as a subcontractor to James Lee Witt Associates/Global Options Group, providing Public Assistance support to the State of Indiana for flooding related to FEMA-1766-DR-IN and FEMA-1795-DR-IN. (2008–2010) |
| Iowa Public Assistance Support | IEM served as a subcontractor to James Lee Witt Associates/Global Options Group, providing Public Assistance support to the State of Iowa following the floods of 2008 (FEMA-1763-DR-IA). (2008–2010) |

| Project | Relationship |
|--|--|
| ICF International | |
| Louisiana Office of Community Development (OCD) Road Home Program | IEM served as a subcontractor to ICFI under the post-Katrina Louisiana Road Home Program. IEM provided support for the \$1.4 billion federal HMGP grant application, homeowner assistance (mitigation counselors, Hotline staffing), and data collection services. (2006–2009) |
| FEMA Chemical Stockpile Emergency Preparedness Program (CSEPP) Support | ICFI served as a member of the IEM Team for IEM's program integration support contract for CSEPP under a GSA Contractor Teaming Agreement. ICFI provided limited personnel support for the CSEPP exercise program. (2005–2011). |
| CDM Smith | |
| Louisiana OCD Engineering Support and Grant Mgmt Services | IEM served as a sub-subcontractor to a joint venture (Louisiana Solutions) which was owned by CDM and Waggoner Engineering, Inc. The project provided post-Katrina disaster recovery support to the State of Louisiana and Jefferson Parish. (2007–2008) |

Additional details about these contracts can be provided upon request.

IEM will also assess and monitor IEM Team subcontractors and consultants for similar business relationships on a task order–specific basis and disclose them to the State or using agency, along with a recommended mitigation plan, subject to customer approval.

7.4 Financial Capability of the Bidder

IEM is an S-Corp with a **rock-solid, zero-debt financial position**. The company has **grown steadily** over the past 28 years through a carefully managed strategy and internal funding. IEM has **sufficient cash reserves and access to additional capital** should the project require it. IEM has no obligations to any outside backers or shareholders; our entire focus is on meeting the needs of our customers. **We have financed ALL corporate growth for 28 years without ever incurring a single dollar of debt**—a feat nearly unheard-of in the private sector.

IEM has a full-time professional accounting staff on board, and a high-quality CPA firm to provide annual audit functions. IEM's financial statements conform to GAAP. IEM has been audited annually since 1996. **IEM has received an unqualified audit opinion every year, and has never had to restate its financial statements.**

IEM uses the Deltek automated financial accounting system that has been accepted by the Defense Contract Audit Agency (DCAA) as being fully capable of satisfying all government cost accounting requirements. IEM's accounting information system controls and rates have been audited and approved by the DCAA since 1992.

IEM's rock-solid financial position and proven accounting and business practices allow us to focus on providing innovative and enduring solutions for our customers at competitive prices.

IEM is pleased to provide a bank reference and its audited financial statements for 2011, our most recent audited fiscal year. (The audit for 2012 is currently in preparation.) These documents have been provided as a separate electronic file to enhance their security and increase the ease with which the Governor's Office will be able to review the less sensitive portions of the proposal.

Appendix A: Resumes

The IEM Team is pleased to provide detailed resumes for the following personnel. Where the labor categories specified by the State of New Jersey do not correspond with IEM's GSA schedule categories, the corresponding IEM GSA title has been provided in parentheses.

| | |
|------------------------------------|---|
| Madhu Beriwal | Principal (Executive Manager) |
| Lloyd Blanchard, Ph.D. | Program Manager (Senior Manager) |
| Will Eglin, CPA | Program Manager (Senior Manager) |
| Meg Glisson Sollod, CPA | Program Manager (Senior Manager) |
| Ernest B. Abbott, J.D. | SME (Expert III) |
| Daniel Benbow, CPA, CFE, MBA | SME (Expert III) |
| Francis C. DeVito, CPA, CFF, CFE | SME (Expert III) |
| William Eargle, CPA | SME (Expert III) |
| Donna Marie Erat | SME (Expert III) |
| William R. Garrard | SME (Expert III) |
| Ellen Gordon | SME (Expert III) |
| Otto J. Hetzel, Esq. | SME (Expert III) |
| John J. Kane, AICP | SME (Expert III) |
| Jan C. Opper | SME (Expert III) |
| Ronald F. Parisi, PE | SME (Expert III) |
| John O. Snowden III, CPA, CFF | SME (Expert III) |
| Gary W. Truelsen, MPA | SME (Expert III) |
| Jade Banks | SME (Expert III) |
| Michelle Croney | Project Manager (Manager) |
| Karen Legrand, PMP | Project Manager (Manager) |
| Sam Martin, PMP | Project Manager (Manager) |
| Lewis Roussel, Ph.D. | Project Manager (Manager) |
| Karen Young, CPA, CIA, CFE | Project Manager (Manager) |
| Phillip Abbey | Senior Consultant |
| Christopher M. Arunkumar, CPA, CFE | Senior Consultant |
| Stephen Bojekian | Senior Consultant |
| Lazaro Roberto Gutierrez, Sr. | Senior Consultant |
| Kristin McCuaig | Senior Consultant |
| Gregory Suko | Senior Consultant |
| London Van Oss | Senior Consultant |
| Henry Walker, CEM | Senior Consultant |
| Blake Boozer | Consultant |
| Jacqueline Covington, CEM | Consultant |
| Ronniesheia R. Hughes, CFE | Consultant |
| Robin Dimattia Karisny | Consultant |
| David Luke | Consultant |
| Helen Miller | Consultant |
| Robert E. Umphlett, CPA | Consultant |
| Lorenzo Villanueva, CFE | Consultant |
| Philip Achee | Associate/Staff (Senior Support Specialist) |

| | |
|------------------|---|
| Karen S. Montero | Associate/Staff (Senior Support Specialist) |
| Jonathan Seltzer | Associate/Staff (Senior Support Specialist) |
| Danielle Stovall | Associate/Staff (Senior Support Specialist) |
| Virlany Taboada | Associate/Staff (Senior Support Specialist) |
| Joy Prichard* | Administrative Support Staff (Support Specialist) |

*This resume is representative of the highly qualified administrative support staff IEM has available to support Pools 1, 2, and 3. Additional resumes in this category can be provided upon request.



Madhu Beriwal

Partner/Principal (Executive Manager)
Pool 1, Pool 2, Pool 3

Areas of Expertise

**EXECUTIVE OVERSIGHT; COMMAND AND CONTROL; DISASTER MANAGEMENT; SYSTEMS ANALYSIS;
KNOWLEDGE ENGINEERING; HOMELAND SECURITY; SOFTWARE SYSTEMS; ARCHITECTURES AND FRAMEWORKS**

Relevant Qualifications

- **President and CEO of IEM**, a global consulting house for safety, security, strategic performance, and sustainability, 1985–present.
- **More than 28 years of experience** in the application of scientific principles to planning, prevention, response, and recovery for natural disasters and terrorism, including chemical, biological, radiological, nuclear, and high-yield explosive events.
- Was the **first to develop and apply quantitative performance measures** for one of the most challenging U.S. Federal protection programs prior to 9/11.
- Has provided **strategic direction for numerous modeling and simulation studies whose results drive U.S. policy, strategy, and investment decisions** on public safety and security at the Federal, state, and local levels.
- **Recipient of 2006 American Red Cross Humanitarian Award** for support provided to Hurricane Katrina response and recovery efforts.
- **Member of prestigious US Army Science Board and US Defense Science Board task forces** that developed recommendations on strategies for improving counterterrorism.
- Developed **domain-specific architectures and frameworks** used by the U.S. Department of Homeland Security, the U.S. Department of Defense, and other government agencies to address terrorism prevention and analysis, mitigation of insurgent actions overseas, civilian protection, and chemical and biological defense acquisition.
- **Designed technology solutions that successfully bridge government defense and civilian homeland security arenas.**
- **Frequently invited lecturer, panel member, and guest speaker** at US and international programs and events focused on security, terrorism, strategic defense, and disaster management, including the International Association of Emergency Managers conference and the World Conference on Disaster Management; keynote speaker at the International Association of Emergency Managers conference, 2005 and 2010
- Named a **2011 Enterprising Woman of the Year** by *Enterprising Women* magazine.

Experience on Similar Contracts

Louisiana Department of Natural Resources (LDNR) American Recovery and Reinvestment Act (ARRA) Program Monitoring (2011–2013)
IEM, Executive Oversight

Reference Organization: Louisiana Department of Natural Resources
617 North Third Street
Address: Baton Rouge, LA 70802
Contact Name/Title: Paula Ridgeway / Manager Technology Assessment Division
Phone Number: (225) 342-2133

In order to improve energy efficiency, LDNR has implemented six grant programs funded by these three different DOE grants. Some of the programs are funded by more than one funding source. These programs improve energy efficiency, renewable energy, and alternative fuels transportation thousands of applicants across the State. LDNR is the grantee and is responsible for the grant programs. IEM is responsible for monitoring and verification of financial information and program performance measures. IEM reviews the programs' progress towards program goals and makes recommendations for process improvement to LDNR and the program implementation contractor, The Shaw Group. Ms. Beriwal's leadership helped secure this contract and ensure successful completion.

- Provided executive oversight and quality assurance.

Chemical Stockpile Emergency Preparedness Program (CSEPP) WebCA (2006–Present)
IEM, Executive Oversight

Reference Organization: DHS/FEMA
500 C Street SW
Address: Washington, DC 20472
Contact Name/Title: Thomas Warnock, Program Specialist, Technological Hazards Division
Phone Number: (202) 657-2301

IEM developed the process, structure, guidance, and tools to assist states, localities, FEMA regional offices, and FEMA Headquarters (HQ) in managing the entire cooperative agreement (CA) process for CSEPP. FEMA initially awarded IEM this contract in 2006, and since then, IEM has won several follow-up contracts. Cooperative agreements are similar to grants, but typically require more involvement of the grantor in the management of the grant funds. CSEPP funds are provided via CA between the states and FEMA, and managed with CSEPP WebCA (originally called CA Tools), which IEM developed specifically for this project. Ms. Beriwal helped to ensure that the customer received a grants management system that was customized and intuitive for end users.

- Provided executive oversight and quality assurance.
- Interfaced with the customer to ensure the software met the needs of both FEMA and the end users.

Louisiana Office of Community Development, Disaster Recovery Unit (LA OCD-DRU) Small Rental Property Program (March 2010–March 2012)
IEM, Executive Oversight

Reference Organization: Louisiana Office of Community Development, Disaster Recovery Unit
Claiborne Building
Address: 1201 N. Third St., Suite 7-210
Baton Rouge, LA 70802
Contact Name/Title: Ernie DeHoyos, Vice President, ACS (Prime Contractor)
Phone Number: (210) 479-5581

The Small Rental Property Program, a component of the Road Home Program, provides incentive-based forgivable loans to property owners to repair their storm-damaged, small-scale rental properties and

make units available to low- and moderate-income tenants at affordable rates. The Small Rental Property Program is funded through HUD's Community Development Block Grant and therefore must comply with the federal regulations which govern those funds. The IEM team was responsible for providing services in the following areas: Pre-Closing, Compliance and Monitoring, and Issue Tracking and Fraud, Waste, and Abuse Coordination. Ms. Beriwal helped to ensure that this grant program was properly managed.

- Provided executive oversight and quality assurance.
- Interfaced with the customer for quality improvement and issue resolution.

LA OCD-DRU Hazard Mitigation Grant Program Support (2006–2010) IEM, Executive Oversight

Reference Organization: Louisiana Office of Community Development Disaster Recovery Unit
1201 N. Third Street
Address: Claiborne Bldg., Suite 7-270
Baton Rouge, La 70802
Contact Name/Title: Casey Levy / Manager
Phone Number: (225) 267-2673

In 2006, IEM was awarded a contract to support the Louisiana Office of Community Development with the execution of the Road Home Program's mitigation efforts. On behalf of the LA OCD-DRU, IEM wrote the successful \$1.4 billion grant application that enabled CDBG funds to be used as the State match in the Road Home Program. Only the second successful application in history to use the Global Match approach, which allows the application of CDBG funds to the State match, this HMGP grant had the potential to save Louisiana \$490 million. Ms. Beriwal oversaw IEM's support of the grant writing process.

- Provided executive oversight and quality assurance.
- Interfaced with the customer to resolve any issues and ensure schedule adherence.

Louisiana DNR Katrina and Rita Marine Debris Removal Program (2008–2011) IEM, Executive Oversight

Reference Organization: LDNR and Coastal Protection and Restoration Authority (CPRA)
450 Laurel Street
Address: Baton Rouge, LA, 70802
Contact Name/Title: Jason Lanclos / Engineer Supervisor
Phone Number: (225) 342-6749

IEM has supported the Louisiana Katrina and Rita Marine Debris Program since the Coastal Engineering Division at DNR became involved. The focus of this support has been gathering data and supporting the State's interests in documenting and removing marine debris caused by hurricanes Katrina and Rita. IEM worked with GOHSEPP, the FEMA PA grant program administrator, and DNR/CPRA to ensure that the State receives the maximum benefit from these recovery activities. Ms. Beriwal's leadership resulted in additional work under this contract.

- Provided executive oversight and quality assurance.

Hospital Preparedness Program (HPP) Performance Measures (September 2011–August 2012) IEM, Executive Oversight

Reference Organization: Office of Assistant Secretary for Preparedness and Response (ASPR)/Office of Preparedness and Emergency Operations (OPEO)
Healthcare Systems Evaluation Branch (HSEB)
Address: 200 Independence Ave., S.W., Room 640-G
Washington, DC 20201
Contact Name/Title: Torrance Brown, Public Health Analyst

Phone Number: (202) 245-0735

IEM worked with the HSEB within ASPR to develop a performance measurement instrument for the nation's hospitals, hospital networks, and state hospital systems. This performance measurement development and analysis will provide information on the preparedness for emergencies of the nation's hospital and health system.

- Provided executive oversight and quality assurance.

Department of Homeland Security (DHS) Performance Measures (September 2010–September 2011)

IEM, Executive Oversight

Reference Organization: DHS Office of Program Analysis & Evaluation (PA&E)

Address: 245 Murray Lane, S.W., Room 4651, Bldg 410
Washington, DC 20528-7000

Contact Name/Title: Melissa M. Evans

Phone Number: (202) 447-5211

IEM supported the DHS PA&E, within the Office of the Chief Financial Officer, developing and implementing strategic, management, and operational performance measures for a broad range of department components, including FEMA, Customs and Border Protection, Science and Technology, Immigration and Customs Enforcement, Citizenship and Immigration Services, and the Office of Civil Rights and Civil Liberties. Our support of PA&E demonstrates IEM's successful design and implementation of science-based performance measures in support of federal agencies with complex missions that must be cascaded down to state, local, and private-sector stakeholders.

- Provided executive oversight and quality assurance.

Healthcare Preparedness Risk Assessment Tool (HPRAT) (September 2009–February 2011)

IEM, Executive Oversight

Reference Organization: ASPR/OPEO HSEB

Address: 200 Independence Ave., S.W., Room 640-G
Washington, DC 20201

Contact Name/Title: Ibrahim Kamar, Statistician/Epidemiologist

Phone Number: (202) 245-0730

IEM developed the HPRAT, a web application to facilitate estimation of healthcare preparedness levels and vulnerabilities to particular threat scenarios and/or losses of critical infrastructures and to estimate the reduction in risk or improvement in preparedness to a healthcare facility that may be obtained by investment in specific mitigation efforts.

- Provided executive oversight and quality assurance.

Decisional Anthrax Response Tool (July 2010–January 2011)

IEM, Executive Oversight

Reference Organization: HHS/Biomedical Advanced Research and Development Authority (BARDA)

Address: 200 Independence Avenue, S.W., Room 638-G
Washington, DC 20201

Contact Name/Title: Mary-Beth Hill-Harmon, Project Officer, Modeling

Phone Number: (202) 205-3693

IEM developed this tool, which is used primarily to help HHS personnel to convey the results of IEM's anthrax analyses, including a cost analysis, to senior-level decision makers.

- Provided executive oversight and quality assurance.

Employment History

| | |
|---------------------|--|
| 1985–present | IEM, Inc. |
| Location | Research Triangle Park, NC |
| Position | Owner and Chief Executive Officer |
| 1982–1984 | Louisiana Office of Emergency Preparedness |
| Location | Baton Rouge, LA |
| Position | Program Manager |
| 1980–1982 | Louisiana Department of Urban and Community Affairs |
| Location | Baton Rouge, LA |
| Position | Planner |

Education

M.S., Urban Planning, University of Kansas, 1981
 B.A., Geography (Economics), University of Calcutta, 1978

Professional Affiliations

National Emergency Managers Association (NEMA)
 International Association of Emergency Managers (IAEM)
 Homeland Security Executive Leadership Program, Naval Postgraduate School's Center for Homeland Defense and Security, Guest Lecturer
 Institute for Homeland Security Solutions
 National Defense Industrial Association (NDIA)
 Association of the United States Army (AUSA)
 Women in Technology International (WITI)
 North Carolina Military Foundation, Executive Committee
 North Carolina Regional Transportation Alliance, Vice-Chair
 Army Science Board (former)
 Human Performance Institute, Board of Directors (former)
 Pennington Biomedical Research Center, Board of Directors (former)
 Baton Rouge Chamber of Commerce, Board of Directors (former)
 Louisiana Technology Park, Executive Board (former)
 Louisiana Technology Council, Board of Directors (former)
 U.S. - India Business Council
 The Indus Entrepreneurs (TiE) Carolinas, Charter Member

Publications and Speaking Engagements

“Disasters in a Flat World.” International Association of Emergency Managers Annual Conference. November, 2012
 Leadership panel – “The Triangle: What’s In It for Entrepreneurs and Business?” The Indus Entrepreneurs (TiE) Carolinas Special Event. August 2011.
 IBM Featured Speaker – “Our History is Our Strength.” Women’s History Month and IBM Centennial Celebration. March 2011.
 “Doing More with Less – Emergency Management in the 21st Century.” International Association of Emergency Managers Annual Conference. Keynote Speech, November 2010.



- "Global Terrorism in the 21st Century: A Demographic & Psychological Framework for Understanding Terrorism." Homeland Security Executive Leadership Program, Center for Homeland Defense and Security. November 2007 and annually through present (2011).
- "Global Terrorism: Understanding the Past, Projecting the Future." Shell Oil Security Managers meeting. October 2007.
- "Global Terrorism in the 21st Century: A Demographic & Psychological Framework for Understanding Terrorism." FBI Counterintelligence Working Group meeting. September 2007.
- "Emergency Managers – Working Towards Building Disaster Resilient Organizations and Communities." 17th World Conference on Disaster Management. July 2007.
- "A Systematic Measurement Architecture for Homeland Security." Homeland Security Executive Leadership Program, Center for Homeland Defense and Security. February 2007.
- Leadership Panel - "Assessing Our Progress: NIMS, All-Hazards Planning and National Preparedness." 2006 Homeland Security Summit. September 2006.
- "Terrorism Prevention: A Framework for Intervention." Authored at the request of the Department of Homeland Security, Office of Grants and Training, Summer 2006.
- "Global Terrorism in the 21st Century: Understanding the Past, Projecting the Future." Maritime Awareness Security Terrorism Training (MASTT) Conference. June 2006.
- "Global Terrorism in the 21st Century: Understanding the Past, Projecting the Future." Louisiana Chemical Association Chemical Security Summit. May 2006.
- "Past, Present, and Future of Catastrophic Planning: From Hurricanes to Earthquakes," Missouri Emergency Preparedness Conference, April 2006.
- "Evacuation Planning." Natural Hazards Workshop 2006. Natural Hazards Center, University of Colorado – Boulder, July 2006.
- "Hurricane Pam' and Hurricane Katrina: Early Lessons Learned." City of Los Angeles Emergency Preparedness Department and the Risk and Insurance Management Society (RIMS) Public Safety and Homeland Security Conference, March 2006.
- "Hand in Glove: Internet Worm Propagates Lethal Zero-Day Exploit," in Redmond Magazine, February 2006.
- "Preparing for a Catastrophe: The Hurricane Pam Exercise," Statement before the US Senate Homeland Security and Governmental Affairs Committee, January 2006.
- "Hurricane Pam' and Hurricane Katrina: Early Lessons Learned." International Association of Emergency Managers. Keynote Speech, November 2005.
- Louisiana Economic Development Technology Advisory Panel, Panel Member, May 2005.
- Emergency Information Infrastructure Project (EIIP) Virtual Forum, December 2005.
- "Some Early Lessons from Katrina," in Natural Hazards Observer, October 2005.
- International Women's Day Celebration Speaker, March 2004.
- "Chemical Stockpile Emergency Preparedness Program (CSEPP) Management Study." Authored at the request of the Office of the Assistant Secretary of the Army, March 2004.
- Association of Louisiana Technology Companies, Second Annual Technology Industry Forum: Exploring the Obstacles & Opportunities, November 2003.
- "Catastrophe Risk Management," Louisiana Chemical Association Annual conference, 2002.

"Lessons Learned from September 11th," Bank One Property Managers" Meeting, 2002.

"Communicating Risk More Effectively: How Can Industries, Municipalities, and Others Deal with the Media?" Eighth Annual Southern States Environmental Conference, September, 1998.

"Innovations for Win-Win-Win Strategies," U.S. Army Materiel Command (AMC) Small Business Conference, November, 1998.

"Quantitative Emergency Management," Chemical Stockpile Emergency Preparedness Program (CSEPP) National Conference, 1997.

Participated as lead technical speaker in SPOCC Presentations to several CSEPP states, 1991–1992.

Simulation in Support of the Chemical Stockpile Emergency Preparedness Program (CSEPP), presented at the Society for Computer Simulation Conference, March 1992.

"Automation and Emergency Management," Chemical Stockpile Emergency Preparedness Program (CSEPP) National Conference, 1991.

"An Exploration of Digital Systems in Flood Management" in *Flood Reports*, October 1988.

"Automated Emergency Management: A Framework", paper (by invitation) published in S. Marston (ed.), 1986, *Terminal Disasters: Computer Applications in Emergency Management*, Program on Environment and Behavior, Monograph #39, Institute of Behavioral Science, University of Colorado, Boulder, CO.

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Lloyd Blanchard, Ph.D.

Program Manager (Director, Public Performance Management)

Pool 1

Areas of Expertise

PUBLIC PERFORMANCE MANAGEMENT AND MEASUREMENT; PUBLIC BUDGETING AND FINANCIAL MANAGEMENT; ADMINISTRATION AND POLICY; ECONOMIC DEVELOPMENT POLICY; ECONOMIC AND ORGANIZATIONAL ANALYSIS; HOUSING POLICY; EDUCATION POLICY; QUANTITATIVE METHODOLOGY

Relevant Qualifications

- Former Program Associate Director for the Office of Management and Budget (OMB); oversaw nearly \$200 billion of federal budget, including budgets for the Departments of Homeland Security (DHS), Treasury, Commerce, Housing and Urban Development, and Transportation.
Oversaw and approved FEMA's emergency budget after 9/11 and developed budget requirements for the new Department of Homeland Security.
Project Manager for IEM's support of the Department of Health and Human Services (HHS) Hospital Preparedness Program's performance measurement and implementation project.
Project Manager for IEM's support of the DHS Program Analysis and Evaluation (PA&E) performance measurement and implementation project.
Oversaw national operations of the SBA with a \$900 million budget and led a transformation initiative to consolidate field-based loan operations, modernize the loan subsidy model, and implement the agency's first loan-monitoring system.
Managed a \$40 million homeland security training and research operation as Executive Director of the National Center for Security Research and Training at Louisiana State University.

Experience on Similar Contracts

DHS Performance Measures Development and Implementation (September 2010-present)
IEM, Project Manager

Reference Organization: DHS
Address: 245 Murray Lane SW
Washington, DC 20528
Contact Name/Title: Paula Nusbaum, COTR
Phone Number: (202) 447-0907

IEM is developing and implementing strategic, management, and operational performance measures for a broad range of departmental bureaus, including FEMA, Customs and Border Protection, Science and Technology, Immigration and Customs Enforcement, Citizenship and Immigration Services, and the Office of Civil Rights and Civil Liberties. Dr. Blanchard will apply his project management expertise and experience in developing and implementing public performance measures to support the State of New Jersey.

- Manages project budget and schedule to ensure that goals and deadlines are met. Provides quality assurance and problem resolution.
Oversees development and implementation of performance measures.



- Manages and updates High Priority Performance Goals (HPPGs), Performance Accountability Reports (PARs), and other performance reports.
- Develops tools to chart the connection between performance and the data and data sources necessary to measure performance.

HHS Hospital Preparedness Program (HPP) Healthcare System Evaluation Branch Performance Measures (September 2011–August 2012)
IEM, Project Manager

Reference Organization: Healthcare Systems Evaluation Branch (HSEB) of the HHS Office of Preparedness and Emergency Operations (OPEO)
200 Independence Avenue, S.W.
Address: Room 638G
Washington, D.C. 20201
Contact Name/Title: Torrance Brown, COTR
Phone Number: (202) 245-0735

IEM worked with the Healthcare Systems Evaluation Branch within ASPR to develop a performance measurement instrument for the nation's hospitals, hospital networks, and state hospital systems. This performance measurement development and analysis provides information on the preparedness for emergencies of the nation's hospital and health system. Dr. Blanchard will apply his project management expertise and experience in developing and implementing public performance measures to support the State of New Jersey.

- Managed project budget and schedule to ensure that goals and deadlines are met. Provided quality assurance and problem resolution.
- Helped conduct two large-scale desk reviews of the set of over 60 proposed measures and a related questionnaire among grant awardees, including training the review participants, developing a data collection tool, providing helpdesk support during the course of the pilot, and analyzing the review results.
- Supported the measure evaluation and selection process and developed training materials and support for awardees' introductory training in using the measure set.

Center for Strategic and International Studies (CSIS) Analysis (June 2008–August 2008)
IEM, Task Lead

Reference Organization: CSIS
1800 K Street, NW
Address: Washington DC, 20006
Contact Name/Title: David Berteau, Senior Fellow
Phone Number: (202) 775-3136

IEM teamed with CSIS to perform an analysis of national security resource allocation for the Department of Defense. Dr. Blanchard will apply the analytical skills and task management expertise shown in this experience.

- Served as technical lead for IEM, supervising and coordinating the technical aspects of the analysis.

Employment History

| | |
|---------------------|---|
| 2008–present | IEM, Inc. |
| Location | Washington, DC |
| Position | Director, Public Performance Management |
| 2007–2008 | Louisiana State University |
| Location | Baton Rouge, LA |
| Position | Executive Director, National Center for Security Research and Training |
| 2004–2007 | Syracuse University |
| Location | Syracuse, NY |
| Position | Assistant Professor |
| 2003–2004 | National Aeronautics and Space Administration (NASA) |
| Location | Washington, D.C. |
| Position | Deputy Chief Financial Officer for Policy |
| 2002–2004 | Small Business Administration (SBA) |
| Location | Washington, D.C. |
| Position | Chief Operating Officer |
| 2001–2001 | Office of Management and Budget (OMB), Executive Office of the President |
| Location | Washington, D.C. |
| Position | Program Associate Director |
| 1999–2001 | University of Washington |
| Location | Seattle, WA |
| Position | Assistant Professor |

Education

Ph.D., Public Administration, Maxwell School of Citizenship and Public Affairs, Syracuse University, 1999
 M.P.A., Syracuse University, 1994
 B.A., Political Science, University of Texas at San Antonio, 1993
 B.A., Economics, University of Texas at Austin, 1986

Professional Affiliations

Editorial Board, *Journal of Public Management and Social Policy*
 NASA Financial Advisory Committee
 Finance Committee, American Society for Public Administration
 American Education Finance Association
 Association for Public Policy Analysis and Management
 National Forum for Black Public Administrators

Publications and Speaking Engagements

“Teaching Leadership in Public Administration?” (with Amy Donahue), *Journal of Public Affairs Education*, Vol. 13, No.3/4, pp. 461–485, 2008.

"Do Lenders Discriminate Against Minority and Women Entrepreneurs?" (with Bo Zhao and John Yinger), *Journal of Urban Economics*, Vol. 63, Issue 2, pp. 467-497, 2008.

"PART and Performance Budgeting Effectiveness" in *Performance-Based Management and Budgeting: How Governments Learn from Experience*. Steve Redburn, Robert Shea, and Terry Buss, editors, National Academy of Public Administration. M.E. Sharpe, Inc., 2008.

"Performance Budgeting: How NASA and SBA Link Costs and Performance," in *Integrating Performance and Budgets: the Budget Office of Tomorrow*. Jonathan D. Breul and Carl Moravitz, editors, IBM Center for the Business of Government. Rowan and Littlefield Publishers, 2006.

"Equity vs. Efficiency in the Provision of Educational Services," (with John Ruggiero and Jerry Miner), *European Journal of Operations Research*, Vol. 142, No. 3, 2002.

"Tax Policy and Public School Finance" (with William Duncombe) in *Handbook on Taxation*, W. Bartley Hildreth and James Richardson, editors, Marcel Dekker, Inc., December 1998.

"Market-Based Reforms in Government: Towards a Social Subcontract?" (with Charles Hinnant and Wilson Wong), *Administration and Society*, Vol. 30, No. 5, November 1998.

Speaker at the National Conference for Black Mayors, New Orleans, June 2008

Regular speaker for National League of Cities' Leadership Training Institute

Regular participant in academic conferences in public administration and policy



Will Eglin, CPA

Program Manager (Senior Manager)

Pool 2

Areas of Expertise

ACCOUNTING; PROJECT MANAGEMENT; CORPORATE FINANCE; RISK MANAGEMENT; BUSINESS PLANNING; INTERNAL CONTROLS; SECURITIES AND EXCHANGE COMMISSION (SEC) FINANCIAL REPORTING; TREASURY MANAGEMENT

Relevant Qualifications

- **More than 17 years of experience as a Certified Public Accountant (CPA).** Licensed CPA in the State of North Carolina.
- **Big Four Public Accounting Experience.**
- **Experience managing numerous multi-million dollar accounts.**
- **As Chief Financial Officer (CFO) of IEM, Inc.,** oversees accounting and other corporate-level business systems. Responsible for managing the company's investment portfolio, designing and implementing operational metrics to align the organization with its growth goals, leading the development of new and innovative business processes, and overseeing all company banking relationships.
- **Oversees IEM's annual independent financial statement audit and regulatory audits from the Defense Contract Audit Agency (DCAA) and the General Services Administration (GSA).** Established internal controls and systems to be compliant with Federal Acquisitions Regulations (FAR) and DCAA audits.
- **Served as CFO/Chief Executive Officer (CEO) of MD Technologies, leading the management team** of a rapidly growing healthcare technology and services company. Duties included forming coalitions with all major stakeholders, including board directors, investors, company founders, and customers; accounting and business planning; and preparing investor presentations, financial projections, and operating budgets. During his tenure, the company experienced significant growth (1,129 percent).
- **As Division Controller with PHNS, Inc.,** exercised general administrative direction over general accounting and finance of a division of a fast-growing healthcare IT outsourcing company.
- **At Edgen Corporation,** exercised general administrative direction over general ledgers and related books, budget preparation and control, payables and receivables processing, and financial state employment preparation and analysis. Conducted all internal and external financial reporting, including consolidating financial statements, supporting schedules, monthly board schedule, and daily "dashboard" reports. Served as chairman of the organization's 401k Investment Committee. Established and administered internal audit programs.

Experience on Similar Contracts

Louisiana Dept. of Natural Resources Program Monitor for Disaster Recovery
(June 2010–March 2013)

IEM, Inc., IEM Corporate Partner

Reference Organization: Louisiana Department of Natural Resources (LDNR)

Address: 617 N. 3rd Street



Contact Name/Title: Baton Rouge, LA 70802
Paula Ridgeway, State Energy Program Manager
Phone Number: (225) 342-2133

The focus of the project was American Recovery and Reinvestment Act of 2009 (ARRA) Monitoring and Verification. Mr. Eglin provided corporate oversight for the auditing and monitoring project with the State of Louisiana.

- Interviewed candidates and extended offers to employees to staff the project.
- Evaluated the performance of the staff assigned to the project.
- Provided counsel and mentorship to the Project Manager and staff.

Sarbanes-Oxley Compliance, (April 2004–May 2007) MD Technologies Inc., Project Manager

Reference Organization: MD Technologies Inc. (now MD Online)
620 Florida Street, Suite 200
Baton Rouge, LA 70801
Contact Name/Title: William Davis, Former Chairman of the Board
Phone Number: (225) 252-0753

In order for MD Technologies Inc. to be compliant with the Sarbanes-Oxley requirements of a Small Business SEC Filer, a system of internal controls was necessary. Mr. Eglin was responsible for planning, implementing, administering, coordinating, and monitoring the financial functions of a publicly traded company.

- Designed and implemented internal controls to be compliant with Sarbanes-Oxley legislation.
- As CFO/CEO, certified the accuracy of regulatory quarterly and annual Small Business SEC Filings.
- Monitored internal controls on a periodic basis to ensure the accuracy of internal and external financial reporting.

Information Technology (IT) Outsourcing Services, (April 2002–April 2004) PHNS, Inc. (now Anthelio), Division Controller

Reference Organization: Baton Rouge General Hospital
8585 Picardy Avenue
Baton Rouge, LA 70809
Contact Name/Title: Kendall Johnson, Chief Financial Officer
Phone Number: (225) 763-4000

PHNS provided IT Outsourcing services for Baton Rouge General Hospital, a large not-for-profit hospital. Mr. Eglin was responsible for planning, implementing, administering, coordinating, monitoring, and evaluating all financial management responsibilities for a \$15 million annual outsourcing contract.

- Responsible for all facets of financial management for the multi-million dollar IT outsourcing contract.
- Developed a hardware/software schedule to inventory all IT hardware and software assets provided to the client.
- Audited hardware/software assets on an ongoing basis to ensure that the assets were properly recorded.
- Prepared a monthly invoice to ensure compliance with the terms of the contract.
- Investigated budget to actual variances on a monthly basis.

- Prepared the client's annual budget. Prepared and presented additional service requests.

Employment History

| | |
|---------------------|--|
| 2010–present | IEM |
| Location | Baton Rouge, LA and Research Triangle Park, NC |
| Position | CFO |
| 2008–2010 | IEM |
| Location | Baton Rouge, LA |
| Position | Accounting Controller |
| 2004–2008 | MD Technologies, Inc. |
| Location | Baton Rouge, LA |
| Position | CFO/CEO |
| 2002–2004 | PHNS, Inc. |
| Location | Baton Rouge, LA |
| Position | Division Controller |
| 1998–2002 | Edgen Corporation |
| Location | Baton Rouge, LA |
| Position | Division Controller |
| 1998 | KPMG |
| Location | New Orleans and Baton Rouge, LA |
| Position | Supervising Senior Accountant |
| 1997 | KPMG |
| Location | New Orleans and Baton Rouge, LA |
| Position | Senior Accountant |
| 1995–1996 | KPMG |
| Location | New Orleans and Baton Rouge, LA |
| Position | Accountant |
| 1994–1995 | KPMG |
| Location | New Orleans and Baton Rouge, LA |
| Position | Intern |

Education

B.S., Accounting, Louisiana State University, 1995

Certification and Training

CPA, State of North Carolina, 2011, Active

CPA, State of Louisiana, 1997, Inactive

Professional Affiliations

American Institute of Certified Public Accountants (AICPA)
North Carolina Association of Certified Public Accountants (NCACPA)
Board Member, RTP CFO Forum, 2010–present
Society of Louisiana Certified Public Accountants (LCPA)



Meg Glisson Sollod, CPA, CGMA, CITP

Program Manager (Senior Manager)

Pool 3

Areas of Expertise

FINANCIAL MANAGEMENT; PROJECT MANAGEMENT; PROCESS IMPROVEMENT; SYSTEMS IMPLEMENTATIONS; SYSTEMS REENGINEERING; INSURANCE RISK ASSESSMENT; BUDGETING AND PLANNING; FORECASTING; FRAUD MONITORING; ASSET MANAGEMENT; CAPITAL EXPENDITURES MANAGEMENT; GENERAL ACCOUNTING; STATE TAX COMPLIANCE; STRATEGIC PLANNING; CONTROLS/SOX REQUIREMENTS CASH MANAGEMENT; IT MANAGEMENT; EXTERNAL REPORTING; ERP SYSTEMS; DATA MODELING; TREASURY MANAGEMENT; COMMUNICATION; CHANGE MANAGEMENT; STAFF DEVELOPMENT

Relevant Qualifications

- **30 years of experience** in Accounting, Finance, Treasury, ERP systems, and IT Management.
- **15 years experience at the Controller/Director level.** Serves as Corporate Controller at IEM, responsible for senior management of all internal accounting functions, including interface with government agencies at all levels related to IEM contracts.
- **Implemented process improvements and audit controls that saved companies over \$140,000.**
- **Reduced fraud risk, increased reporting capabilities, and provided data access** for senior management to allow greater visibility into all aspects of Financial Planning and Analysis.
- **20 years of experience working with multiple data analysis tools** to streamline mandatory and *ad hoc* reporting.
- **Excellent communication and training skills.**
- **20 years as a Certified Public Accountant;** recent certifications as a **Chartered Global Management Accountant (CGMA)** and a **Certified Information Technology Professional (CITP).**

Experience on Similar Contracts

Costpoint Re-Engineering Project (October 2003 – January 2006)

RTI International, Project Manager

Reference Organization: Accounting Department
3040 East Cornwallis Road
Address: Research Triangle Park, NC 27709-2194
Contact Name/Title: James J. Gibson, VP and COO
Phone Number: 919-541-6000 Ask for Mr. Gibson

\$3 million dollar ERP and ancillary systems reengineering project. Brought the project in on time and under budget. The project included completely re-working the existing financial systems structure, updating 147 ancillary feeder systems, creating a data warehouse, reducing reports from 680 to 150; creating a daily scorecard for senior management and reworking the Financial Planning and Analysis (FP&A) systems. New functionality was also included, such as international rate conversions processes and daily downloads, timesheet automation, and company consolidations. Ms. Sollod used her Project Management skills to accomplish Program/Process Management, Grant Management, Integrity Monitoring, and Anti-Fraud management. Internal and external auditors approved of all systems changes.



- Initiating Project – Create Return on Investment (ROI) reports, timeline, and project structure to support the strategic goals of the company.
- Planning Project – Coordinate with over 300 individuals in the U.S. and overseas, including 3 outside hardware and software vendors, over a 2-year period.
- Executing Project – Supervise all aspects of ERP ancillary systems and reporting systems work, including management of 3 independent conversions with full testing cycles.
- Monitoring and Controller – Organize daily, weekly, and monthly meetings to ensure all changes to the plan were communicated timely and efficiently.
- Closing Project – Conduct project close-out procedures including reassignment of project staff.
- Create all project documentation related to Communication/Training.

Implement Purchase Order (PO) System (November 2012–April 2013)

IEM, Inc., Project Manager

| | |
|--------------------------------|--------------------------------|
| Reference Organization: | Accounting |
| Address: | 2400 Ellis Road, RTP, NC 27703 |
| Contact Name/Title: | Ted Lemcke / COO |
| Phone Number/Email: | (919) 237-7456 |

The goal of this project was to fully implement a Deltek Costpoint PO system. Ms. Sollod used her Project Management skills to accomplish Program/Process Management and Anti-Fraud management.

- Initiating Project.
- Planning Project.
- Executing Project.
- Monitoring and Controller.
- Closing Project.
- Preparing all project documentation and communication.

Implement Concur Travel Expense System (November 2012–April 2013)

IEM, Inc., Project Manager

| | |
|--------------------------------|--------------------------------|
| Reference Organization: | Accounting |
| Address: | 2400 Ellis Road, RTP, NC 27703 |
| Contact Name/Title: | Ted Lemcke / COO |
| Phone Number: | (919) 237-7456 |

The goal of this project was to implement the Concur® Travel Expense System. Ms. Sollod used her Project Management skills to accomplish Program/Process Management and Anti-Fraud management.

- Initiating Project – Create ROI reports and present them to the COO/CFO and Corporate President.
- Planning Project – Coordinate with internal resources, vendors, and outside consultants to create a project plan.
- Executing Project – Manage documentation exchange, decisions, systems, and manual processes.
- Monitoring and Controller – Organize weekly meetings with staff to stay on timeline for project completion.
- Closing Project – Implement the process from project status into normal work flow. Create project review documents.

- Prepare all project documentation and communication.

Warehouse Security System (May 2008–December 2008)
L & M Transportation Services Inc., Project Manager/Controller

Reference Organization: Accounting
Address: 2925 Hunt Leigh Dr. Raleigh, NC 27604
Contact Name/Title: Allen Ramsey / CFO
Phone Number: (919) 981-8000

Implemented security system in 6 warehouse locations across the United States. The system included cameras, recording devices, and trained personal to watch monitors; personal checks by managers when employees clocked out at the end of their shift; background checks on all permanent employees hired at all L & M warehouse locations; communication and monitoring of a secure, anonymous hot line; and implementation of "surprise" recounts on produce purchased within 4, 8, and 16 hours of delivery. Ms. Sollod used her Project Management skills to accomplish Program/Process Management and Anti-Fraud management, reducing losses by 143K over a 6-month period.

- Initiating Project – Prepared initial analysis reports showing significant losses in specific warehouses.
- Planning Project – Implemented review of current warehouse procedures and reviewed best-in-class procedures to ensure maximum results.
- Executing Project – Created RFP for security companies, hardware, staffing, and training.
- Monitoring and Controller – Managed installation of all hardware; and coordinated training classes, modifications to the employee handbook, and communications about daily/weekly losses by warehouse location.
- Closing Project – Executed the reassignment of warehouse monitoring to respective district managers, including initiation of regular Profit/Loss Management reports.
- Prepared all project documentation and communication.

| Employment History | |
|---------------------|--|
| 2010–present | IEM, Inc. |
| Location | Research Triangle Park, NC |
| Position | Controller |
| 2008–2010 | L&M Companies |
| Location | Raleigh, NC |
| Position | Controller |
| 2006–2008 | RTI International |
| Location | Research Triangle Park, NC |
| Position | Business Unit Controller/Financial Partner |
| 2003–2006 | RTI International |
| Location | Research Triangle Park, NC |
| Position | ITS Project Manager |
| 1999–2003 | Qualex, Inc. |
| Location | Durham, NC |

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|------------------|---|
| Position | Assistant Controller |
| 1996–1998 | Qualex, Inc. |
| Location | Durham, NC |
| Position | Manager, Financial Planning & Systems Design Application |
| 1994-1996 | Buthnabadaige Inc. DBA The Body Shop U.S. Division |
| Location | Raleigh, NC |
| Position | Corporate Controller |
| 1987–1994 | Fayetteville Public Works Commission |
| Location | Fayetteville, NC |
| Position | Assistant Director of Finance |
| 1982-1984 | Black and Decker, Inc. |
| Location | Fayetteville, NC |
| Position | Accounting Manager – 3 Plants |

Education

M.B.A., Business, University of North Carolina at Chapel Hill, 1993
 B.S., Accounting, Averett University, 1979

Certification and Training

Certified Public Accountant (CPA), North Carolina Board of CPA Examiners, 1993
 Certified Information Technology Professional (CITP), American Institute of CPAs, 2010
 Chartered Global Management Accountant (CGMA), American Institute of CPAs, 2012
 Information Technology (IT) Project Management Master Certification, Villanova University, 2004
 Fraud Auditor's Training, National Association of Fraud Auditors & NCACPA, Multiple years since 1998
 IT Project Management, Villanova University, 2002 - 2003

Professional Affiliations

American Institute of Certified Public Accountants (AICPA)
 American Management Association (AMA)
 National Association of Female Executives (NAFE)
 North Carolina Association of Certified Public Accountants (NCACPA)
 Project Management Institute (PMI)



Ernest B. Abbott, JD

FEMA Law Associates, PLLC

Subject Matter Expert (Expert III)
Pool 1, Pool 2, Pool 3

Areas of Expertise

ATTORNEY AT LAW; EMERGENCY MANAGEMENT AND DISASTER LAW; FEMA REGULATIONS; FEMA FLOOD PROGRAMS; HAZARD MITIGATION GRANT PROGRAM (HMGP); NATIONAL FLOOD INSURANCE PROGRAM (NFIP); REGULATORY DEVELOPMENT; ENERGY LAW; ENVIRONMENTAL LAW; INTERNAL COMPLIANCE INVESTIGATIONS/ANALYSIS; ARBITRATION

Relevant Qualifications

- **4 years of experience as FEMA's General Counsel.** Founder and Principal of a law and regulatory consulting firm specializing in emergency management and disaster law, with particular focus on assisting state and local entities with complex applications for disaster funding eligibility.
- **Managed all FEMA regulatory development and coordinated the legislative program for all FEMA agencies,** including legislation involving the NFIP, HMGP, and related disaster and appropriations bills.
- **Served as one of the few FEMA leaders with responsibilities covering all Agency programs,** including disaster and mitigation grant programs, flood insurance programs, national security preparedness programs, and chemical stockpile and radiological preparedness programs, as well as interaction between these programs and those of other federal agencies such as the Department of Housing and Urban Development.
- **Reviewed or supervised analysis of legal issues encountered in implementing the HMGP** arising from issues such as HMGP restrictions on "open space" use of property, sources of non-federal share funds, adequacy of title searches, combination grants for HMGP and Section 406 mitigation, congressional earmarks of HMGP grants, cost-effectiveness analysis, and voluntary vs. mandatory acquisitions.
- **Dedicated particular attention to strengthening FEMA's NFIP, which pays roughly \$1 billion in claims annually for flood losses;** managed an integrated litigation defense and regulatory reform strategy to reduce the program's exposure to punitive damage claims.
- **Led the regulatory development of a \$500 million FEMA compensation program** arising from wildfire damage in the Los Alamos, New Mexico region.
- Member of the District of Columbia, Massachusetts, and Texas Bars.
- Held Top Secret/SCI security clearance at FEMA.

Experience on Similar Contracts

Legal Representation and Consultation for Union County and the Town of Weddington, NC
(April 2010–present)

FEMA Law Associates, PLLC, Special Counsel

| | |
|--------------------------------|---|
| Reference Organization: | Union County, NC |
| Address: | 500 N. Main Street, Suite 826, Monroe, NC 28112 |
| Contact Name/Title: | Jeff Crook/County Attorney |
| Phone Number: | (704) 283-3673 |



Mr. Abbott represents and provides legal consultation to Union County and the Town of Weddington in settlement negotiations to prevent suspension from the NFIP for violations of floodplain management regulations. This work is relevant to the services required by the RFO because rebuilding/recovery from Hurricane Sandy will involve permitting and construction issues in special flood hazard areas that may raise NFIP compliance issues. It is critical that communities have a deep understanding of how the NFIP affects rebuilding options. Mr. Abbott provides the following services in support of this contract:

- Legal and regulatory services to Union County/Weddington in connection with FEMA issues arising from construction by third parties of a sports complex in violation of the County's local floodplain ordinances; this work involved negotiations and consultations with County and Town attorneys and staff, County Commissioners, Town Selectman, the third party, and state and federal NFIP officials.
- Mitigation planning.
- Letters of Map Revision (LOMR).

Flood Plain Compliance Support for the Town of Surfside, FL (July 2012–present)
FEMA Law Associates, PLLC, Special Counsel

Reference Organization: Town of Surfside
Address: 9293 Harding Avenue, Surfside, FL 33154
Contact Name/Title: Linda Miller/Town Attorney
Phone Number: (305) 993-1065

Mr. Abbott was retained by the Town to assist in resolving flood plain management compliance issues identified in a FEMA Community Assistance Visit (CAV) Report of Findings. He assisted in revising the Town's floodplain ordinance to reflect modifications requested by FEMA and provided an in-depth response to the CAV Report. This contract is relevant to the proposed work because rebuilding/recovery from Hurricane Sandy will involve permitting and construction issues in special flood hazard areas that may raise NFIP compliance issues. It is critical that communities have a deep understanding of (1) how the NFIP affects rebuilding options and (2) the impact on flood insurance premiums upon a community's failure to require rebuilding in accordance with floodplain management ordinances. In support of this contract, Mr. Abbott has:

- Submitted three formal responses to the CAV Report to FEMA's Floodplain Management & Insurance Branch Mitigation Division informing FEMA of the proposed changes to ordinances and handling of compliance issues, and providing a timeline for expected completion.
- Worked with Surfside to demonstrate that the Town was committed to enforcing the floodplain management ordinance required for participation in the NFIP, and was eligible for the "Community Rating System" which makes flood insurance premium discounts available in the community.

Legal Representation for the Baldwin County, AL Board of Supervisors
(January 2009–June 2011)

FEMA Law Associates, PLLC, Special Counsel

Reference Organization: Baldwin County Commission
Address: 312 Courthouse Square, Suite 12, Bay Minette, AL 36507
Contact Name/Title: Kim Creech/Chief Accountant
Phone Number: (251) 937-0303

Mr. Abbott provided legal representation in an appeal and arbitration of a retroactive disallowance of costs incurred for debris removal in the wake of Hurricane Katrina. A key component of the proposed work is assisting public entities in New Jersey with adopting procedures that will minimize exposure to subsequent "deobligations" of disaster assistance. The work for Baldwin County is an example of Mr. Abbott's command over some of the most frequent issues that give rise to deobligations, and the use of

multiple dispute resolution systems to achieve the result desired by the County. The Sandy Recovery Improvements Act of 2013 has established a new dispute resolution procedure that will require filing first an administrative appeal, and then an "on the record" administrative review proceeding before a neutral decision maker. Mr. Abbott provided the following services to the Board of Supervisors:

- Represented the County in response to a Department of Homeland Security Office of Inspector General (OIG) audit recommending retroactive deobligation of \$10 million in disaster assistance provided for debris removal.
- After FEMA implemented a \$5.7 million deobligation, Mr. Abbott filed administrative appeals with FEMA for Hurricane Ivan damage and an arbitration proceeding for Hurricane Katrina damage.
- Conducted a trial-type hearing for Baldwin County.
- Completely prevailed in the arbitration hearing and largely prevailed in administrative appeal; issues included whether County landfills can charge standard tipping fees for debris removal or must document labor charges, the reasonableness of stump removal charges, and retroactive return of interest on moneys deobligated.

Administrative Appeal/Arbitration Support for the Diamondhead Water Sewer District (DWSD) in Diamondhead, MS (October 2009–November 2010)
FEMA Law Associates, PLLC, Special Counsel

Reference Organization: DWSD
Address: 4425 Park Ten Drive, Diamondhead, MS 39525
Contact Name/Title: Michael Collard/General Manager
Phone Number: (228) 255-5813

The DWSD wastewater treatment plant was submerged and damaged by Hurricane Katrina. FEMA initially awarded funds to replace and relocate some damaged components of the plant, but only to repair (and not relocate) other damaged components. One of the most common struggles in Public Assistance Program is FEMA's application of its 50% rule, which determines whether facilities should be repaired or replaced. The interplay between NFIP requirements, the Executive Order on Flood Plain Management, and FEMA's Public Assistance Program is a critical area in storm reconstruction. This case demonstrates Mr. Abbott's creativity in using both the administrative appeal and arbitration processes to resolve the dispute. Mr. Abbott performed the following specific services for DWSD:

- Filed an administrative appeal of the FEMA decision to divide the wastewater treatment plant into multiple components and make repair/replacement decisions on individual components; also appealed the decision that the plant need not be elevated to 500-year flood level. Mr. Abbott prevailed on these issues, but FEMA then denied relocation.
- Mr. Abbott then filed arbitration to seek approval of construction of the replacement plant at a relocated site above the 500-year flood level. This matter was favorably settled by FEMA in the arbitration process.

Legal/Appeal Support for the City of Gulf Shores, AL (December 2008–February 2009)
FEMA Law Associates, PLLC, Special Counsel for the City

Reference Organization: City of Gulf Shores, AL
Address: Erie Hall Meyer Municipal Annex, 203 Clubhouse Drive, Suite A
Gulf Shores, AL 36542
Contact Name/Title: Robert Craft/Mayor
Phone Number: (251) 968-1124

FEMA disallowed \$4.6 million in costs incurred by the City to restore damage caused by Hurricane Katrina. Mr. Abbott supported the second appeal of the City of Gulf Shores in connection with this disallowance, which concerned costs incurred in restoration of beaches that had lost significant sand as

result of Hurricane Katrina. This contract is relevant because Hurricane Sandy hit a number of coastal communities in New Jersey and the eligibility issues involving damage from sand, and restoration of engineered beaches and dunes, will be of critical importance to the recovery. This case led to significant restoration of eligibility through the public assistance appeal process. Mr. Abbott's support to the City of Gulf Shores included:

- Providing counsel on issues including measurement of lost sand, reasonableness of cost of sand restoration projects, and addressing FEMA's argument that payment of sand restoration costs should be disallowed because FEMA concluded, improperly, that the sand restoration contractor had accepted the risk of loss of sand from Hurricane Katrina, which hit during restoration of sand lost from Hurricane Ivan.
- Achieving a favorable determination on the second appeal for the vast majority of the funds at issue.

Arbitration Support for the South Mississippi Electric Power Association (SMEPA)
(July 2011–March 2012)

FEMA Law Associates, PLLC, Special Counsel

Reference Organization: Jackson, Bowman, & Arrington, PLLC
Address: 309 S. 40th Avenue, Hattiesburg, MS 39402
Contact Name/Title: Jeff C. Bowman/Attorney
Phone Number: (601) 264-3309

This contract involved arbitration of FEMA's disallowance of \$1.1 million obligated for permanent restoration of SMEPA's transmission and distribution lines and for the cost of removing debris from SMEPA's facilities and rights of way. This case is another example of using dispute resolution procedures to demonstrate eligibility of an applicant's work—in this case, involving the eligibility of regular time and also a sui generis attempt by the OIG auditor to show statistically that equipment overcharges occurred. These types of issues will likely arise in New Jersey during the recovery. Mr. Abbott provided the following support to SMEPA:

- Filed arbitration challenging FEMA's deobligation, following a recommendation of the OIG, of previously approved costs based on (1) the OIG finding that excess equipment costs were charged because there were more pieces of equipment brought to remote work areas (e.g., chain saws) than laborers at the worksite; and (2) the OIG finding that the regular time of force account labor crews restoring power should be ineligible because power restoration occurred during the emergency period.
- Assisted in having this matter settled very favorably based on the arbitration filing. It would have been unreasonable to send work crews into remote areas without chain saws, even if they were to be used only when needed. Further, the power restoration at issue, while performed in the emergency period, effected a permanent restoration of damaged lines, and was therefore permanent work for which regular time was eligible.

Arbitration Support for the City of Moss Point, MS (February 2010–June 2012)

FEMA Law Associates, PLLC, Special Counsel

Reference Organization: Dogan & Wilkinson, PLLC
Address: 734 Delmas Avenue, Pascagoula, MS 39567
Contact Name/Title: Amy Lassiter St. Pe'/City Attorney
Phone Number: (228) 762-2272

This case involved arbitration of FEMA decisions regarding eligibility for disaster assistance of sewer and road damage caused by Hurricane Katrina. Like Katrina, Hurricane Sandy substantially flooded a number of areas, some in depth. FEMA's rules with respect to funding of inspection and repair of underground systems will likely prove challenging to many applicants in New Jersey, given the difficulty of establishing

the pre-disaster condition of underground systems. Mr. Abbott provided the following specific support to the City:

- Filed an arbitration request of FEMA's denial of funding for funding of inspection, cleaning, and ultimate repair and/or replacement of the sewer system submerged and damaged by Hurricane Katrina.
- After a full arbitration hearing, obtained a decision that directed FEMA to include the costs of cleaning the pipes in areas that were affected by a storm surge of at least 4 feet. No award for repair of sewer damages was obtained.

Legal Advice on FEMA Disaster Response and Recovery for the City of Houston, TX
(September 2005–December 2006)

FEMA Law Associates, PLLC, Special Counsel to the City of Houston

Reference Organization: Houston Claims/Subrogation Department
Address: P.O. Box 1562, Houston, TX 77002
Contact Name/Title: Harlan D. Heilman/Division Chief, Claims/Subrogation Department
Phone Number: (832) 393-6455

Mr. Abbott provided legal advice on FEMA disaster response and recovery issues including emergency housing and repair and reconstruction and management costs as a result of Tropical Storm Allison and Hurricanes Katrina and Rita. This contract is relevant to the proposed work because a key task in the RFO is giving advice to communities on how to avoid future deobligation of federal funds, and how best to demonstrate eligibility of work to be performed. This Project demonstrates Mr. Abbott's ability to assist communities primarily through providing training, advice, and support of appeals. Mr. Abbott provided the following specific support to the City of Houston:

- Assisted the City in documentation and systems requirements to ensure FEMA eligibility of a City program to shelter more than 100,000 Katrina/Rita evacuees in apartments leased from private landlords.
- Served as Special Counsel on a successful second appeal of FEMA's denial of reimbursement of \$2.3 million for costs of emergency medical services (EMS) provided by the Houston Fire Department to persons sheltered in Houston as a result of Hurricanes Katrina and Rita.
- Served as Special Counsel on a successful second appeal of nearly \$1.8 million in project management costs for which FEMA initially denied reimbursement.
- Provided advice to the City Attorney's office on multiple issues, including efforts by a debris removal contractor to renegotiate the price of a pre-disaster contract.

Legal Representation/Appeal Support for the Louisville, KY Metro Government
(January 2012–present)

FEMA Law Associates, PLLC, Special Counsel to the Louisville Metro Government

Reference Organization: Jefferson County Government
Address: Jefferson Hall of Justice, 600 West Jefferson Street, Louisville, KY 40202
Contact Name/Title: Mary Anne Watkins/Assistant Jefferson County Attorney
Phone Number: (502) 574-3056

Mr. Abbott provided legal representation in an appeal following the disallowance of costs incurred after significant flooding due to FEMA's (erroneous) determination that Louisville Metro's system for accumulating cash reserves to pay the deductible of its insurance policy was itself a recovery of insurance proceeds. This case is relevant to the proposed work because the challenge that many New Jersey communities will face is that FEMA insurance analysis operates as if communities purchase separate insurance for each individual structure, rather than maintaining complex risk management programs with

aggregate insurance policies, lists of covered properties, and various retention pools. Mr. Abbott provided the following support to the Louisville Metro:

- Filed the appeal after FEMA denied \$1,000,000 in reimbursement after it incorrectly classified a deductible as insurance proceeds from a complex risk management system created by the local government. The appeal is pending.

Legal Representation of the National Rural Electric Cooperative Association (NRECA)
(January 2003–present)

FEMA Law Associates, PLLC, Special Counsel

Reference Organization: NRECA
Address: 4301 Wilson Blvd., 11th Floor, Arlington, VA 22203
Contact Name/Title: Martha A. Duggan/Senior Principal, Regulatory Affairs
Phone Number: (703) 907-5848

NRECA retained Mr. Abbott to support its efforts to (1) ensure that FEMA policies and decisions relating to FEMA-eligible rural electric cooperatives recognized the operations of cooperatives and the unique importance they have in providing electric power to the communities they serve, and (2) to develop training materials/guidance for NRECA's member cooperatives that would help them navigate FEMA's Public Assistance Program by addressing the specific challenges faced by cooperatives. Although the Sandy Recovery Improvement Act was passed in early 2013, FEMA must still go through the complex and time-consuming process of rulemaking to implement many of the policies and procedures created in the Act. It will be essential for New Jersey to have access to Subject Matter Experts who are up-to-date with the proposed rules in order to file comments and ensure compliance with the final promulgated rules. This project remains ongoing, and Mr. Abbot's support includes:

- Working with NRECA to develop its positions on specific Stafford Act regulatory and policy matters.
- Monitoring FEMA policy and rulemaking activity relating to public infrastructure assistance programs and related mitigation programs.
- Developing and, after NRECA approval, assisting NRECA in implementing its Stafford Act regulatory program.
- Preparing papers and making presentations on emergency management legal issues for audiences as directed by NRECA.
- Developing two editions of NRECA's Guide to FEMA for Electric Cooperatives.

| Employment History | |
|---------------------|--|
| 2001–present | FEMA Law Associates, PLLC |
| Location | Washington, D.C |
| Position | Founder |
| 2011–2013 | George Washington University Law School |
| Location | Washington, D.C. |
| Position | Professorial Lecturer in Law (Course 6880, Disaster Law) |
| 1997–2001 | FEMA |
| Location | Atlanta, GA |
| Position | General Counsel |

| | |
|-------------------|---|
| 1985–1996 | TENNECO Energy |
| Location | Houston, TX |
| Positions | Director and Vice President, International (1994–1996) Principal Deputy General Counsel and Managing Attorney (1990–1994) Associate General Counsel 1985–1989 |
| 1983–1985 | U.S. Environmental Protection Agency (EPA) |
| Location | Washington, D.C. |
| Position | Special Assistant for Legislative Development |
| 1979–1983 | Interstate Commerce Commission |
| Location | Washington, D.C. |
| Position | Attorney-Advisor to Commissioners Alexis and Simmons, Rail Merger Coordinator, and Senior Appellate Trial Attorney |
| 1976–1979 | Hogan & Hartson |
| Location | Washington, D.C. |
| Position | Associate Attorney |
| 1974, 1975 | Commonwealth Edison Company (summer employment) |
| Location | Chicago, IL |
| Position | Staff Member |

Education

J.D., *Magna Cum Laude*, Administrative Law and Economic and Environmental Regulation, Harvard University Law School, 1976

M.P.P., Public Policy, Kennedy School of Government, Harvard University, 1976

B.A., Political Science, Swarthmore College, 1972

Professional Affiliations

American Bar Association

Member, 1977–present

Council Member, Section of State and Local Government Law

Chair, Committee on Emergency Management and Homeland Security, 2002–present

Chair, Multi-Section Task Force on Homeland Security, 2005–present

Member, Hurricane Katrina Task Force, 2005–2006

Member, Special Committee on Disaster Response and Recovery, 2006–present

National Emergency Management Association (NEMA), Associate Member and Private Sector Liaison to the Legal Committee

Publications and Speaking Engagements

Selected Publications

Homeland Security and Emergency Management: A Legal Guide for State and Local Government. 2nd ed.

Ernest B. Abbott and Otto J. Hetzel, Eds. Co-Author (with O. Hetzel and A. Cohn) of Chapter 1:

“Catastrophic Events, the Law, and Federalism,” and of the Appendix (with O. Hetzel and Lai Sun

Yee), “Legal Checklist for Actions in Disasters and Emergencies from All Hazards for State and

Local Government Attorneys and Officials;” also author of Chapter 15: “Representing Local

- Governments in Catastrophic Events: FEMA Response and Recovery Issues." Chicago, IL: ABA, 2010.
- Abbott, Ernest B. "Law, Emergencies, and the Constitution: A Review of *Outside the Law: Emergency and Executive Power*." *Journal of Homeland Security and Emergency Management* (Vol. 7 [2010], No. 1, Article 17).
- Abbott, Ernest B. and Brosnan, Douglas. "Legislative Authorities and Regulatory Issues," in K. Koenig and C. Schultz (Eds.), *Disaster Medicine*. New York: Cambridge UP, 2009.
- Abbott, Ernest B. "The Law and Catastrophic Disasters: Legal Issues in the Aftermath." Program Coordinator, Report Author. 3-day legal exercise and report produced by the Institute for Public Safety and Justice of the University of the District of Columbia, 2009.
- Abbott, Ernest B. *Floods, Flood Insurance, Litigation, Politics – and Catastrophe: the National Flood Insurance Program*. University, MS: U. Miss. Sea Grant L. & Pol'y J, 2008.
- Abbott, Ernest B. *FEMA Guidebook for Public Power Managers*. American Public Power Association, 2006.
- Abbott, Ernest B. "Representing Local Governments in Catastrophic Events: FEMA Response and Recovery Issues," 37 *Urban Lawyer* 467 (2005).
- Abbott, Ernest B. Review of *Disaster: Hurricane Katrina and the Failure of Homeland Security*. *Journal of Homeland Security and Emergency Management*. BEPress, 2007.

Selected Presentations

- "Emergency Sheltering and Americans with Disabilities Act", National Lieutenant Governors Association Annual Meeting, Puerto Rico, July 2011.
- "Water Law and the National Flood Insurance Program", American Bar Association Water Law Conference, San Diego, February 2011.
- Guest Lecturer on Public Health Emergency Law (for Course in Public Health Law), University of Tennessee-Knoxville Law School, Fall 2010.
- Keynote Speaker, Symposium on Public Health Emergencies and California Law, University of the Pacific, McGeorge School of Law, May 2009.
- Co-Chair, "The Law and Catastrophic Disasters: Legal Issues in the Aftermath," a Legal Preparedness Table Top Exercise sponsored by the National Legal Preparedness Training Program of the University of District of Columbia, the Center for American and International Law, and NEMA, March 2009.
- "Constitutional and Legal Tensions in Disaster Law", St. Louis University Law School, November 2008.



Daniel Benbow, CPA, CFE, MBA

Subject Matter Expert (Expert III)

Pool 2, Pool 3

Areas of Expertise

PROJECT MANAGEMENT; FORENSIC ACCOUNTING; AUDITING; FRAUD EXAMINER

Relevant Qualifications

- **As a Supervisory Auditor for the DHS Office of Inspector General**, managed audit teams performing audits of DHS activities including grant audits of FEMA grant recipients (state agencies, counties, cities, universities, schools, hospitals, airports, electric cooperatives, and other not-for-profit entities).
- **19 years of experience in auditing, forensic accounting, and anti-fraud.**
- **Experience managing auditor teams performing independent audits**, accounting record reconstruction, transaction verification, documentation, and asset reviews.
- **Performed training of existing audit staff** and recommended extensive procedural reorganization for some audit organizations.
- **4 years of an experience as a Revenue Agent for the Internal Revenue Service;** conducted independent audits of individual, partnership, and corporate income tax returns involving tax law, accounting, and investigative problems of substantial variety and complexity.

Experience on Similar Contracts

SBA Business Loan Review (February 2012–June 2012)

Small Business Administration, Office of Inspector General (SBA-OIG), Senior Auditor

Reference Organization: SBA-OIG
Address: 1175 Herndon Parkway
Herndon, VA 20170
Contact Name/Title: Richard Benton, Audit Manager
Phone Number: (703) 487-9275

The SBA examined early defaulted SBA Recovery Act business loans to determine culpability for default and indicators of fraud that resulted in SBA recoveries of tax dollars. For the State of New Jersey, Mr. Benbow will apply his extensive experience with the governmental audit process.

- Performed audit preplanning.
- Prepared audit guide.
- Performed document review.
- Prepared electronic work papers in accordance with GAGAS.
- Prepared narrative of work performed for later inclusion in the audit report.
- Prepared fraud referrals to OIG investigations.
- Requested full recovery for 100% of the audit dollars and referred 60% of audits to investigations.



BP Gulf Coast Oil Spill Disaster (August 2010–August 2011)
Guidepost Solutions, Senior Forensic Accountant

Reference Organization: Guidepost Solutions
Address: 415 Madison Avenue
New York, NY 10017
Contact Name/Title: Jim Murray, Senior Director of Forensic Accounting
Phone Number: (212) 817-6700

Guidepost Solutions examined damage claims filed by victims of the Gulf Coast oil spill for British Petroleum reimbursement, including loss of business profit calculations and record reviews for indicators of fraud. Disasters of any type result in both intentional and unintentional false and/or inflated loss claims; Mr. Benbow will apply this experience in the examination of the enumerated records for Hurricane Sandy losses.

- Examined claim documents such as state and federal income tax returns, state sales and use taxes returns, state liquor tax returns, business and professional licenses, business plans, and business financial records such as financial statements, interim financial reports.
- Performed financial analysis to compare and contrast periods of business activities.
- Performed interviews and/or reviewed investigator interviews.
- Performed business loss calculations.
- Reviewed claim documents for indicators of fraud and reasonableness given the business history.

Louisiana DHHS Hurricane Katrina Claim (March 2007–January 2008)
SafirRosetti (Guidepost Solutions), Forensic Accounting Manager

Reference Organization: SafirRosetti (Guidepost Solutions)
Address: 415 Madison Avenue
New York, NY 10017
Contact Name/Title: Jim Murray, Senior Director of Forensic Accounting
Phone Number: (212) 817-6700

SafirRosetti performed accounting record reconstruction, transaction verification, documentation, and asset review for hurricane Katrina damages applicable to FEMA Public Assistance grants. Mr. Benbow will apply this experience in the examination of the enumerated records for Hurricane Sandy losses.

- Began supervising this failing project six months into the engagement.
- Managed two auditors in the review of DHHS financial transaction records related to Hurricane Katrina responses.
- Performed extensive procedural reorganization and training of existing staff.
- Reviewed and/or directed the review of all DHHS Hurricane Katrina expenditures related to all project worksheets.
- Assessed contracting procedures for compliance with 44 CFR 13.36.
- Reviewed contractor records for compliance with the awarded contract language as well as FEMA guidelines.
- Examined remaining inventories of capital purchase items.
- Reduce the staff by one-third and overtime by 50 percent while finishing the project ahead of schedule.
- Determined approximately 30% of the expenditures were ineligible due to lack of proper records, conflicting documentation, and/or violations of other FEMA eligibility requirements.

Internal Control Reviews of Federal Courts (April 2006–November 2006)
Kearney & Company, Audit Manager

Reference Organization: Kearney & Company
Address: 4501 Ford Ave
Alexandria, VA 22302
Contact Name/Title: Brian Kearney, Principal
Phone Number: (703) 931-5600

Kearney & Company provided independent financial and internal control audits of the United States Court System. Mr. Benbow will apply this experience with the State of New Jersey, as adequate internal controls are imperative to the proper handling of grant money from any federal agency.

- Directed a team of auditors in the performance of internal control reviews and financial statement audits.
- The audits tested compliance with the pertinent aspects of court system's adaptation of the FMFIA, CFO Act, and OMB A-123.
- Performed reviews of internal control procedures and physical observations of controls in action.
- Reviewed financial computer system access controls for proper separation of duties.
- Examined procedures and physical security of financial record archives and computer systems.
- Tested sample financial transactions from the various court record keeping systems.
- Tested inventory controls on a sample basis, including controls of firearms and evidence inventories.
- Conducted entrance and exit interviews and prepared audit reports.
- All engagements were completed on or before the two week site-work deadline with substantial agreed findings and recommendations.

FEMA Grant Audits (May 2002–December 2005)
DHS-OIG, Auditor, Senior Auditor, Supervisory Auditor

Reference Organization: DHS-OIG
Address: 3900 Karina
Denton, TX 76208
Contact Name/Title: Tonda Hadley, Field Office Director
Phone Number: (940) 891-8900

DHS-OIG audited FEMA sub-grantee to determine whether they properly used and accounted for FEMA grant funds. For the State of New Jersey, Mr. Benbow will apply his extensive experience auditing FEMA grants and related crossover grants such as CDBG.

- Audited FEMA grants relating to federal disaster damages caused by:
 - Hurricanes in Texas and Louisiana
 - Tropical storms in Texas
 - Tornados in Kansas
 - Ice storms in Missouri
 - Snow storms in Illinois
 - Flooding in North Dakota
 - Wildfires in Wyoming

- Contractor fraud in Minnesota and New York
- As a supervisory auditor, managed multiple audit teams simultaneously in disparate locations.
- Published audit reports requesting sub-grantees return millions of dollars in improperly used or accounted for FEMA grant funds.

Employment History

| | |
|---------------------|--|
| 2005–present | Independent Contractor |
| Location | Denton, TX |
| Position | Forensic Accountant/Auditor Consultant |
| 2002–2005 | DHS - Office of Inspector General |
| Location | Denton, TX |
| Position | Auditor, Senior Auditor, Supervisory Auditor |
| 2001–2002 | Hawkins ISD |
| Location | Hawkins, TX |
| Position | Business Manager |
| 2000–2001 | USDA – Office of Inspector General |
| Location | Dallas, TX |
| Position | Auditor |
| 1998–1999 | East Texas Baptist University |
| Location | Marshall, TX |
| Position | Instructor of Federal Tax and Accounting |
| 1994–1998 | Internal Revenue Service |
| Location | Longview, TX |
| Position | Revenue Agent |

Education

M.B.A. Finance, Louisiana Tech University, 1995
 B.S. Accounting, East Texas Baptist University, 1993

Certification and Training

Certified Fraud Examiner, Association of Certified Fraud Examiners, 2005
 Certified Public Accountant, State of Texas, 1996
 SSBI Top Secret Clearance – DOD, 2008

Professional Affiliations

Association of Certified Fraud Examiners, 2004–present
 Texas State Board of Public Accountancy, 1996–present



Francis C. DeVito, CPA, CFF, CFE

Subject Matter Expert (Expert III)

Pool 2, Pool 3

Areas of Expertise

FORENSIC ACCOUNTING; FORENSIC INVESTIGATIONS; FINANCIAL INVESTIGATIONS; INVESTIGATIVE DUE DILIGENCE; LITIGATION CONSULTING; ASSET RECOVERY; COMMERCIAL LEASE AUDITING; CONTRACTUAL COMPLIANCE; CONSTRUCTION CLAIMS AND RISK CONSULTING; CONSTRUCTION COST ANALYSIS; CORPORATE RESTRUCTURING SERVICES; PURCHASING AND SELLING OF BUSINESSES; STOCKHOLDER AND PARTNERSHIP LITIGATIONS

Relevant Qualifications

- **More than 30 years of experience** in auditing, accounting and tax compliance services, litigation support, and management advisory services.
- **Licensed as a Certified Public Accountant (CPA) in New Jersey and New York.**
- **Certified in Financial Forensics (CFF) and credentialed as a Certified Fraud Examiner (CFE).**
- **Expert in forensic accounting, fraud prevention and investigation, and asset recovery.**
- **Extensive experience with government contracts, construction claims and construction risk consulting**, tax compliance, alternative dispute resolution, internal control consulting, financial investigations, litigation consulting, and loan monitoring.

Experience on Similar Contracts

Employee Theft and Fraud – American Leasing, Inc., (2009–2011)

DeVito, Snowden & Co., LLC, Forensic Analyst

Reference Organization: Shapiro, Croland, Reiser, Apfel & Dilorio, LLP

Address: 411 Hackensack Avenue
Hackensack, NJ 07601

Contact Name/Title: Stuart Reiser, Esq., Partner

Phone Number: (201) 488-3900

Fraud Investigation and Forensic Accounting

- Provided financial analysis of a vast amount of fraudulent leases and contracts created by the employee which were used in the creation of sham corporations designed to hide funds from the company.
- This investigation led to the arrest of conviction of the employee responsible for the theft.
- Demonstrated ability to identify the core of a systematic theft and fraud perpetrated against a private company by a high-ranking employee.

NJSDA vs. Construction Management Firm, (2007–2009)
DeVito, Snowden & Co., LLC, Auditor

Reference Organization: NJSDA
Address: 1 West State Street
Trenton, NJ 08625
Contact Name/Title: Albert Barnes, Senior Counsel
Phone Number: (609) 943-4968

Construction Claim Dispute. Fraud Investigation and Forensic Accounting

- Provided financial analysis and claims assistance services in defense of construction claims totaling \$7.3 million asserted against the NJSDA.
- Discovery, document retrieval, organization and review, job cost analysis, verification of contractor claims, consultation, and negotiation for settlement conferences.

Real Estate Development – Stakeholder Dispute/Bankruptcy, (2007–2008)
DeVito, Snowden & Co., LLC, Auditor

Reference Organization: Private Investors – Dr. Robert Cohen and Mr. Harvey Ross
Dr. Robert Cohen
100 Quentin Roosevelt Blvd. Suite 400
Garden City, NY 11530
Address: Mr. Harvey Ross
180 South Street Unit 201
New Providence, NJ 07974
Contact Name/Title: Dr. Robert Cohen and Mr. Harvey Ross
Phone Number: Dr. Robert Cohen (516) 317-9200
Mr. Harvey Ross (908) 673-3141

Internal Control Audit

- Determination of partnership's interests in company, and salvaging those interests in the bankruptcy proceedings.
- Real estate development of apartment complexes.

Condominium Development, (2006–2008)
DeVito, Snowden & Co., LLC, Auditor

Reference Organization: Gemstone Property Group, LLC
Address: PO Box 808
Chatham, NJ 07928
Contact Name/Title: Daniel P. Wunschuh, Managing Director
Phone Number: (973) 624-0055

Construction Cost and Internal Control Analysis.

- Provided financial analysis and accounting and tax compliance services including the review of budgeted and actual construction costs incurred to date.
- Review of financial records including detailed general ledgers, bank statements, invoices, contracts, draw requisition, job cost detail analysis, developers' internal control systems, and draw requisitions.

- Reconciled presale deposit ledgers and bank statements to determine if proper segregation and accountability existed.
- Established internal controls for management of a construction project in excess of \$36,000,000.

Construction Claim Dispute, (2004–2005)

Smolin, Lupin & Co., PA, Auditor

Reference Organization: Trimont Real Estate Advisors
Address: 3424 Peachtree Road NE, Suite 2200
 Atlanta, GA 30326
Contact Name/Title: John Gass, Senior Vice President
Phone Number: (404) 420-5600

Gained further experience in working directly with real estate experts in the construction claim area

- Provided financial analysis and litigation support services in determining the legitimacy of the general contractor’s construction costs in excess of \$50,000,000.
- Discovery, document retrieval, organization and review, job cost analysis, validation of contractor claims, assisting counsel with document requests at close out hearing with subcontractors.
- Defense of excessive general conditions claims and review of general contractor’s self-performing work claims asserted against the project.
- Preparation of expert report and provided consultation to management.

Employment History

| | |
|---------------------|---|
| 2006-Present | DeVito, Snowden & Co., LLC |
| Location | 250 Moonachie Road Suite 200 Moonachie, NJ 07074 |
| Position | Managing Member |
| 1981-2006 | Smolin, Lupin & Co., PA |
| Location | 165 Passaic Ave, Fairfield NJ 07004 |
| Position | Partner of 22 years |

Education

B.A., Accounting, Rutgers, The State University of New Jersey, 1981
 Continuing Professional Education Seminars

Certification and Training

CPA, State of New Jersey Board of Accountancy, License # 20CC01679200, 1998 (Active)
 CPA, State of New York Board of Accountancy, License # 73191, 1997 (Active)
 CFF, American Institute of Certified Public Accountants, 2008 (Active)
 CFE, Association of Certified Fraud Examiners, 1993 (Active)
 IRS Representative, IRS, 2005-50057R, 2005 (Active)

Professional Affiliations

American Institute of Certified Public Accountants (AICPA)
Association of Certified Fraud Examiners (ACFE)
Association of Inspectors General
New Jersey Society of Certified Public Accountants (NJSCPA)
New York State Society of Certified Public Accountants (NYSSCPA)



William Eargle, CPA

Subject Matter Expert (Expert III)
Pool 1, Pool 2, Pool 3

Areas of Expertise

GRANTS MANAGEMENT; ACCOUNTING; FINANCIAL MANAGEMENT; HOUSING

Relevant Qualifications

- **More than 42 years of experience in the federal sector**, performing financial management functions for HUD, and Department of Transportation
- **Served as Deputy Assistant Secretary for Operations, Office of Community Planning and Development (CPD) U.S. Department of Housing and Urban Development (HUD)**, Washington, DC., where, as a member of the Senior Executive Service (SES), he was responsible for the CPD Office of Management and Technical Assistance (Budget, Accounting, Administration, Systems Development, Implementation, and Technical Assistance) in the HUD office responsible for the CDBG, Section 108, HOME, and NSP2 programs.
- **Received the Meritorious Award for sustained excellence in the area of financial management**, a Presidential Rank Award, given to fewer than 5% of all members of the SES.
- **Certified Public Accountant**

Experience on Similar Contracts

Development of HUD Community Planning and Development Monitoring Handbook 6509.2 (2003–2006)
Department of Housing and Urban Development, Deputy Assistant Secretary/Project Oversight Manager

| | |
|--------------------------------|--|
| Reference Organization: | HUD/CPD |
| Address: | 451 7th Street, SW Washington, DC 20410 |
| Contact Name/Title: | Deidre Maguire |
| Phone Number: | (202) 402-4529 |

The Handbook includes all programs and technical functions for which CPD Field staff have monitoring responsibilities, including CDBG grants and disaster recovery. Mr. Eargle oversaw all aspects of the development of this guidance.

- Determined need for specific guidance to be included in handbook.
- Gained funding for the project and managed the budget throughout the life of the project.
- Made work assignments to direct reports.
- Gained agency-wide support and buy-in for the new guidance, overcoming obstacles to change.
- Reviewed all work products.

Resolution of OIG Audit Reports (2002–2010)
HUD/CPD, Comptroller

| | |
|--------------------------------|--|
| Reference Organization: | HUD/CPD |
| Address: | 451 7th Street, SW Washington, DC 20410 |



Contact Name/Title: Nelson Bregon, Associate Assistant Deputy Secretary
Phone Number: (202) 708-2426

These reports were required to be resolved on a regular basis. This involved examining and validating findings and taking corrective actions as required. As comptroller, Mr. Eargle oversaw the resolution process. This process provided him with in-depth knowledge of problems encountered by prior CDBG funded disaster relief programs and internal controls that need to be in place to preclude problems/concerns in New Jersey's projects.

- Reviewed draft audit findings and provided comments as to accuracy.
- Reviewed final audits and monitored determination of management decisions and closure action.
- Coordinated responses to audits.
- Mediated final action with auditors.

Correct Faulty Accounting System Processes (1990–1992)
 HUD, Director of Accounting

Reference Organization: HUD/CFO
 451 7th Street, SW
 Washington, DC 20410
Contact Name/Title: Ken Holland, Director, Funds Control Assurance Division
Phone Number: (202) 402-3828

As issues were identified within HUD's accounting processes, they needed to be corrected and brought into alignment with standard accounting procedures. Mr. Eargle oversaw this project and took appropriate corrective action, and experience that will allow him to make process improvement suggestions for this effort.

- Identified accounting weaknesses and actions needed to correct them.
- Established multi-disciplinary team to correct weaknesses.
- Gained funding for needed changes and managed the budget.
- Monitored progress and gave direction.

| Employment History | |
|---------------------|---|
| 2010–present | Independent Consultant |
| Location | Arlington, Va |
| Position | Consultant |
| 1990–2010 | Department of Housing and Urban Development |
| Location | Washington D.C. |
| Position | Various accounting and financial management positions |
| 1977–1990 | Department of Transportation |
| Location | Washington, D.C. |
| Position | Various accounting and financial management positions |

Education

M.B.A, Loyola University (Maryland), 1977
 B.S., Accounting, Newberry College, 1975

Certification and Training

Certified Public Account in the State of Maryland, 1979

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Areas of Expertise

PUBLIC ASSISTANCE GRANT PROGRAM; HAZARD MITIGATION GRANT PROGRAM; DISASTER ASSISTANCE FROM OTHER FEDERAL AGENCIES INCLUDING HUD, EDA, USDA, AND THE PRIVATE SECTOR; GRANT APPLICATIONS, CLOSEOUTS, AND AUDITS; PROPOSALS; FLOOD HAZARD MITIGATION AND FLOODPLAIN MANAGEMENT; PUBLIC AND ENVIRONMENTAL POLICY; LONG-TERM RECOVERY; PLANNING; RISK ASSESSMENT; BENEFIT COST ANALYSIS; DISASTER RELATED INTERGOVERNMENTAL RELATIONS; FACILITATE AND MODERATE PUBLIC MEETINGS

Relevant Qualifications

- **19 years of experience with disaster grant program administration.**
- **Serves as a pre- and post-disaster policy advisor to elected officials** on the delivery of disaster assistance, resources needs, and community recovery planning, including: coordinating between local, state, and tribal governments and Federal agencies; developing long-term recovery strategies; applying for Federal funds; and guiding the engagement of public and private partnerships essential to robust recovery efforts.
- **Manages comprehensive disaster recovery programs** including Public Assistance grants and appeals, Hazard Mitigation grants and appeals; and FEMA mandated quarterly reports for all open grants.
- **Manages FEMA grant closeout and audit process** for Public Assistance, Hazard Mitigation Grant Program, and Flood Mitigation Assistance planning funds.
- **Prepares Recovery, All-Hazards, and Flood Hazard Mitigation Plans** in compliance with public policy and doctrine.
- **Develops and manages project budgets, grants, and proposals.** Secures Federal funds for public projects.
- **Provides technical guidance regarding compliance with Federal grant program requirements,** including grant administration, relevant laws and Executive Orders, including floodplain management, Environmental Justice, the National Environmental Policy Act, and the National Historic Preservation Act.
- **Prepares complex briefing materials on disaster recovery issues in the simplest of terms** and leads preparatory sessions with elected and appointed officials in advance of meetings with constituents; served as principal advisor during briefing process.
- **Crafts and implements media and outreach campaigns promoting disaster recovery programs** including drafting press releases, speaking with national and local media, and leading press conferences.

Experience on Similar Contracts

Susquehanna County Commissioners and Emergency Management Agency (2011-2012)

E Group, LLC, Project Manager

Reference Organization: Susquehanna County, Pennsylvania
11 Maple St
Address: Montrose, PA 18801
Contact Name/Title: Sylvia Beamer, Chief County Clerk
Phone Number: (570) 278-4600, ext 100

Provide comprehensive disaster response and recovery services to the Susquehanna County Commissioners and Emergency Management Agency personnel. This work is directly relevant to New Jersey because it entailed ensuring that all work performed in the County would comply with and be eligible for full reimbursement under FEMA's Public Assistance and Hazard Mitigation programs.

- Apply for, implement, and administer disaster funds from FEMA.
- Review Scope of Work and provide direction to contractors performing work under FEMA's Public Assistance program.
- Negotiate and secure contract with engineering firm to conduct inspections of flood-damaged residential dwelling units all paid for by FEMA.
- Work to ensure that post-flood repairs and reconstruction effort are made in compliance with the NFIP and local floodplain codes and ordinances.
- Conduct public meetings and interface with the media.
- Work with volunteer agencies and the private sector to address unmet needs of disaster survivors.
- Work with Congressional delegation to resolve constituent issues, ensuring residents received disaster assistance.

Flood Hazard Mitigation Plan for Susquehanna County, Pennsylvania (2007-2009)

E Group, LLC, Project Manager

Reference Organization: Susquehanna County, Pennsylvania
11 Maple St
Address: Montrose, PA 18801
Contact Name/Title: Sylvia Beamer, Chief County Clerk
Phone Number: (570) 278-4600, ext 100

Secure funding for, implement, and administer Hazard Mitigation Grant Program for Susquehanna County. This work is directly relevant to New Jersey because it required that all work performed under the Flood Mitigation Assistance grant comply with the terms of the grant in order to be eligible for full reimbursement. The County's Plan was approved and the grant fully funded.

- Apply for Flood Mitigation Assistance grant funds to develop plan.
- Develop, administer, and manage project budget for creating Flood Hazard Mitigation Plan, including the use of subcontract labor for specialized tasks.
- Develop, implement, and manage project timeline for producing Flood Hazard Mitigation Plan, including robust community involvement, approval process, and grant audit and closeout review.

Hazard Mitigation Grant Program for Susquehanna County (2006-2010)
E Group, LLC, Project Manager

Reference Organization: Susquehanna County, Pennsylvania
Address: 11 Maple St
Montrose, PA 18801
Contact Name/Title: Sylvia Beamer, Chief County Clerk
Phone Number: (570) 278-4600, ext 100

Secure funding for, implement, and administer the Hazard Mitigation Grant Program for Susquehanna County. This task is directly relevant to New Jersey because it required ensuring all work performed under the Hazard Mitigation Grant Program award complied with FEMA's eligibility criteria and, therefore, would be eligible for full reimbursement under FEMA's program.

- Request waiver from FEMA for planning requirement consistent with criteria established in Federal Register Notice.
- Establish County priorities under Hazard Mitigation Grant Program.
- Draft resolution for County Commissioners to enact, formally establishing County recovery priorities for Hazard Mitigation Grant Program funds.
- Negotiate fee and hire real estate appraiser to establish pre-flood fair market value of participating properties.
- Draft press releases and interface with media to promote County participation in Hazard Mitigation Grant Program.
- Organize, promote, and facilitate community meetings to educate residents on the Hazard Mitigation Grant Program and solicit participation of eligible residents.
- Develop, write, submit, revise, implement, and manage the Hazard Mitigation Grant Program application.
- Regularly update County Commissioners, Emergency Management staff, and County residents regarding status of grant application.
- Notify County Commissioners, Emergency Management, and County residents of \$1.7 million grant approval.
- Work with County solicitor to prepare all approved properties for closing under FEMA's program.
- Prepare bid notice, Scope of Work, conduct bid reviews, and recommend awarding of demolition contract under Hazard Mitigation Grant Program.
- Prepare all closeout documentation for County's Hazard Mitigation grant.
- Attend grant closeout and audit meetings with state emergency management personnel and FEMA representatives. Grant closed with all work 100 percent reimbursed.

All-Hazards, Multi-Jurisdictional Hazard Mitigation Plan (2007)
E Group, LLC, Project Manager

Reference Organization: Susquehanna County, Pennsylvania
Address: 11 Maple St
Montrose, PA 18801
Contact Name/Title: Sylvia Beamer, Chief County Clerk
Phone Number: (570) 278-4600, ext 100

Research, assess, write, and manage the approval of an All-Hazards, Multi-Jurisdictional Hazard Mitigation Plan for Susquehanna County and its 40 municipalities. Absent the plan, the County and its residents would not be eligible for Hazard Mitigation Grant Program funds. This plan was required as a

condition of receiving Hazard Mitigation Grant Program funds and was written in coordination with a Flood Mitigation Assistance Grant. This effort required considerable care to ensure that the scopes of work for both projects were not violated and that the start date for the Flood Mitigation Assistance Grant was not compromised.

- Develop outline, Scope of Work, and timeline for development of All-Hazards Plan.
- Negotiate with Pennsylvania State Emergency Management, enabling the County to proceed with requests for disaster assistance while simultaneously developing Congressionally-mandated hazard mitigation plan
- Conduct public meetings to seek participation and feedback from community and stakeholders regarding risks and hazards.
- Conduct risk assessment and capability meetings with all participating municipalities.
- Circulate draft documents for comment to all stakeholders, neighboring counties, and oversight organizations, incorporating comments into future drafts as appropriate.
- Draft template documents for municipalities to utilize for adopting Plan.
- Meet with State and FEMA representatives to review plan for final approval.
- Plan was researched, written, and approved in less than 10 weeks. FEMA stated that it was the best plan written in the Commonwealth of Pennsylvania and one of the top plans in Region III.

Disaster Response and Recovery Services for Susquehanna County Commissioners and Emergency Management Agency (2007)
E Group, LLC, Project Manager

Reference Organization: Susquehanna County, Pennsylvania
Address: 11 Maple St
Montrose, PA 18801
Contact Name/Title: Sylvia Beamer, Chief County Clerk
Phone Number: (570) 278-4600, ext 100

Provided comprehensive disaster response and recovery services to the Susquehanna County Commissioners and Emergency Management Agency personnel. This work is directly pertinent to New Jersey because it required ensuring that all work performed in the County adhered to approved scope of work as well as complied with FEMA's eligibility criteria under the Public Assistance and Hazard Mitigation grant programs.

- Apply for, implement, and administer disaster funds from FEMA under the Public Assistance program.
- Review Scope of Work, bids for work, and provide direction to contractors performing work under FEMA's Public Assistance program, including repairs to County Bridges and reimbursements for emergency costs.
- Prepare appeals under FEMA's Public Assistance program when estimated funding levels are too low or fail to include critical work elements.
- Prepare all grant closeout documentation for Public Assistance and Hazard Mitigation Grant Program funds; attend audit meetings and closeout briefings with FEMA and state emergency management officials. Lauded by FEMA as the "most logical" plan the representative has seen.
- Negotiate and secure contract with engineering firm to conduct inspections of flood-damaged residential dwelling units all paid for by FEMA.

- Negotiate fee and hire real estate appraiser to establish pre-flood fair market value of participating properties.
- Coordinate across departmental and political boundaries to ensure that post-flood repairs and made in compliance with the NFIP and local floodplain codes and ordinances.
- Conduct public meetings and interfaced with the media.
- Work with volunteer agencies and Congressional staff to address unmet needs of disaster survivors.

Employment History

| | |
|---------------------|--|
| 2004–present | E Group, LLC |
| Location | Seattle, WA |
| Position | Principal |
| 2003-2004 | MAXIMUS, Inc. |
| Location | Seattle, WA |
| Position | Director, Federal Resource Development |
| 2001-2002 | Cascadia Center |
| Location | Seattle, WA |
| Position | Senior Policy Advisor |
| 2000-2001 | Womble Carlisle Sandridge & Rice |
| Location | Washington, DC |
| Position | Associate Director of Federal Government Regulations |
| 1998-1999 | American Public Works Association (APWA) |
| Location | Washington, DC |
| Position | Manager, Disaster Preparedness Programs |
| 1996-1998 | Federal Emergency Management Agency (FEMA) |
| Location | Washington, DC |
| Position | Intergovernmental Affairs Specialist |
| 1994-1996 | FEMA |
| Location | Washington, DC |
| Position | Mitigation Program Specialist |

Education

Coursework in Economics and Public Policy, The American University
 Coursework in Business, Indiana University

Training

Floodplain Management
 Risk Assessment
 Hydraulics and Hydrology
 Grants and Contracts Management, FEMA, 1994

Natural Hazards Mitigation and Recovery, Emergency Management Institute, 1995
National Environmental Policy Act, Section 106 of the Historic Preservation Act, Emergency Management Institute, 1995
Benefit-Cost Analysis, FEMA, 1997
Introduction to Incident Command System, ICS-100, Emergency Management Institute, 2009
ICS for Single Resources and Initial Action Incidents, ICS-200, Emergency Management Institute, 2009
Intermediate ICS for Expanding Incidents, ICS-300, Emergency Management Institute, 2009
Advanced ICS, ICS-400, Emergency Management Institute, 2009
National Response Framework, Emergency Management Institute, 2009
National Incident Management System, Emergency Management Institute, 2009
National Response Framework ESF # 5, Emergency Management, Emergency Management Institute, 2011
National Response Framework ESF # 14, Long Term Community Recovery, Emergency Management Institute, 2011
Introduction to FEMA's Public Assistance Program, Emergency Management Institute, 2006

Professional Affiliations

National Emergency Management Association



William R. Garrard

Subject Matter Expert (Expert III)
Pool 1, Pool 2

Areas of Expertise

PUBLIC MANAGEMENT; ORGANIZATION BEHAVIOR; DECISION ANALYSIS; PERFORMANCE MANAGEMENT; MANAGEMENT ANALYSIS; MANAGEMENT CONTROL AUDITS

Relevant Qualifications

- **Experience developing scope, methodology, and project plans for outcome-oriented performance and management control audits** of state agencies and programs.
- **As an Advanced Management Analyst, collected and analyzed program activity data** through legal research, interviews with program management, site-visits, and dataset reviews to inform audit findings.
- **Drafted evidentiary working papers and reports to draw conclusions and construct recommendations** enhancing program effectiveness and efficiency; provided best practices relevant to policy areas.
- **Provided ongoing oversight to a diverse suite of projects** supported by the University outreach institution responsible for provision of community and economic development assistance to localities in the state of Georgia.
- **Supported a wide range of projects valued between \$500,000 and \$2.2 billion.**

Experience on Similar Contracts

Funding Review of Governor's Office of Planning and Budget (July 2012–January 2013)
Georgia Department of Audits and Accounts, Auditor

Reference Organization: Governor's Office of Planning and Budget
270 Washington Street, S.W., 8th Floor
Atlanta, GA 30334
Address:
Contact Name/Title: David Lakly, Director, Education Division
Phone Number: (404) 656-7908

The Georgia Department of Audits and Accounts reviewed the state education funding formula to determine the impact of reductions to school district property tax digests. For the State of New Jersey, Mr. Garrard will apply his experience determining compliance of operational implementation of state funding policy and determining the relationship between local tax arrangements and generated state education appropriations.

- Reviewed Georgia Dept. of Education's formula calculation mechanism to determine impact points for tax value inputs.
- Performed analytics including sensitivity analysis for forecast reductions in digest value on equalization assistance.
- Determined types and magnitude of economic development arrangements that effect state-wide funding mechanisms.



Performance Review of Department of Behavioral Health and Developmental Disabilities
(February 2012–July 2012)

Georgia Department of Audits and Accounts, Lead Auditor

Reference Organization: Department of Behavioral Health and Developmental Disabilities
Two Peachtree Street, N.W.
Address: 24th Floor
Atlanta, Georgia 30303
Contact Name/Title: Robert Dorr, Director, Office of Audits
Phone Number: (404) 232-1637

The Georgia Department of Audits and Accounts conducted a performance review of mental health transport services provided by local sheriffs' offices. Mr. Garrard will apply his experience reviewing the impacts of compliance and assessing the effect of changes in service provisions to the State of New Jersey's recovery projects.

- Assessed the burden of the mandate to transfer emergency mental health client intakes on local sheriffs divisions statutorily required to provide transportation.
- Quantified the impact of transforming emergency mental health services from centralized institutions to community-based provision.

Performance Evaluation of Georgia Department of Agriculture (July 2011–July 2012)

Georgia Department of Audits and Accounts, Auditor

Reference Organization: Georgia Department of Agriculture
19 Martin Luther King, Jr. Dr., S.W.
Address: Atlanta, Georgia 30334
Contact Name/Title: Scott Tedcastle, Principal Auditor
Phone Number: (404) 651-8918

The Georgia Department of Audits and Accounts conducted a broad scope performance audit of Georgia Department of Agriculture's food safety inspection program. For the State of New Jersey, Mr. Garrard will apply his experience in reviewing all aspects of management controls, productivity, enforcement activity and compliance with regulatory statutes.

- Reviewed all aspects of manufactured food inspection program including: employee productivity; regulatory compliance; risk assessment implementation; incident enforcement procedures.
- Conducted interviews and observational site-visits to review inspector activity.
- Reviewed historic inspection data to determine productivity and procedural efficiency.
- Reviewed industry best practices to determine evaluation criteria.
- Performed legal and regulatory research to determine compliance and regulatory environment.
- Drafted evidentiary working papers and reports to draw conclusions and construct recommendations enhancing program effectiveness and efficiency.

County Workforce Job Description Elicitation and Review (August 2010–May 2011)

University of Georgia Archway Partnership, Project Manager

Reference Organization: Washington County Board of Commissioners
119 Jones Street
Address: Sandersville, GA 31082
Contact Name/Title: Chris Hutchings, County Administrator
Phone Number: (478) 640-0008

The University of Georgia performed a job description elicitation and review for a county workforce to assist with recruiting, task assignment, and organizational development. Mr. Garrard will use his

experience and understanding of county-wide workflow and business roles to develop a comprehensive and legally defensible organizational structure for requesting State of New Jersey using agencies.

- Interviewed all current employees and management for all administrative divisions in the county government.
- Reviewed current job descriptions for accuracy and cross-organization integration of responsibility.
- Led elicitation questionnaire development, field management, and review.
- Produced and presented revised job description report to County Administrator.

Monitoring and Analysis of Regional Waste Management (August 2009–March 2010)
University of Georgia Archway Partnership, Project Manager

Reference Organization: Georgia Department of Community Affairs
 60 Executive Park South, NE
 Atlanta, GA 30329

Address:

Contact Name/Title: Randy Hartmann, Association County Commissioners of Georgia
 Membership Services Director

Phone Number: (404) 522-5022

The University of Georgia conducted a review of recycling and solid waste collection practices in coastal Georgia. Mr. Garrard provided recommendations for monitoring of regional solid waste management practices. For the State of New Jersey, Mr. Garrard will apply his experience in accurate analysis and compilation to inform decision-makers through the development of an operational narrative inclusive of strategy recommendation.

- Created a data set of multi-county recyclables management techniques through surveys and interviews with public officials.
- Researched industry best practices.
- Developed findings and recommendations tailored to community assets and current practices.

| Employment History | |
|---------------------------|---|
| 2011–present | Georgia Department of Audits and Accounts, Performance Audits Division |
| Location | Atlanta, GA |
| Position | Advanced Management Analyst |
| 2009–2011 | Archway Partnership, the University Of Georgia |
| Location | Athens, GA |
| Position | Graduate Assistant |
| 2010 | Department of Community Affairs |
| Location | Atlanta, GA |
| Position | Intern |
| 2009 | Medefield America |
| Location | New York, NY |
| Position | Client Services Manager |

| | |
|------------------|---|
| 2007–2009 | South Carolina Institute of Archaeology and Anthropology |
| Location | Columbia, SC |
| Position | Archaeological Field Technician |
| 2006–2007 | Micromass Communications, Inc. |
| Location | Cary, NC |
| Position | Project Manager |
| 2005–2006 | Greenfield Online, Inc. |
| Location | Durham, NC |
| Position | Project Director |

Education

M.P.A., Public Administration, University of Georgia, 2011
B.A., History, University of North Carolina, 2004



Ellen Gordon

Subject Matter Expert (Expert III)
Pool 1, Pool 2

Areas of Expertise

EXECUTIVE LEADERSHIP; POLICY DEVELOPMENT AND IMPLEMENTATION; FEMA PUBLIC ASSISTANCE (PA) PROGRAM; DISASTER RECOVERY; EMERGENCY MANAGEMENT; HOMELAND SECURITY; PROGRAM DEVELOPMENT AND MANAGEMENT; PUBLIC AFFAIRS AND RELATIONS; STRATEGIC PLANNING

Relevant Qualifications

- **Former Administrator and Homeland Security Advisor for the Iowa Homeland Security & Emergency Management Division (HSEMD).**
- **Led the State of Iowa through numerous presidential disaster declarations, as well as hundreds of state-of-emergency declarations,** including transportation incidents, chemical releases, and natural disasters, to include statewide flooding.
- **Nationally recognized in the field of homeland security and emergency management;** serves on the Homeland Security Advisory Council (Homeland Security Secretary); served as President of the National Emergency Management Association (NEMA) and chairperson of the NEMA Homeland Security Committee.
- **Associate Director and faculty member of the Naval Postgraduate School Center for Homeland Defense and Security (CHDS);** conducts and develops executive education for homeland security senior leaders at the federal, state, and local levels, including the military and the private sector.
- **Served as Task Lead for the U.S. Department of Homeland Security (DHS) Nationwide Plan Review project team that was responsible for reviewing the New York City Urban Areas Security Initiative (UASI);** assisted in the review and development of the Nationwide Plan Review report to Congress.
- **30 years of experience in emergency management and 10 years in homeland security.**

Experience on Similar Contracts

Severe Storms in the Midwest, Disaster Declaration Number DR-1518 (declared May 2004)
Department of Public Defense, Iowa HSEMD, Administrator and Homeland Security Advisor

| | |
|--------------------------------|---|
| Reference Organization: | U.S. Department of Agriculture |
| Address: | 1400 Independence Ave., SW, Washington, D.C. 20250 |
| Contact Name/Title: | Tom Vilsack, Secretary of Agriculture (Former Governor of Iowa) |
| Phone Number: | (202) 720-3631 |

*Severe storms, tornadoes, and flooding caused extensive damage in the Midwest in the spring of 2004 and led to a presidential disaster declaration. The disaster resulted in the disbursement of more than **\$35 million in FEMA funds**. In the State of Iowa, 77 counties were declared disaster areas. Ms. Gordon's experience managing this disaster and the subsequent recovery at the state level can be leveraged to help the State of New Jersey ensure that all work performed pursuant to this RFQ will be eligible for U.S. Department of Housing and Urban Development (HUD) and FEMA PA grant funding. Ms. Gordon's specific responsibilities included:*

- Served as the Governor's Authorized Representative (GAR) and oversaw all aspects of the emergency management system, including all recovery functions.



- Provided overall management, supervision, and administrative leadership for all aspects of the disaster and recovery.
- Maintained executive oversight over all Stafford Act programs and approved all project funding requests.
- Participated in negotiations with FEMA to secure PA funds for large-scale damage to state-owned property.

Severe Storms and Flooding, Disaster Declaration Number DR-1230 (July 1998–2001)
Department of Public Defense, Iowa HSEMD, Administrator

Reference Organization: State of Iowa
Address: 1007 East Grand Ave., Des Moines, Iowa 50319
Contact Name/Title: Governor Terry Branstad
Phone Number: (515) 281-5211

*Severe storms and flooding caused widespread damage across the State of Iowa and led to 80 counties being declared disaster areas. This disaster resulted in a presidential disaster declaration, caused more than \$1 billion in damage, and resulted in the disbursement of **\$56 million in FEMA funds**. Ms. Gordon's experience managing this disaster and the subsequent recovery at the state level can be leveraged to help the State of New Jersey ensure that all work performed pursuant to this RFQ will be eligible for HUD and FEMA PA grant funding. Ms. Gordon's specific responsibilities included:*

- Served as the GAR and oversaw all aspects of the emergency management system, including all recovery functions.
- Provided overall management, supervision, and administrative leadership for all aspects of the disaster and recovery.
- Maintained executive oversight over all Stafford Act programs and approving all project funding requests.
- Participated in negotiations with FEMA to secure PA funds for large-scale damage to state-owned property.

Widespread Mississippi River and Missouri River Flooding,
Disaster Declaration Number DR-996 (April 1993–2003)
Department of Public Defense, Iowa HSEMD, Administrator

Reference Organization: State of Iowa
Address: 1007 East Grand Ave., Des Moines, Iowa 50319
Contact Name/Title: Governor Terry Branstad
Phone Number: (515) 281-5211

*In the spring of 1993, severe storms and flooding resulted in more than \$1 billion in damage across the midwest. This presidentially-declared disaster resulted in the disbursement of more than **\$350 million in FEMA funds**. All 99 counties in the State of Iowa were declared disaster areas. Ms. Gordon's experience managing this disaster and subsequent recovery at the state level can be leveraged to help the State of New Jersey ensure that all work performed pursuant to this RFQ will be eligible for HUD and FEMA PA grant funding. Ms. Gordon's specific responsibilities included:*

- Served as the GAR and overseeing all aspects of the emergency management system, including all recovery functions.
- Provided overall management, supervision, and administrative leadership for all aspects of the disaster and recovery.
- Maintained executive oversight over all Stafford Act programs and approving all project funding requests.

- Participated in negotiations with FEMA to secure PA funds for large-scale damage to state-owned property.

Employment History

| | |
|---------------------|--|
| 2004–present | IEM, Inc. |
| Location | Various Locations Nationwide |
| Position | Senior Homeland Security Consultant |
| 2004–present | Naval Postgraduate School CHDS |
| Location | Monterey, CA |
| Position | Associate Director, Executive Education Programs and Associate Faculty |
| 1986–2004 | Department Of Public Defense, Iowa HSEMD |
| Location | Des Moines, IA |
| Position | Administrator (1986–2004) and Homeland Security Advisor (2001–2004) |
| 1976–1984 | Jasper County Emergency Management |
| Location | Newton, IA |
| Position | Agency Director |

Education

M.A., National Security Studies, emphasis in Homeland Security, Naval Postgraduate School, 2004
 B.S., Law Enforcement and Corrections, Truman State University, 1975

Certification and Training

Certificate of Completion, University of Missouri Law Enforcement Academy, 1975 (no longer current)
 Leadership Iowa Graduate, Iowa Association of Business and Industry, 1985
 Applied Management Series, Iowa Management Training System, 1980–1990s
 Numerous homeland security and emergency management courses, including Budgeting for Results and Total Quality Management, 1976–2004
 Graduate, (Iowa) Governor’s Program for Excellence
 Graduate, Council of State Government’s Henry Toll Fellowship Program, 2002

Professional Affiliations

Homeland Security Advisory Council, member 2009–present
 National Advisory Council, former member
 National Homeland Security Consortium, member 1999–present
 Emergency Response Senior Advisory Committee, U.S. Department of Homeland Security, member 2001–2009
 Lifetime Member, NEMA
 Past Chair, Homeland Security Committee, NEMA
 Advisory Panel to Assess Domestic Response Capabilities for Terrorism Involving Weapons of Mass Destruction, U.S. Dept. of Defense to Congress and President, 1999–2004 (Gilmore Commission)
 Harvard Kennedy School of Government Executive Session on Domestic Preparedness NORTHCOM Independent Strategic Assessment Group

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Otto J. Hetzel, Esq.

Subject Matter Expert
Pool 1, Pool 2, Pool 2

Areas of Expertise

ATTORNEY AT LAW; LEGAL CONSULTING; LEGAL REPRESENTATION OF PUBLIC ENTITIES AND LOCAL HOUSING AUTHORITIES; U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (HUD) DISPUTES AND LITIGATION; AUDITS INVOLVING COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) AND HOME FUNDS

Relevant Qualifications

- **30 years of experience as a practicing attorney focusing on housing and community development.**
- **Specializes in providing legal representation to local government entities and housing authorities** as well as private and non-profit entities, primarily regarding matters arising with federal agencies over the administration of federal programs.
- **Successfully handled a number of CDBG and HOME funds disputes with HUD** concerning monitoring by HUD program offices and audits by HUD's Office of Inspector General.
- **Serves as Special Counsel to various cities and local housing authorities and advises mayors, city managers, and executive directors in dealings with HUD;** when necessary, he has instituted or responded to litigation in federal and state courts, trial and appellate, involving his clients' interests; also provides assistance to his clients in matters before Congress to achieve legislative objectives.
- **Served as Lead Counsel on behalf of the City of Kansas City, Missouri for major litigation in the Federal Court of Appeals for the District of Columbia in *Kansas City v. HUD*;** this ruling established the principle that before reducing a recipient's funds, HUD was required to provide due process hearings after notice.
- **Obtained \$2.6 million in CDBG funds for the City of Houston, Texas through litigation and obtaining Congressional enactment of restitution for funds improperly withheld by HUD.**
- **Served as both Associate General Counsel and Assistant General Counsel for Civil Rights at HUD.**
- **Member of the Bar of the United States Supreme Court** and the Bars in the District of Columbia, California, and Michigan; also admitted to practice in those Federal District Courts and in Maryland, and the Ninth, Eighth, Sixth, and District of Columbia Federal Courts of Appeal and Federal Court of Claims.
- **Member of the American Bar Association (ABA)'s Hurricane Katrina Task Force Legal Subcommittee** and helped draft its highly regarded report on Hurricane Katrina.
- **Served as a Deputy Attorney General for the State of California;** advised the Attorney General, the Governor, and Directors of various State Departments and Agencies and handled major litigation involving anti-trust and consumer fraud matters.
- **Professor of Law Emeritus at Wayne State University Law School in Detroit, Michigan;** taught courses and seminars in urban housing and community development, legislation, land use, civil trial procedure, and litigation for more than 20 years until taking Emeritus status.



Experience on Similar Contracts

Legal Representation for the Housing Authority of Reading, PA (2005–present)

Otto J. Hetzel, Esq. (private legal practice), Attorney at Law

Reference Organization: Reading Housing Authority
Address: 400 Hancock Boulevard, Reading, PA 19611
Contact Name/Title: Dan Luckey/Executive Director
Phone Number: (484) 955-5149

Mr. Hetzel provided legal representation for a variety of issues related to disputes arising from the administration of federal low-income housing programs over a period of approximately 8 years. This experience is relevant to the services required by the RFQ because it involves representing a local-level housing authority in proceedings dealing with federal and development housing programs.

Legal Representation for Community Initiatives Development Corporation (CIDC) of Hudson, NY (2004–present)

Otto J. Hetzel, Esq. (private legal practice), Attorney at Law

Reference Organization: CIDC
Address: 212 Warren Street, Hudson, NY 12534
Contact Name/Title: Bill Loewenstein/President and Chief Executive Officer
Phone Number: (518) 281-8120

Mr. Hetzel handled a variety of compliance matters through CIDC for local government entities regarding disputes with HUD concerning CDBG, HOME, and other urban economic development programs. This experience is relevant to the services required by the RFQ because it involved providing legal representation to an active 501(c)(3) developer of affordable housing and public facilities in disputes with HUD.

Legal Representation for the Schiff Group, Inc. of Vienna, VA (1994–present)

Otto J. Hetzel, Esq. (private legal practice), Attorney at Law

Reference Organization: The Schiff Group, Inc.
Address: 501 Church Street, Suite 106, Vienna, VA 22180
Contact Name/Title: Joe Schiff/President
(former HUD Assistant Secretary for Public and Indian Housing)
Phone Number: (703) 938-7373

Mr. Hetzel has worked with the Schiff Group, Inc. to provide legal representation to its public housing authority clients regarding a variety of compliance matters relating to disputes over administration of federal programs raised by HUD. This experience is relevant to the services required by the RFQ because it involved providing legal representation to local housing authorities in disputes with a federal agency.

General Reference for Related Legal Work

Reference Organization: Senator Carl Levin, Senator for the State of Michigan
Address: 269 Russell Office Building, U.S. Senate, Washington, DC 20510-2202
Contact Name/Title: Carl Levin/U.S. Senator
Phone Number: (202) 244-6221

Mr. Hetzel has known Senator Levin professionally for more than forty years. Senator Levin is familiar with Mr. Hetzel's legal career and his work for various clients related to federal housing and urban development programs.

| Employment History | |
|---------------------------|--|
| 1972–present | Private Law Practice (part-time) |
| Locations | Washington, D.C. (1985–present) and Detroit, MI (1972–1996) |
| Position | Attorney at Law |
| 1980 | State University at Utrecht, State University School of Law |
| Location | Utrecht, the Netherlands |
| Position | Visiting Professor |
| 1970–1996 | Wayne State University Law School |
| Location | Detroit, MI |
| Position | Professor of Law |
| 1969–1970 | Harvard Law School |
| Location | Cambridge, MA |
| Position | Fellow |
| 1968–1969 | HUD |
| Location | Washington, D.C. |
| Position | Associate General Counsel |
| 1967–1968 | HUD |
| Location | Washington, D.C |
| Position | Assistant General Counsel for Civil Rights |
| 1967–1968 | University of Manchester |
| Location | Manchester, England |
| Position | Visiting Professor |
| 1965–1967 | State of California |
| Location | San Francisco, CA |
| Position | Deputy Attorney General for the State of CA |
| 1964–1965 | Hardy, Carley, Love, and Hyler |
| Location | Palo Alto, CA |
| Position | Attorney at Law |
| 1960–1964 | State of California |
| Location | Los Angeles, CA |
| Position | Deputy Attorney General for the State of CA |
| 1958–1960 | Yale Law School |
| Location | New Haven, CT |
| Position | Juris Doctorate Program |
| 1956–1958 | U.S. Air Force |
| Location | Houston and Dallas, TX |
| Position | 1 st Lieutenant Navigator Training |
| 1955–1956 | U.S. Department of Justice (DOJ), Main Justice |
| Location | Washington, D.C. |
| Position | Management Position in the Office of the Assistant Attorney General for Administration |

Education

LL.M., Harvard Law School, 1970

J.D., Yale Law School, 1960

B.A., Labor-Management Relations and Political Science, Pennsylvania State University, 1955

Professional Affiliations

American Bar Association (ABA)

Chair, Administrative Law/Regulatory Affairs Committee on Housing and Urban Development

Vice-Chair, State and Local Government Homeland Security/Emergency Management Committee

Member, Special Committee on Disaster Response and Preparedness

U.S. Representative (appointed), United Nations Economic Commission for Europe (UNECE)

Member, European Network for Housing Research

Life Member (elected), American Law Institute

Board of Governors and Life Trustee (elected), National Housing Conference

Publications and Speaking Engagements

Professor Hetzel publishes extensively and speaks frequently on various legal topics, including housing, community and economic development, legislation, civil rights, legal ethics issues, and homeland security. For 14 years, he served as Co-Editor of *Urban Law and Policy*, an international journal published by Elsevier Science Publishers. Representative examples of his publishing and speaking experience are cited below.

Publications

Hetzel, Otto J., et al. *Housing and Community Development: Cases and Materials*. 4th ed. Durham, NC: Carolina Academic Press, 2011.

Homeland Security and Emergency Management: A Legal Guide for State and Local Government. 2nd ed. Ernest B. Abbott and Otto J. Hetzel, Eds. Chicago, IL: ABA, 2010.

Hetzel, Otto J.; Libonati, Michael E.; and Robert F. Williams. *Legislative Law and Statutory Interpretation: Cases and Materials*. 4th ed. Newark, NJ: LexisNexis, 2008.

"Washington's Labyrinthine Ways." ABA's *State and Local Government Section's Newsletter*. Author (regular column published for 20 years).

Hetzel, Otto J. (1985). Governmental Housing Policies in the Netherlands. In *Public Planning in the Netherlands* (Chap. 13). Oxford: Clarendon.

Speaking Engagements

Panel Member on Homeland Security topics, numerous conferences and institutes of the ABA Sections of State and Local Government and Administrative Law/Regulatory Affairs, 2003–2013.

Co-Chair and Reporter, "The Law and Catastrophic Disasters: Legal Issues in the Aftermath," a table-top exercise (TTX) involving a simulated homeland security catastrophic scenario. Funded through a grant by the U.S. Department of Homeland Security, the TTX involved more than 100 homeland security experts from federal, state, and local governments who participated in a number of table-top sessions focused on six major areas where critical legal issues should be addressed in the preparation, response, and recovery phases, 2009.

Conference Co-Chair, "Natural and Man-Made Disasters: Homeland Security and Emergency Management for Lawyers, Policy Makers, and Executives: Lessons from the Katrina Catastrophe," sponsored by the Center for American and International Law, New Orleans, 2006.



John J. Kane, AICP

Subject Matter Expert (Expert III)

Pool 1, Pool 2, Pool 3

Areas of Expertise

GRANTS MANAGEMENT; ACCOUNTING; FINANCIAL MANAGEMENT; HOUSING; COMMUNITY DEVELOPMENT; ECONOMIC DEVELOPMENT;

Relevant Qualifications

- Over 48 years of experience in **planning, housing, community and economic development, land development, disaster recovery and management consulting.**
- Served as **Executive Director of planning, housing and community development** for local governments.
- Served as **Staff Director of the Federal Regional Council** and worked with all Domestic Federal Agencies and state and local governments in integrating all Federal resources to maximize impact under the President's Urban Policy and Rural Strategy.
- **Supports State and Local Governments, for disaster recovery, for-profit and non-profit housing providers and economic development organizations.** Clients currently or recently assisted include Luzerne County, PA; New York City; Luzerne County, PA; Port Arthur, TX; Lansing, MI; Fairfax County, VA; and the City of Miami, FL.
- Managed **technical assistance programs for grantees and nonprofit service providers within the New York, Louisiana, Washington, Florida, Texas, and Hawaii HUD Office jurisdictions.** Current projects include Consolidated Plans, CAPERs, Basic CPD Management/Economic Development and Sub-Grantee assistance, "Analysis of Impediments" guidance for Grantees, Fair Housing Organizations and Participating Jurisdictions, Section 3, CHDO, HOME, SHP and Environmental training.
- Created and delivered "**Environmental Issues**" **Training covering NEPA, Parts 58 and 50, related Laws/Executive Orders, a briefing on 24 CFR Part 35-- "Implementing HUD Regulations—Lead Based Paint;"** and minimizing the risk of asbestos exposure. In addition the training focused on environmental reviews, assessments and rules, floodplains, noise standards, airport clear zones, endangered species, hazards including lead based paint and asbestos, farmland protection, wetlands, environmental justice, and historic preservation .
- **Provided training and technical assistance** on the Consolidated Plan, CAPERs, **Basic CDBG, Basic HOME, Sub-recipient monitoring,** Parts 84 & 85, Administrative Requirements, Part 35 Lead-Based Paint, Parts 50 & 58, Environmental Requirements, Analysis of Impediments to Fair Housing Choice, **Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA),** Section 3 (1968 Housing Act) and Neighborhood Revitalization Strategies.
- Directed the local and regional operations of all Community Planning and Development (CPD) programs including CDBG, **HOME, SNAPS, Urban Homesteading, Rental Rehabilitation, 312 Rehabilitation, UDAG, Section 8, SRO and NDP.**



Experience on Similar Contracts

FEMA Program Coordination & Planning Management Support Services (2009–2014)
 ATCS, Consultant

Reference Organization: FEMA, Planning Branch, Recovery Directorate
 500 C Street SW
Address: Washington, DC 20472
Contact Name/Title: Roy Dunn
Phone Number: (202) 646-2673

ATCS is the managing partner of the Coordination and Planning Partners (CaPP) joint venture which holds a five-year, \$45 million Management Support Services contract with the Planning Branch (PB) of the FEMA Recovery Directorate. ATCS works directly with the Branch Director and his management staff overseeing the day-to-day execution and long-term strategic improvement of its five program areas, including Program Evaluation and Coordination; Disaster Assistance and Recovery Operations Planning; Long-term Community Recovery (LTCR)/Post-Disaster Community Planning; Disaster Assistance Training; and Disaster Assistance Continuity of Operations.

- Provided management consulting services in support of this project.

| Employment History | |
|---------------------------|---|
| 1997–Present | Independent Consultant |
| Location | Warrington, PA |
| Position | Consultant |
| 2003–Present | Training and Development Associates |
| Location | Warrington, PA |
| Position | Consultant |
| 1999–2003 | TONYA, Inc. |
| Location | Washington, DC |
| Position | Project Manager |
| 1995–1997 | U.S Department of Housing and Urban Development |
| Location | Washington, DC |
| Position | HUD HQ Field Management Office |
| 1979–1995 | U.S Department of Housing and Urban Development |
| Location | Philadelphia, PA |
| Position | Philadelphia HUD Regional Office--Regional Director, CPD/FHEO/ADMIN |
| 1978–1981 | U.S Department of Housing and Urban Development |
| Location | Philadelphia, PA |
| Position | Staff Director, Federal Regional Council, Philadelphia |
| 1977–1978 | U.S Department of Housing and Urban Development |
| Location | Philadelphia, PA |
| Position | Director, Comprehensive Planning Division, Philadelphia |

| | |
|------------------|---|
| 1975–1977 | U.S Department of Housing and Urban Development |
| Location | Pittsburgh, PA |
| Position | Pittsburgh HUD Office—Director, CPD (1975-77) |
| 1973–1975 | U.S Department of Housing and Urban Development |
| Location | Scranton, PA |
| Position | Scranton Special Recovery HUD Office—Deputy Director, CPD (1973-75) |
| 1964–1973 | U.S Department of Housing and Urban Development |
| Location | Scranton, PA |
| Position | Pennsylvania Planning and Redevelopment Agencies |

Education

B.S., Economics and Government Service, University of Pennsylvania, 1964

Certification and Training

Certified Planner, American Institute of Certified Planners

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Areas of Expertise

DISASTER RESPONSE; PUBLIC POLICY; PROGRAM AND PROJECT MANAGEMENT; HOUSING; GRANT PROGRAMS; CONGRESSIONAL LIAISON; NATIONAL SECURITY; GROUP FACILITATION

Relevant Qualifications

- **More than 35 years of experience working for the U.S. Department of Housing & Urban Development (HUD).**
- **Recognized national leader** in disaster recovery, community development, and national security.
- **Spearheaded HUD involvement in disaster recovery as the Department expert** and served on numerous interagency disaster preparedness, response, recovery, and national security groups to coordinate policy and programs and identify gaps and overlaps in Federal assistance.
- **Managed a recovery program funded at \$20 to \$500 million per year to aid recovery** from the Northridge earthquake, the 1993 Midwest floods, the 1997 Red River flood, the Oklahoma City bombing, and other events assisting hundreds of communities.
- **Served as Senior Advisor for Disaster Management and National Security and Associate Deputy Assistant Secretary for Disaster Policy and Management at HUD;** provided leadership, advice, and guidance in the management, oversight, and coordination of disaster preparedness, response, and recovery responsibilities and activities.
- **Served as Director of the Disaster Recovery & Special Issues Division at HUD;** provided leadership for the high-visibility national Community Development Block Grant (CDBG) disaster recovery program. The program awarded more than \$16.85 billion in grants to five Gulf Coast states following Hurricanes Katrina, Rita, and Wilma in 2005 and to 10 states following the hurricanes and other disasters of 2004 to allow communities to recover their housing, infrastructure, and local economies.
- **As Deputy Director of the Entitlement Communities Division at HUD, served as the program office lead for litigation pertaining to civil rights and fair housing matters.** Played a key role in the resolution of a major civil rights case, *NAACP v. City of Yonkers, HUD, et al.*, related to the landmark *NAACP v. Yonkers Board of Education* case.
- **Advised FEMA's National Exercise Division on disaster recovery.**
- **Testified before Congress on HUD programs** and interagency disaster recovery and preparedness efforts.
- **Extensive experience developing and implementing disaster policy, programs, and legislation.**
- **Hand-picked by the Deputy Secretary to represent HUD** on the Homeland Security Council's Domestic Threat and Incident Management Policy Coordinating Committee.
- **Managed community development grant** and technical assistance programs.

Experience on Similar Contracts

Project Management of CDBG Funding to New York State (September 2001–August 2010)

HUD, Associate Deputy Assistant Secretary for Disaster Policy & Management

Reference Organization: Lower Manhattan Development Corporation (LMDC)
1 Liberty Plaza, 20th floor
Address: New York, NY 10006
Contact Name/Title: Dan Ciniello, Chief Operating Officer (COO)
Phone Number: (202) 962-2300

HUD provided \$2.783 billion in Community Development Block Grant Disaster Recovery (CDBG-DR) funding to New York State through the LMDC for costs of recovery from the September 11, 2001 attacks on New York City. Mr. Opper was responsible for overall management of the CDBG-DR program and for managing HUD's relationship with LMDC.

- Responsible for all aspects of the CDBG-DR program.
- Established program policy, and wrote or directed the writing of program requirements, waivers, and alternative requirements.
- Led compliance monitoring and technical assistance teams.
- Managed HUD's relationship with LMDC, media inquiries, and the Office of the Inspector General with respect to CDBG-DR.
- Reviewed and approved CDBG-DR reimbursement requests for LMDC grants.
- Prepared the client's annual budget. Prepared and presented additional service requests.

Project Management of HUD/FEMA Task Forces (2010–2011)

HUD, Associate Deputy Assistant Secretary for Disaster Policy & Management

Reference Organization: FEMA
500 C Street, SW
Address: Washington, DC 20472
Contact Name/Title: Gerilee W. Bennett, National Planning Branch Chief
Phone Number: (202) 646-4173

HUD and FEMA co-chaired a task force to create a National Disaster Recovery Framework (NDRF) and a National Disaster Housing Task Force. Mr. Opper was the staff co-chair of the task forces for HUD. He was also the lead for the Housing Recovery Support Function.

- Responsible for co-chairing the task forces.
- Coordinated HUD participation in development of the NDRF.
- Advised the National Disaster Housing Task Force on housing issues and research, bringing in additional expertise, as appropriate.
- Led development of the Housing Recovery Support Function and participated in the policy and review of the other five Recovery Support Functions.

Project Management of National Level Exercise (NLE) 2011, National Long-Term Recovery Working Group (LTR WG) of Interagency Subject Matter Experts (SMEs) and FEMA/NED Leads (2010–2011)

HUD, Associate Deputy Assistant Secretary for Disaster Policy & Management

Reference Organization: FEMA
Address: 500 C Street, SW
 Washington, DC 20472
Contact Name/Title: Dr. Keith Holtermann, Director, National Training, Education, and Exercises Division
Phone Number: (202) 212-2280

HUD, the U.S. Small Business Administration (SBA), and FEMA co-chaired the NLE 2011 National LTR WG of Interagency SMEs and FEMA/NED Leads to orchestrate the first NLE with a focus on earthquake scenario and on long-term disaster recovery. Mr. Opper co-chaired the working group. He provided policy direction, guidance, and expertise.

- Responsible for co-chairing the working group.
- Provided policy direction, guidance, subject matter expertise, and organizational skills in planning recovery aspects of NLE 2011.
- Introduced and championed the concept of a national recovery seminar and recovery tabletop exercise (TTX) in addition to the traditional full-scale exercise (FSE).

| Employment History | |
|---------------------|---|
| 2012–present | Opper Strategies & Solutions LLC |
| Location | Alexandria, VA |
| Position | Principal |
| 2007–2012 | HUD |
| Location | Washington, DC |
| Position | Senior Advisor for Disaster Management and National Security, Associate Deputy Assistant Secretary for Disaster Policy and Management |
| 1994–2007 | HUD |
| Location | Washington, DC |
| Position | Director, Disaster Recovery & Special Issues Division |
| 1993–1994 | HUD |
| Location | Washington, DC |
| Position | Deputy Director, Entitlement Communities Division |
| 1975–1993 | HUD |
| Location | Washington, DC |
| Position | Various Supervisory and Advisory Positions |

Education

M.A., Public Administration, Ohio State University, 1976
 Graduate Studies, Public Administration, New York University
 B.B.A., Business Administration (Accounting, Urban Economics), University of Toledo, 1970

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Ronald F. Parisi, PE
Subject Matter Expert (Expert III)
Pool 1, Pool 3

Areas of Expertise

ENGINEERING; PROGRAM MANAGEMENT; CONSTRUCTION MANAGEMENT; CONSTRUCTION; LITIGATION SUPPORT; FINANCIAL MANAGEMENT; CLAIMS ANALYSIS/AVOIDANCE; DESIGN COORDINATION; CONSTRUCTION CLAIMS; CONTRACT ADMINISTRATION

Relevant Qualifications

- **More than 40 years of experience** in the areas of engineering, construction, program/construction management, scheduling delay analysis, and litigation support.
- **Certified Professional Engineer (PE) in New Jersey, New York, and Pennsylvania.**
- **Extensive experience coordinating complex projects with multiple parties** on projects including hospitals, educational facilities, senior citizen and public housing projects, office buildings, mass transit, sports stadiums, power plants, water/wastewater, and airports.
- Provided **litigation support, engineering analysis, and expert testimony** on behalf of clients throughout the eastern United States.
- Served as an arbitrator, **presenting seminars on construction claims, construction management, and contract administration.**

Experience on Similar Contracts

Route 3 Berry's Creek Bridge, Section 3W, (1998–1999)
Capital Project Management, Inc., Project Manager

Reference Organization: State of New Jersey Department of Transportation
1035 Parkway Avenue – E&O Building
Address: P.O. Box 600
Trenton, NJ 08625-0600
Contact Name/Title: Michael DiPento, Project Manager; Secretary, Department Claims
Committee Claims Section, CPM
Phone Number: (609) 530-5517

The services rendered encompass a complete construction claims analysis of the respective construction project from start to finish. The services were rendered after the fact; if such services were rendered during the project the excessive damage claims could have been averted. These experiences can be applied to the NJ projects while they are still in progress in order to avert the waste of federal funds before it happens.

- Performed claim analysis services for the NJDOT utilizing a phased approach:
 - Assistance with document production and discovery.
 - Critical examination of project records.
 - Mediation.

Route 35 Shark River Bridge Replacement; New Jersey State Case, (2003–2008)
Capital Project Management, Inc., Project Manager

Reference Organization: State of New Jersey Department of Transportation



Address: 1035 Parkway Avenue – E&O Building
P.O. Box 600
Trenton, NJ 08625-0600

Contact Name/Title: Michael DiPento, Project Manager; Secretary, Department Claims
Committee Claims Section, CPM

Phone Number: (609) 530-5517

The services rendered encompass a complete construction claims analysis of the respective construction project from start to finish. The services were rendered after the fact; if such services were rendered during the project the excessive damage claims could have been averted. These experiences can be applied to the NJ projects while they are still in progress in order to avert the waste of federal funds before it happens.

- Performed construction claim analysis services for the NJDOT on a \$48 million claim by the general constructor.
- Reviewed technical issues presented by the contractor and performed a detailed schedule analysis.
- Prepared expert report.
- Provided testimony at depositions.

Ocean City – Longport Bridge Replacement, (2002–2003)
Capital Project Management, Inc., Project Manager

Reference Organization: State of New Jersey Department of Transportation
1035 Parkway Avenue – E&O Building

Address: P.O. Box 600
Trenton, NJ 08625-0600

Contact Name/Title: Michael DiPento, Project Manager; Secretary, Department Claims
Committee Claims Section, CPM

Phone Number: (609) 530-5517

The services rendered encompass a complete construction claims analysis of the respective construction project from start to finish. The services were rendered after the fact; if such services were rendered during the project the excessive damage claims could have been averted. These experiences can be applied to the NJ projects while they are still in progress in order to avert the waste of federal funds before it happens.

- Performed claim analysis services for the NJDOT utilizing a phased approach:
 - Assistance with document production and discovery.
 - Critical examination and analysis.
 - Preparation of expert report.
 - Mediation Hearings.

Metropolitan Detention Center, Brooklyn, NY, (1997–2000)
Capital Project Management, Project Consultant

Reference Organization: U.S. Department of Justice
1100 L. Street, NW

Address: Washington, DC 20005

Contact Name/Title: Steve J. Gillingham, Esq., Senior Trial Counsel

Phone Number: (202) 616-2311

The services rendered encompass a complete analysis of the respective construction project from start to finish. The services were rendered after the fact; if such services were rendered during the project the

excessive damage claims could have been averted. These experiences can be applied to the NJ projects while they are still in progress in order to avert the waste of federal funds before it happens.

- Provided construction claim consulting services to the Federal Bureau of Prisons regarding construction of a \$115 million, 14-story prison.
- Provided delay analysis and discovery assistance to the USDOJ in response to the contractor's claim and expert report.
- Performed a time impact analysis of the project and prepared expert report.
- Trial testimony and depositions.

Route 322 and Route 50 Highway Rehabilitation and Replacement, (2002–2004)
Capital Project Management, Inc., Project Manager

Reference Organization: State of New Jersey Department of Law and Public Safety
25 Market Street
Address: PO Box 114
Trenton, NJ 08625-0114
Contact Name/Title: Wayne J. Martorelli
Phone Number: (609) 292-5757

The services rendered encompass a complete construction claims analysis of the respective construction project from start to finish. The services were rendered after the fact; if such services were rendered during the project the excessive damage claims could have been averted. These experiences can be applied to the NJ projects while they are still in progress in order to avert the waste of federal funds before it happens.

- Performed claim analysis services utilizing a phased approach:
 - Assistance with document production and discovery.
 - Critical examination and analysis.
 - Preparation of expert report.
 - Pretrial assistance, trial attendance, and expert testimony.

| Employment History | |
|---------------------|---|
| 2013–present | Integritas Consulting Group, LLC |
| Location | Moonachie, NJ |
| Position | Construction Claims Consultant, Project Manager |
| 1996–2011 | Capital Project Management, Inc. |
| Location | Parsippany, NJ |
| Position | Principal |

Education

B. Eng., Stevens Institute of Technology, 1967

Certification and Training

PE, State of New Jersey (GE21855), 1975
PE, State of New York (052936-1), 1976
PE, State of Pennsylvania (PE030340E), 1981

New Jersey Certification: Underground Storage Tanks

Professional Affiliations

American Association of Cost Engineers (AACE)

American Society of Civil Engineers (ASCE)

Construction Management Association of America (CMAA)

National Society of Professional Engineers (NSPE)

New Jersey Society of Professional Engineers (NJSPE) – Professional Engineers in Construction Practice
Division



John O. Snowden, III, CPA, CFF

Subject Matter Expert (Expert III)

Pool 2, Pool 3

Areas of Expertise

Forensic Accounting; Financial Investigations; Litigation Support Services; Asset Recovery; Commercial Lease Auditing

Relevant Qualifications

- **25 years of experience as a Certified Public Accountant (CPA).** Licensed as a CPA in New Jersey in 1998.
- **Provided auditing, consulting, and forensic accounting services** for the following organizations: State of New Jersey Department of Transportation, State of New Jersey Schools Development Authority, State of New Jersey Sports and Exposition Authority, State of New Jersey Building Authority, United States Department of Justice, William Paterson University, Montclair State University, and Trenton Housing Authority.
- **Certified in Financial Forensics (CFF)** by the American Institute of Certified Public Accountants, 2008.
- **Performed governmental audits in accordance with the Single Audit Act and Yellow Book for more than twenty five years** for various governmentally funded non-profit organizations.
- **Qualified as a Team Captain for firm-on-firm peer reviews.**

Experience on Similar Contracts

State of New Jersey Department of Transportation Rt. 46 Bridge (2010-2011)

DeVito, Snowden & Co., LLC, Audit Partner in Charge

Reference Organization: State of New Jersey Department of Transportation
1035 Parkway Avenue – E&O Building

Address: P.O. Box 600
Trenton, NJ 08625-0600

Contact Name/Title: Michael DiPento, Project Manager, Secretary, Department Claims Committee, Claims Section, CPM

Phone Number: (609) 530-5517

Provided financial analysis, investigated labor costs, classification, existence, and calculated excessive billings by contractor during highway and bridge construction.

- Responsibilities included field exam, document abstraction, organization and review, job cost analysis, contractor billing analysis, calculation of overage, conferences with contractor regarding accounting deficiencies and errors, presentation of findings.
- Contractor overcharges are common with large & small contractors; my work was performed on one of the largest contractors doing business in NJ. That experience demonstrates my ability to investigate and report on billings of contractors that will be funded by these federal dollars.



Worth Construction Co., Inc. vs. William Paterson University (2009-2010)

DeVito, Snowden & Co., LLC, Audit Partner in Charge

Reference Organization: State of New Jersey Department of Law and Public Safety
Division of Law
Address: 25 Market Street
PO Box 114
Trenton, NJ 08625-0114
Contact Name/Title: Wayne J. Martorelli, ESQ., Deputy Attorney General
Phone Number: (609) 292-5757

Provided financial analysis and litigation support services in defense of construction claims totaling \$7.2 million asserted against William Paterson University following construction of a student center.

- Responsibilities included discovery, document retrieval, organization and review, job cost analysis, verification of contractor claims, consultations.
- Long-term construction projects lead to change orders, miscommunication, loss of oversight, excessive billings, delay and productivity impact damage claims for work many times not even performed or performed substandard. I have a proven track record of defending governmental agencies against these fraudulent schemes.

Controlled Construction, Inc. vs. Montclair State University (2008)

DeVito, Snowden & Co., LLC, Audit Partner in Charge

Reference Organization: State of New Jersey Department of Law and Public Safety
Division of Law
Address: 25 Market Street
PO Box 114
Trenton, NJ 08625-0114
Contact Name/Title: Philip J. Espinosa, ESQ., Deputy Attorney General
Phone Number: (609) 292-5755

Provided financial analysis and litigation support services in defense of construction claims totaling \$3.0 million asserted against Montclair State University for a termination for default, following construction of a student recreation center.

- Responsibilities included discovery, document retrieval, organization and review, job cost analysis, verification of contractor claims, consultation and preparation for mediation.

The Bennett Company vs. the State of New Jersey Elizabeth Raised Playground (2008)

DeVito, Snowden & Co., LLC, Audit Partner in Charge

Reference Organization: State of New Jersey Department of Law and Public Safety
Division of Law
Address: 25 Market Street
PO Box 114
Trenton, NJ 08625-0114
Contact Name/Title: Sudha V. Raja, ESQ., Deputy Attorney General
Phone Number: (609) 777-4866

Provided financial analysis and litigation support services in defense of a claim totaling \$2.8 million asserted against the State of New Jersey School Construction Corporation following a termination for convenience.

- Responsibilities included discovery, document retrieval, organization and review, job cost analysis, verification of contractor claims, assisting counsel with document request, preparation of Expert Report, analysis of plaintiff's Expert Report, draft questions for deposition, assistance with mediation preparation, mediation attendance, consultation and negotiation of settlement.

AMEC Civil, LLC vs. the State of New Jersey Shark River Bridge (2004-2006)

Smolin Lupin & Co. LLC, Audit Partner in Charge

Reference Organization: State of New Jersey Department of Law and Public Safety
Division of Law
Address: 25 Market Street
PO Box 114
Trenton, NJ 08625-0114
Contact Name/Title: Tom H. Shar, ESQ. (Retired), Deputy Attorney General
Phone Number: (609) 777-4866

Provided financial analysis and litigation support services in defense of four claims totaling \$47 million asserted against the State of New Jersey Department of Transportation following highway and bridge construction.

- Responsibilities included discovery, document retrieval, organization and review, job cost analysis, verification of contractor claims, assisting counsel with document request and consultations.
- Bridge construction/repair is going to be a large construction activity of this rebuilding. My experience with bridge construction and the cost accounting of; provide the expertise to monitor these activities.

Employment History

| | |
|---------------------|--|
| 2006–present | DeVito, Snowden & Co. LLC |
| Location | Moonachie, NJ |
| Position | CPA, Partner in the Firm |
| 2000-2006 | Smolin, Lupin & Co. LLC |
| Location | Red Bank, NJ |
| Position | CPA, Partner in the Firm |
| 1988-2000 | Aliotta, Fritsch & Walsh, CPA's |
| Location | West Long Branch, NJ |
| Position | CPA |

Education

B.A., Business Administration, Concentration in Accounting, Rowan University, 1986
Post-Graduate Studies, Monmouth University

Certification and Training

CPA, State of New Jersey, 1989
CFF, American Institute of Certified Public Accountants, 2008
Team Captain for Firm-on-Firm Reviews, American Institute of Certified Public Accountants, 1999
Continuing Professional Education seminars including Yellowbook CPE compliance (40 credit hours per year)

Professional Affiliations

American Institute of Certified Public Accountants (AICPA)
Association of Certified Fraud Examiners (ACFE)
Association of Inspectors General
New Jersey Society of Certified Public Accountants (NJSCPA)



Gary W. Truelsen, MPA
 Subject Matter Expert (Expert III)
 Pool 1, Pool 2, Pool 3

Areas of Expertise

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM; HOUSING; DISASTER RECOVERY; PROGRAM MANAGEMENT; PROJECT MANAGEMENT

Relevant Qualifications

- More than 32 years in municipal government managing programs and projects.
- Managed the Community Development Block Grant Program, the HOME Program, the Voucher / Section 8 Program, the Redevelopment Agency's Affordable Housing Program, and the Code Enforcement Program for Vallejo, CA.
- Completed assignments with FEMA's Emergency Support Function (ESF-14) in Texas, with the Rita and Katrina Disaster Recovery in Louisiana, and with the New York State Division of Housing and Community Renewal.

Experience on Similar Contracts

FEMA Program Coordination & Planning Management Support Services (2009–2014)
 ATCS, Consultant

Reference Organization: FEMA, Planning Branch, Recovery Directorate
 500 C StreetSW
Address: Washington, DC 20472
Contact Name/Title: Roy Dunn
Phone Number: (202) 646-2673

ATCS is the managing partner of the Coordination and Planning Partners (CaPP) joint venture which holds a five-year, \$45 million Management Support Services contract with the Planning Branch (PB) of the FEMA Recovery Directorate. ATCS works directly with the Branch Director and his management staff overseeing the day-to-day execution and long-term strategic improvement of its five program areas, including Program Evaluation and Coordination; Disaster Assistance and Recovery Operations Planning; Long-term Community Recovery (LTCR)/Post-Disaster Community Planning; Disaster Assistance Training; and Disaster Assistance Continuity of Operations.

- Provided management consulting services in support of this project.

Disaster Recovery Programs (2009–2011)
 CDM; Consultant

Reference Organization: CDM
 3050 Post Oak Boulevard, Suite 300
Address: Houston, TX 77056
Contact Name/Title: Michael Spletto, Director
Phone Number: (713) 423-7300

Mr. Truelsen was under contract to serve as a Project Manager in the delivery of Disaster Recovery Programs for the City of Galveston, Galveston County, Harris County, and other localities.

- Responsible for a \$7 million Rental Rehabilitation Program, a \$25 million project to replace public housing units, a Down Payment Assistance (Home Buyer) program, and \$34 million in Non-Housing projects.



- Provided guidance on the implementation of Davis- Bacon, Section 3, and Fair Housing requirements.

Louisiana Road Home Disaster Recovery Program (2006–2009)
ICF, HazMat Task Lead

Reference Organization: Louisiana Office of Community Development
Clairborne Building
Address: 1201 N. Third St. Suite 70210
Baton Rouge, LA 70802
Contact Name/Title: Mark Maier, Manager
Phone Number: (225) 330-0535

Mr. Truelsen provided technical assistance to cities and counties regarding CDBG and HOME activities; delivered trainings on the HOME program, the CDBG program, Davis- Bacon, and Neighborhood Revitalization; assisted in the hiring and training of employees for the \$7.5 billion Road Home disaster recovery program in Louisiana.

- Preparing monitoring plans for cities and for the State of Louisiana's Road Home program (Hurricanes Rita and Katrina).
- Developed policies for the delivery of Road Home assistance to homeowners.
- Conducted HOME and CDBG monitoring evaluations.
- Prepared Requests for Proposals.
- Conducted trainings and workshops.

| Employment History | |
|---------------------|---|
| 2009–present | Consultant |
| Location | Various |
| Position | Consultant |
| 2006–2009 | ICF International |
| Location | Baton Rouge, Louisiana |
| Position | Senior Associate |
| 1995–2005 | City of Vallejo, CA |
| Location | Vallejo, CA |
| Position | Housing and Community Development Manager |
| 1984–1996 | City of Vallejo, CA |
| Location | Vallejo, CA |
| Position | Community Development Program Manage |
| 1979–1984 | City of Vallejo, CA |
| Location | Vallejo, CA |
| Position | Community Development Analyst |
| 1977–1979 | City of Richmond, CA |
| Location | Richmond, CA |
| Position | Associate Administrative Analyst |

| | |
|------------------|----------------------------------|
| YEAR–YEAR | City of Richmond, CA |
| Location | Richmond, CA |
| Position | Assistant Administrative Analyst |

Education

M.P.A, Public Administration, California State University Hayward (East Bay).
B.A., Sociology, University of California at Berkeley.

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Jade Banks

Subject Matter Expert (Expert III)
Pool 1, Pool 2, Pool 3

Areas of Expertise

NATIONAL POLICY; AUDITING; PROJECT OVERSIGHT; TRAINING; POLICY ADVISEMENT; FEDERAL LABOR STANDARDS; HUD PROGRAMS

Relevant Qualifications

- **37 years of experience with HUD**, serving as Senior Policy Advisor, Special Assistant, Director of Field Operations, and other specialized positions.
- **Renowned subject-matter expert, advisor, and trainer** focusing on the application, administration and enforcement of federal labor standards provisions, particularly in programs offered through the U.S. Department of Housing and Urban Development (HUD).
- **Developed and oversaw the implementation and execution of national policy**, procedures, and other directives
- **Involved in new initiatives and strategies, primarily associated with Secretarial priorities** and other matters as directed by the Assistant to the Secretary for Labor Relations
- **Provided oversight and support to regional and field offices/staff** as well as other federal, state and local agencies and others doing business with HUD programs.
- **Directly responsible for technical advice and support to the States of New York and Louisiana** during the implementation of HUD-assisted disaster recovery efforts following 9/11, and Hurricanes Katrina, Rita, Gustav and Ike, respectively.

Experience on Similar Contracts

HUD Disaster Office Labor Standards Support (February 1992–Present)
U.S. Department of Housing and Urban Development (DHUD), Subject Matter Expert

Reference Organization: Department of Labor
Address: 200 Constitution Ave, NW
 Washington, DC 20210
Contact Name/Title: Timothy Helm, Chief, Branch of Government Contracts
Phone Number: (202) 639-0574

DHUH devised and implemented HUD policies and procedures supportive to disaster recovery assistance and federal labor standards (Davis-Bacon [DB]) requirements. Ms. Banks will apply her extensive experience providing disaster recovery assistance through HUD and federal labor standards implications.

- Provided comprehensive DB support to HUD staff and associated parties.
- Provided expert technical advice and assistance regarding DB applicability to disaster recovery assistance, in general and regarding specific issues.
- Assisted grantees with implementation strategies.
- Coordinated with counterparts at the U.S. Department of Labor (DOL) and assure consistency with DOL policies and practices.
- Secured DOL approval on DB regulatory variations /exceptions, as circumstances warranted.



DB Support to State of New York (2004–Present)

DHUD, Subject Matter Expert

Reference Organization: Lower Manhattan Development Corporation (LMDC)
Address: 1 Liberty St., 20th floor
New York, NY 10006
Contact Name/Title: Dan Ciniello, Senior Vice President, Operations
Phone Number: (212) 587-9758

DHUD assists the State of New York with implementation of 9/11 disaster relief funding and efforts relative to DB. DHUD provides training and technical support to state staff and sub-grantees, and monitors state performance relative to DB administrative and enforcement requirements. Ms. Banks will apply her extensive experience with disaster recovery assistance through HUD, as well the her knowledge of state responsibilities and the federal labor standards applicable to this project.

- Provided comprehensive DB support to HUD staff and associated parties.
- Provided general and day-to-day technical guidance.
- Provided extensive training for state and sub-grantee staff.
- Assisted with specific issues or questions.
- Performed labor standards audits to assess state compliance.

DB Support to State of Louisiana (2006–Present)

DHUD, Subject Matter Expert

Reference Organization: Louisiana Disaster Recovery Unit (DRU)
Address: 150 N. 3rd Street, Ste 700
Baton Rouge, LA 70801
Contact Name/Title: Tom Wilton, Disaster Recovery Analyst
Phone Number: (225) 219-9621

DHUD assisted the State of Louisiana with program implementation of hurricane disaster relief efforts relative to DB. DHUD provides training and technical support to state staff, sub-grantees, state consultants, and contractors. DHUD monitors state performance relative to DB administrative and enforcement requirements. Ms. Banks will apply her extensive experience with disaster recovery assistance through HUD, as well the her knowledge of state responsibilities and the federal labor standards applicable to this project.

- Provided comprehensive DB support to HUD staff and associated parties, and provided general and day-to-day technical guidance to state, sub-grantees and consultants.
- Provided extensive training for state and sub-grantee staff, consultants and contractors; assisted with specific issues / questions.
- Coordinated with counterparts at the U.S. Department of Labor (DOL) and assure consistency with DOL policies and practices.
- Secured DOL approval on Davis-Bacon regulatory variations, as circumstances warranted.
- Performed labor standards audits to assess state compliance.

American Recovery and Reinvestment Act (ARRA) Support (February 2009–Present)

DHUD, Subject Matter Expert

Reference Organization: Department of Labor
Address: 200 Constitution Ave, NW
Washington, DC 20210
Contact Name/Title: Timothy Helm, Chief, Branch of Government Contracts

Phone Number: (202) 639-0574

DHUD devised and implemented HUD policies and procedures regarding ARRA assistance and federal labor standards (e.g., Davis-Bacon) requirements. DHUD coordinated effectively with other federal agencies, state and local jurisdictions, and other parties associated with HUD ARRA assistance. ARRA presented a myriad of new funding requirements and new program funding for HUD and other federal agencies; more challenging than HUD disaster recovery assistance from a labor standards perspective. Ms. Banks will apply her experience successfully addressing these factors on a national level for general direction and on regional/local levels on more specific instances, which required a depth of knowledge, practical experience, and global comprehension that relates directly to addressing the challenges facing the State of New Jersey.

- Assessed the impact of ARRA funding in HUD programs relative to HUD labor standards requirements.
- Provided comprehensive DB support to HUD staff, other federal agencies and associated parties.
- Provided appropriate guidance and training for HUD staff and HUD ARRA program participants.
- Provided technical assistance/support to other federal agencies unfamiliar with Davis-Bacon and related Act (DBRA) prevailing wage and reporting requirements imposed under ARRA.
- Represented OLR in HUD efforts to amend DB applicability to HUD programs assisted via ARRA.
- Provided expert technical advice and assistance regarding DB applicability to ARRA funding, in general and regarding specific issues.
- Assisted HUD program offices, grantees with implementation strategies.
- Coordinated with counterparts at the U.S. Department of Labor (DOL) and assure consistency with DOL policies and practices.
- Secured DOL approval on Davis-Bacon regulatory variations /exceptions, as circumstances warranted.
- Provided comprehensive advice and guidance to other federal agencies unfamiliar with DB requirements, and day-to-day general support.

| Employment History | |
|---------------------------|---|
| 2012–present | JMBanks, LLC |
| Location | Falls Church, VA |
| Position | Labor Advisor, Consultant, and Subject Matter Expert |
| 2000–2012 | U.S. Department of Housing and Urban Development (HUD) |
| Location | Washington, DC |
| Position | Senior Policy Advisor |
| 1991–2000 | U.S. Department of Housing and Urban Development (HUD) |
| Location | Washington, DC |
| Position | Special Assistant/Director of Field Operations |
| 1976–1991 | U.S. Department of Housing and Urban Development (HUD) |
| Location | Columbus, OH; San Francisco, CA |
| Position | Various Positions |

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Michelle Croney

Project Manager (Manager)
Pool 2

Areas of Expertise

DOCUMENTATION AND TESTING OF INTERNAL CONTROLS; FINANCIAL STATEMENT ANALYSIS AND REPORTING

Relevant Qualifications

- **Nine years of accounting and auditing experience** for government agencies and private companies.
- **Serves as an Auditor in support of IEM’s contract for monitoring energy grants under the 2009 American Recovery and Reinvestment Act (ARRA)** for the Louisiana Department of Natural Resources (LA DNR).
- **For IEM’s LA DNR ARRA Energy Grant Monitoring contract, reconciles the bank account used to pay private citizen grantees** participating in the Home Energy Rebate Option (HERO) Program.
- **Under the ARRA project, ensures that federal grant funds are quickly and appropriately disbursed and that account balances are correct.**
- **Improves and streamlines operations** through IEM's Project Accounting Division.
- **Performs monthly financial statement** analysis and reporting.
- **Knowledgeable of property tax forms and payments for all states.**
- **Prepares financial data for various audits,** cost proposals, and general information as needed.

Experience on Similar Contracts

ARRA Program Monitoring for LA DNR (2010–present)
IEM, Auditor

Reference Organization: Louisiana Department of Natural Resources
617 North Third Street

Address: LaSalle Building
Baton Rouge, Louisiana 70802

Contact Name/Title: Bob Harper/Undersecretary LA DNR

Phone Number: (225) 342-4540

As part of the ARRA of 2009, LA DNR was awarded \$71.7 million through the State Energy Program (SEP) Grant. LA DNR also received \$13.1 million for the Energy Efficiency and Conservation Block Grant (EECBG) and an additional Energy Star grant from the Department of Energy. IEM is responsible for monitoring and verifying financial information and program performance measures. IEM reviews the programs’ progress towards program goals and makes recommendations for process improvement to LA DNR. This experience is relevant to this New Jersey contract because Ms. Croney will be responsible for analyzing allocations of federal funds through state agencies and identifying improper distributions and inappropriate accounting practices.

- Reconciled and analyzed program funds being distributed to participants through the bank account.
- Searched for potential fraudulent checks issued to participants.



- Ensured the company issuing the checks could account for every check issued or voided and backup provide evidence of those records.

Various Project (client names are kept confidential) (2004–2005)
Postlethwaite & Netterville, APAC, Staff Auditor

Reference Organization: Postlethwaite & Netterville
Address: 8550 United Plaza Blvd., Suite 1001
Baton Rouge, Louisiana 70809
Contact Name/Title: Mrs. Candace E. Wright, CPA, CFE, CFF, Director
Phone Number: ((225)-922-4600 or (800)259-2922

Audits of U.S. Department of Housing and Urban Development (HUD)-based state program for bond issuance and use by various recipients, and audit of various state agencies. This experience is relevant to this New Jersey contract because Ms. Croney will be responsible for analyzing current information, comparing it against historical data, and assessing where the areas of risk and fraud could occur in order to appropriately perform audits for material misstatements. When historical is not available, she will rely upon best practices for the type of audit being performed to determine the likelihood of fraud and/or risk of misstatement in financial information.

- Reviewed internal documentation, policy, and procedures of internal control to ensure compliance with Sarbanes-Oxley 404 standards for publicly traded companies.
- Audited small businesses and governmental entities.
- Compiled the financial statements of business clients and private individuals.
- Reviewed internal documentation, policy, and procedures of internal control to ensure compliance with Sarbanes-Oxley 404 standards for publicly traded companies.
- Reviewed general ledger accounts for completeness, reasonableness, and accuracy for publicly traded companies.
- Reviewed and cleared issues with general ledger accounts for a public university while the university was undergoing an accounting software change. The university president and comptroller mandated that reconciled information only appear in the new system.
- Required to gain an understanding of each program or business audited in order to understand where fraud and risk of financial misstatement could occur.

Various Internal Accounting Responsibilities (May 2004–December 2004)
Entergy Corporation, Utilities Accountant

Reference Organization: Entergy Corporation
Address: 639 Loyola Avenue
New Orleans, Louisiana 70113
Contact Name/Title: Kimberly Fontan, Manager Revenue and Expense
Phone Number: (504) 576-4179

Quarterly testing and reconciled internal accounts and ledgers going back several years. This experience is relevant to this New Jersey contract because Ms. Croney will be responsible for sifting through data from previous years to arrive at solutions to resolve SOX issues in the current year with several general ledger accounts. She will develop spreadsheets to analyze the data in a more efficient fashion, looking for outlier data to decipher whether further investigation is warranted. She will work with other auditors to ensure they understand what is being resolved and how to ensure a clean audit review for the main external audit.

- Performed Sarbanes-Oxley 404 quarterly testing of primary risk for core financial functions, such as deferred fuel and gas expense calculations.

- Researched and cleared numerous outstanding account reconciliations issues dating back to 1999 to comply with Sarbanes-Oxley (SOX) certification requirements.
- Recorded general ledger transactions for transmission revenue, gas, and purchase power expenses for major utility subsidiaries and support of accounting close.

Employment History

| | |
|---------------------|--|
| 2011–present | IEM, Inc. |
| Location | Baton Rouge, Louisiana |
| Position | Indirect Rate/Cost Analyst |
| 2008–2011 | IEM, Inc. |
| Location | Baton Rouge, Louisiana |
| Position | Manager, Project Accounting |
| 2005–2008 | IEM, Inc. |
| Location | Baton Rouge, Louisiana |
| Position | Financial Analyst |
| 2004–2005 | Postlethwaite & Netterville, APAC |
| Location | Baton Rouge, Louisiana |
| Position | Staff Auditor |
| 2004–2004 | Entergy Corporation |
| Location | Baton Rouge, Louisiana |
| Position | Utilities Accountant |

Education

B.S., Accounting, Nicholls State University, 2004

Professional Affiliations

Member, Beta Alpha Psi (Accounting Organization)

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Karen Legrand, PMP
Project Manager (Manager)
Pool 1

Areas of Expertise

PROJECT MANAGEMENT; PERFORMANCE MEASUREMENT AND EVALUATION; SOFTWARE TESTING AND QUALITY ASSURANCE; BUSINESS PROCESS RE-ENGINEERING; SOFTWARE ENGINEERING

Relevant Qualifications

- **Task Lead for IEM’s development of DHS agency-wide performance measures** related to strategic goals laid out by DHS leadership in the Quadrennial Homeland Security Review (QHSR) and the requirements of the Government Performance and Results Act (GPRA) Modernization Act of 2010.
- **Task Lead for IEM’s development of a performance measurement instrument for the nation’s hospitals, hospital networks, and state hospital systems for DHHS.**
- **More than 13 years of experience** in complex software development and project management. **Certified Project Management Professional (PMP).**
- Experience serving as **Lead Developer or Co-Developer for multiple successful software projects** for Federal Government customers.
- **Served as Site Coordinator for IEM’s first Standard CMMI Appraisal Method for Process Improvement (SCAMPI) appraisal in July 2010**, which resulted in the successful attainment of a Capability Maturity Model Integration (CMMI) Level 3 rating for IEM’s Software Directorate.
- **Served as IEM’s representative to the Java Community Process (JCP) Units and Measures Group**, which led to IEM being nominated for the 2009 JCP Member of the Year Award.

Experience on Similar Contracts

Hospital Preparedness Program (HPP) Performance Measures (September 2011–August 2012)
IEM, Inc., Task Lead

| | |
|--------------------------------|--|
| Reference Organization: | Office of Assistant Secretary for Preparedness and Response (ASPR)/Office of Preparedness and Emergency Operations (OPEO) Healthcare Systems Evaluation Branch (HSEB) |
| Address: | 200 Independence Ave., S.W., Room 640-G Washington, DC 20201 |
| Contact Name/Title: | Torrance Brown, Public Health Analyst |
| Phone Number: | (202) 245-0735 |

IEM worked with the HSEB within ASPR to develop a performance measurement instrument for the nation’s hospitals, hospital networks, and state hospital systems. This performance measurement development and analysis will provide information on the preparedness for emergencies of the nation’s hospital and health system. Ms. Legrand worked closely with HPP staff to analyze the grant program’s current state and goals, and to develop a comprehensive new measure set to enable the grant program to track awardee progress.

- Served as Task Lead for this project that supports ASPR’s HSEB in the development of a new set of performance measures for the HPP.



- Managed the project timeline, staffing, scope, and budget.
- Participated in development of de novo measures.
- Coordinated a Desk Review of 62 proposed measures and oversaw the development of an Analysis Report of the review results.
- Supported HPP through the measure selection and finalization process.
- Assisted HPP in presenting the measures to HPP awardees.
- Oversaw arrangements to host the FY12 HPP Performance Measure Training in Dallas in July.

Department of Homeland Security (DHS) Performance Measures (September 2010–September 2011)

IEM, Inc., Task Lead

Reference Organization: DHS Office of Program Analysis & Evaluation (PA&E)
245 Murray Lane, S.W., Room 4651, Bldg 410
Address: Washington, DC, 20528-7000
Contact Name/Title: Melissa M. Evans
Phone Number: (202) 447-5211

IEM supported the DHS PA&E, within the Office of the Chief Financial Officer, developing and implementing strategic, management, and operational performance measures for a broad range of department components, including FEMA, Customs and Border Protection, Science and Technology, Immigration and Customs Enforcement, Citizenship and Immigration Services, and the Office of Civil Rights and Civil Liberties. Our support of PA&E demonstrates IEM's successful design and implementation of science-based performance measures in support of federal agencies with complex missions that must be cascaded down to state, local, and private-sector stakeholders. Ms. Legrand worked closely with a number of DHS components to analyze their processes and contribute to the development of new management measures, as well as supporting measure results reporting.

- Served as Task Lead for this project. The project was focused on:
 - Analyzing, measuring, and reporting progress of 16 DHS components toward the strategic goals laid out by DHS leadership in the Quadrennial Homeland Security Review (QHSR).
 - Developing an approach to the additional requirements imposed by the Government Performance and Results Act (GPRA) Modernization Act of 2010.
- Led IEM tasks that cover the entire performance measurement lifecycle, including eliciting requirements for what should be measured and proposing new performance measures.
- Personally facilitated 20-30 workshops with DHS components to hone proposed measures and foster acceptance.
- Formally drafted and proposed measures and designed enhanced GPRA reports and High Priority Performance Goal (HPPG) reports released by DHS quarterly.

Healthcare Preparedness Risk Assessment Tool (HPRAT) (September 2009–February 2011)

IEM, Inc., Task Lead

Reference Organization: ASPR/OPEO HSEB
200 Independence Ave., S.W., Room 640-G
Address: Washington, DC 20201
Contact Name/Title: Ibrahim Kamar, Statistician/Epidemiologist
Phone Number: (202) 245-0730

IEM developed the HPRAT, a web application to facilitate estimation of healthcare preparedness levels and vulnerabilities to particular threat scenarios and/or losses of critical infrastructures and to estimate

the reduction in risk or improvement in preparedness to a healthcare facility that may be obtained by investment in specific mitigation efforts. Ms. Legrand designed and oversaw the development of a tool that, given different decisions on where preparedness funds were assumed to be invested, predicted the economic and health outcomes in the event of a catastrophic event.

- HPRAT is a .NET web application developed for the U.S. Department of Health and Human Services (HHS) that allows the user to run any of three separate models relating to healthcare preparedness.
- Responsible for all aspects of running this project, including team member selection, technical platform selection, requirements definition and acceptance, communication with the customer, schedule and budget tracking and reporting, monitoring project status, and final delivery and installation of the finished implementation and associated documentation.

Decisional Anthrax Response Tool (July 2010–January 2011)

IEM, Inc., Technical Lead

| | |
|--------------------------------|--|
| Reference Organization: | HHS/Biomedical Advanced Research and Development Authority (BARDA) |
| Address: | 200 Independence Avenue, S.W., Room 638-G Washington, DC 20201 |
| Contact Name/Title: | Mary-Beth Hill-Harmon, Project Officer, Modeling |
| Phone Number: | (202) 205-3693 |

IEM developed this tool, which is used primarily to help HHS personnel to convey the results of IEM's anthrax analyses, including a cost analysis, to senior-level decision makers. Ms. Legrand coordinated the development of a tool that, given different decisions on where preparedness funds were assumed to be invested, predicted the economic and health outcomes in the event of an anthrax outbreak.

- Provided technical leadership for this project to develop a visualization tool that helps HHS analyze the application of medical countermeasure and mass prophylaxis to a population exposed in a biological attack and to present the analysis in a clear and understandable manner.
- Responsibilities included team selection, technical platform recommendations, requirements and design development and documentation, monitoring project status, and final delivery of the finished implementation and associated documentation.

| Employment History | |
|---------------------------|---------------------------------------|
| 1999–present | IEM, Inc. |
| Location | Baton Rouge, LA |
| Position | Software Engineer and Project Manager |

Education

M.S., Systems Science, Louisiana State University, 2001
 B.A., French, University of New Orleans, 1992

Certification and Training

PMP Certification, Project Management Institute (PMI), 2009, Renewed in 2012
 Introduction to CMMI Staged and Continuous, V 1.1, 2006
 CMMI V1.2 Upgrade Training, 2009

Professional Affiliations

Member of the UnitsML Technical Committee, Organization for the Advancement of Structured Information Standards (OASIS), 2010–present



Sam Martin, PMP

Project Manager (Manager)
Pool 1, Pool 2, Pool 3

Areas of Expertise

PROJECT AND PROGRAM MANAGEMENT; MULTI-AGENCY COORDINATION; FEDERAL GRANTS MANAGEMENT; GRANTS PERFORMANCE MANAGEMENT; PERSONNEL MANAGEMENT; GEOGRAPHIC INFORMATION SYSTEMS; DATA MANAGEMENT; BUSINESS PROCESS ENGINEERING; PROCESS STATISTICS; CULTURAL RESOURCE MANAGEMENT

Relevant Qualifications

- **Manages IEM’s monitoring and verification of financial information and program performance measures** for the Louisiana energy grant program funded by the American Reinvestment and Recovery Act (ARRA).
- **Manages IEM’s support to the Louisiana Katrina and Rita Marine Debris Program**, gathering data and supporting the State’s interests in documenting eligibility for the federally-funded removal of marine debris caused by Hurricanes Katrina and Rita.
- **Manages IEM’s assistance to two Louisiana state agencies in collecting disaster related cost documentation and providing it to FEMA** and for filing disaster reimbursement claims.
- **Manages the Chemical and Radiological Preparedness Programs Division for IEM**, with responsibility for program management, risk assessments, and decision support technologies. Manages a team of master level statisticians and mathematicians as well as auditors and accountants.
- **Oversaw IEM’s multi-agency support to federal, state and local entities** during the response to Hurricanes Katrina and Rita. Deployed over sixty subject matter experts to support federal, state, and local response.

Experience on Similar Contracts

Louisiana Department of Natural Resources ARRA Verification Project (2010–2013)
IEM, Project Manager

Reference Organization: Louisiana Department of Natural Resources (LDNR)
Address: 617 North Third Street
Baton Rouge, LA, 70802
Contact Name/Title: Paula Ridgeway / Manager Technology Assessment Division
Phone Number: (225) 342-2133

In order to improve energy efficiency, LDNR has implemented six grant programs funded by these three different DOE grants. Some of the programs are funded by more than one funding source. These programs improve energy efficiency, renewable energy, and alternative fuels transportation thousands of applicants across the State. LDNR is the grantee and is responsible for the grant programs. IEM is responsible for monitoring and verification of financial information and program performance measures. IEM reviews the programs’ progress towards program goals and makes recommendations for process improvement to LDNR and the program implementation contractor, The Shaw Group. Mr. Martin’s leadership has led to additional work and outstanding customer assessments.

- Manages IEM’s support of the DNR ARRA Verification Project.
- Provides quality assurance, and problem resolution.



- Manages budget and schedule to ensure that goals and deadlines are met

Louisiana DNR Marine Debris Program Implementation (2008–Present)

IEM, Project Manager

Reference Organization: LDNR and CPRA
Address: 450 Laurel Street
Baton Rouge, LA, 70802
Contact Name/Title: Jason Lanclos/Engineer Supervisor
Phone Number: (225) 342-6749

IEM has supported the Louisiana Katrina and Rita Marine Debris Program since the Coastal Engineering Division at DNR became involved in 2008. The focus of this support has been gathering data and supporting the State's interests in documenting and removing marine debris caused by hurricanes Katrina and Rita. IEM worked with GOHSEPP (the FEMA PA grant program administrator), the USCG, FEMA, and DNR/CPRA to ensure that the State receives the maximum benefit from recovery activities. A large portion of the debris is being removed by the US Coast Guard using FEMA Stafford Act funds under a FEMA Mission Assignment. IEM consolidated information from the State and affected Parishes, and provided documentation of debris issues to the USCG and FEMA for consideration. Some debris problems were PA eligible but not USCG mission applicable. In these cases, IEM supported the appropriate parish or State agency in obtaining a FEMA PA Grant in the form of a project worksheet to fund the removal of this debris. FEMA determined that some debris issues were not eligible for FEMA PA funds, but the State felt that they should be. In these cases, IEM used its PA expertise to document the debris and present a compelling case for eligibility. An example of Mr. Martin's successful support is Bayou Delesaire, which was determined to be non-navigable by FEMA and thus ineligible. IEM worked with the GOHSEP, FEMA, and OCPR to demonstrate that the bayou was indeed navigable. FEMA reversed their decision. The Bayou will be cleaned under a PW written to OCPR.

- Manages the DNR Louisiana Marine Debris Program Implementation contract.
- Coordinates between DNR, GOHSEP, CPRA, Parish governments, FEMA, and the USCG to identify, track and remove hurricane related marine debris.
- Provides damage assessments and documentation
- Oversees monitoring of debris removal contractors
- Supports appeals and arbitration of denied project worksheets
- Supports procurement of contractors through the development of Bid Specifications

Louisiana DNR Program Monitor for Disaster Recovery (2011–2014)

IEM, Project Manager

Reference Organization: LDNR and CPRA
Address: 617 N. 3rd St. & 450 Laurel Street
Baton Rouge, LA, 70802
Contact Name/Title: Gwen Thomas and Janice Lansing
Phone Number: (225) 342-4840 and (225) 342-4698

IEM assisted two state agencies in collecting disaster related cost documentation and providing it to FEMA and for filing disaster reimbursement claims. Mr. Martin's management led to maximized grant funding.

- Managed accounting and grants management team that reviewed FEMA PA grants to CPRA for Hurricanes Katrina, Rita, Gustav, and Ike for completeness, compliance and correctness
- Coordinates multiple agencies including, FEMA, GOHSEP, LDNR, and CPRA to support timely fulfillment of grant requirements

- Supported forensic accounting of prior grant activity to maximize the recovery of eligible grant funds

Louisiana DNR Generator RFP and Reimbursement (2008–2009)
IEM, Project Manager

Reference Organization: LDNR
Address: 617 N. 3rd St.
 Baton Rouge, LA, 70802
Contact Name/Title: Robert Benoit
Phone Number: (225) 342-4681

Immediately following Hurricanes Gustav and Ike, DNR purchased 336 generators to provide emergency power to gas stations, pharmacies, and grocery stores. DNR contracted IEM to develop an RFP to select a vendor to retrieve, store, and maintain these generators in preparation for future emergencies. Sam worked closely with DNR staff to identify the requirements, scoring factors, and decision criteria for vendor selection. IEM produced an RFP and supported selection of the best value vendor. Sam also supported the state by monitoring and reviewing vendor activities, costs, and generator inventory. The majority of the generators were eventually sold at a discount or donated to various Parishes or State agencies. Mr. Martin helped to develop the required documentation that led to the State recovering the majority of grant funds available following Hurrican Gustav.

- Supported DNR in coordinating with GOHSEP’s PA grant program administrator to support the replenishment of the DNR funds through the FEMA PA grant program.
- Provided information to support the determination of eligibility. This included the inventory of the generators, the original purchase price, the selling price, and which entity acquired them.
- Assisted the State in providing the required documentation to recover 90% of these costs—the maximum allowed under the Gustav Disaster.

| Employment History | |
|---------------------|---|
| 2004–present | IEM |
| Location | Baton Rouge, LA |
| Position | Manager, Chemical and Radiological Preparedness Programs Division |
| 1998–2004 | IEM |
| Location | Baton Rouge, LA |
| Position | Statistician |
| 1997–1998 | Plumlee Associates, Inc. |
| Location | Baton Rouge, LA |
| Position | Analyst |
| 1996–1997 | Pennington Biomedical Research Center |
| Location | Baton Rouge, LA |
| Position | Graduate Assistant |

Education

M.A.S., Applied Statistics, Louisiana State University, 1997
 B.S., Anthropology, Louisiana State University, 1993



Certification and Training

Project Management Professional

Professional Affiliations

Project Management Institute



Lewis Roussel, PhD

Project Manager (Manager)

Pool 1, Pool 2

Areas of Expertise

GRANTS MANAGEMENT; COOPERATIVE AGREEMENTS GRANT REQUIREMENTS; TRAINING DEVELOPMENT AND DELIVERY; REQUIREMENTS ANALYSIS; USER INTERFACE DESIGN; STATISTICAL ANALYSIS; RESEARCH DESIGN AND ANALYSIS

Relevant Qualifications

- **Served as Task Lead for IEM's monitoring and verification of financial information and program performance measures** for the Louisiana energy grant program funded by the American Reinvestment and Recovery Act (ARRA). Managed the execution of all project work, including assignment of tasks, review of work products, monitoring of budgeted hours, and preparing monthly status reports.
- **Led requirements gathering, analysis, and documentation for development of CSEPPWebCA, a Web-based grant management system** developed by IEM for FEMA to support the Cooperative Agreement grant process which is used to fund state and local activities for the federal Chemical Stockpile Emergency Preparedness Program (CSEPP).
- **Designed and implemented User Acceptance Test for CSEPPWebCA** web-based grant management system for FEMA.
- **Customized and delivered training** on a variety of IEM's products to FEMA and Chemical Stockpile Emergency Preparedness Program (CSEPP) clients nationwide.
- **Specializes in the translation of highly technical analyses, concepts, and systems into effective training products and tools for emergency management.**
- **Over 10 years of teaching experience** and more than 11 years of experience designing experiments, analyzing data, and developing computer simulations of experimental findings

Experience on Similar Contracts

LA DNR Monitoring and Verification Contract (June 2010–March 2013)

IEM, Task Lead

Reference Organization:

Technology Assessment Division
Louisiana Department of Natural Resources
617 North Third Street

Address:

PO Box 94396
Baton Rouge, LA 70804-9396

Contact Name/Title:

Paula Ridge, Energy Section Manager

Phone Number:

(225) 342-2133

Provided grant program monitoring, verification of energy savings and program outcomes, and reporting support to La DNR. Understanding the intersection of grant programs and federal rules, Dr. Roussel will be indispensable to the task of monitoring, auditing, and evaluating Grant Programs for this project.

- Served as Task Lead and managed the execution of all project work for this contract, including assignment of tasks, review of work products, monitoring of budgeted hours, and preparing monthly status reports. Under this contract, IEM provided program monitoring and verification. Tasks included review of business processes for compliance with applicable laws and regulations, development of recommendations for improvement in those processes, monitoring of the



execution of grant-related activities, verification of metrics and related reporting information, and design and implementation of ad hoc reports.

- Led design and implementation of custom reporting and collaborated with other team members on developing analytical approaches to special problems—for example, assessing the economic impact of the ENERGY STAR appliance rebate program.

CSEPPWebCA Development (September 2010–March 2012)
IEM, Task Lead

Reference Organization: Technological Hazards Division of NPD within DHS
Address: 1800 South Bell Street
 Arlington, VA 22202
Contact Name/Title: Terry Hobbs, Acting Branch Chief
Phone Number: (703) 605-1379

This project involved confirming that the requirements satisfied all applicable federal grant requirements, thereby satisfying the customer and reducing the risk of audit.

- Responsible for design and delivery of User Acceptance Test (UAT)—a significant milestone in the life cycle of CSEPPWebCA because it demonstrated the sufficiency and validity of the requirements and the design and cemented the stakeholder buy-in; integrated all stakeholder requirements, IEM/team goals, and customer expectations.
- Customer liaison; developed solid relationship with both primary customer, her closest advisors, and large segment of the user community by being both honest about what is both right and wrong and what is feasible given all of the constraints that inevitably arise in a long-term project.

CSEPPWebCA Help Desk (September 2010–March 2012)
IEM, Task Lead

Reference Organization: Technological Hazards Division of NPD within DHS
Address: 1800 South Bell Street
 Arlington, VA 22202
Contact Name/Title: Terry Hobbs, Acting Branch Chief
Phone Number: (703) 605-1379

Help Desk responded to user inquiries, solved system issues, and provided customer reporting and tracking. The majority of calls were about grant-related processes. A significant portion of the user community had limited grant experience and therefore required guidance in the correct way to respond to requests for information, report on activities and expenditure, etc.

- Field help desk calls from users, document all calls, actions, and outcomes, provide regular status reports to customer.

| Employment History | |
|--------------------------------------|-----------------------------------|
| 2000–present | IEM, Inc. |
| Location | Baton Rouge, LA |
| Position | Training Specialist |
| 1993–1994 1997-1998 | Louisiana State University |
| Location | Baton Rouge, LA |
| Position | Instructor |

| | |
|------------------|-----------------------------------|
| 1988–1994 | Louisiana State University |
| Location | Baton Rouge, LA |
| Position | Research Assistant |

Education

Ph.D., Cognitive Psychology, Louisiana State University, 1998
B.S., Secondary Education, University of New Orleans, 1977

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Karen Young, CPA, CIA, CFE

Project Manager (Manager)
Pool 1, Pool 2, Pool 3

Areas of Expertise

INTERNAL CONTROLS AUDITING; OPERATIONAL PROCESSES AUDITING; FINANCIAL PROCESSES AUDITING; ACCOUNTING; GRANTS MANAGEMENT; RISK ANALYSIS; COMPLIANCE REVIEWS; FRAUD INVESTIGATION REVIEWS; CONSULTING SERVICES REVIEWS

Relevant Qualifications

- **More than 25 years of experience** in accounting and auditing. Credentialed as a **Certified Public Accountant (CPA), Certified Internal Auditor (CIA), and Certified Fraud Examiner (CFE)**.
- **Assisting with current and prior disaster FEMA Public Assistance (PA) eligibility of expenses and claims for reimbursement** at the Louisiana Department of Natural Resources (LDNR) and the Coastal Protection & Restoration Authority (CPRA).
- **Supported the LDNR American Recovery and Reinvestment Act of 2009 (ARRA) Verification program**; audits have found more than \$163,000 that DNR was not receiving in a timely fashion due to documentation errors.
- **Identified and investigated fraudulent transactions** contained in one of the ARRA grant programs and provided the results of our investigation to the Office of Inspector General.
- **Experience performing OMB Circular A-133 Single Audits of Federal Awards.**
- **Performed fraud investigations** documenting fraud and providing internal control recommendation to lessen the risk that the fraud would reoccur.
- **Led the development of the internal audit department at a growing medical center**; coordinated all audit activities, including external, Internal Revenue Service (IRS), governmental agencies, third party, and fraud audits.
- **Performed operational and financial process reviews** and provided recommendations to make the processes more efficient and effective.
- **Created internal controls checklists** to assist in the performance of accounting and operational related processes.
- **Developed methodology to streamline the federal reporting process** and to efficiently gather the Federal regulatory information.
- **Knowledgeable about federal guidance and regulations.**
- **Wrote policies and procedures for operational and financial processes.**

Experience on Similar Contracts

Louisiana Dept. of Natural Resources Program Monitor for Disaster Recovery
(May 2011–present)
IEM, Inc., Project Accountant

Reference Organization: LDNR
Address: 617 N. 3rd Street
Baton Rouge, LA 70802



Contact Name/Title: Gwen Thomas, LDNR Fiscal Officer
Phone Number: (225) 342-4840

Ms. Young assists two state agencies in providing disaster incurred costs documentation to FEMA and in filing eligible disaster reimbursement claims. The work that she currently performs is almost identical to the services requested with respect to program and process management auditing, financial auditing, grant management, and integrity monitoring.

- Facilitates the gathering of disaster incurred costs documentation.
- Provides Federal disaster regulatory guidance to state agency personnel.
- Reconciles the Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP)/FEMA records with state accounting system transactions.
- Coordinates and attends meetings with GOHSEP (FEMA grantee) and state agencies (FEMA sub-grantees) personnel.
- Completes FEMA required forms (Force Account Labor, Force Account Equipment, Rented Equipment, Contract Work, Materials) and files Requests for Reimbursement claims.
- Ensures that follow-up requests from FEMA for additional information are addressed in a timely manner.
- Performs Quarterly Reporting of all open FEMA Project Worksheets.
- Represents state agencies at closing meetings.
- Addresses the back log of prior disaster FEMA claims.
- Verifies that FEMA claims are processed in a timely manner and reimbursed for the correct amount.
- Creates written policies and procedures related to FEMA disaster claims.

Louisiana Dept. of Natural Resources ARRA Verification Project (2010–2013)
IEM, Inc., Financial Auditor/Project Manager

Reference Organization: LDNR
Address: 617 N. 3rd Street
Baton Rouge, LA 70802
Contact Name/Title: Paula Ridgeway, State Energy Program Manager
Phone Number: (225) 342-2133

The focus of the project was ARRA Monitoring and Verification. The monitoring and verification work that Ms. Young performed for this project is very similar to the New Jersey Hurricane Sandy scope of services, including, but not limited to: development of processes and controls, recommendations to improve efficiency and effectiveness of processes, OMB circulars compliance reviews, risk analysis and work plan development, technical guidance, and forensic accounting.

- Interpreted Federal guidance and assisted LDNR and LDNR contractor personnel in implementing ARRA grant programs.
- Reviewed accounting processes and provided recommendations to improve efficiency and effectiveness of processes.
- Created process checklists to assist personnel in documenting processes and implemented controls to ensure that Federal grant funds were expended appropriately.
- Developed work plan and audited grant documentation to verify compliance with Federal and state requirements.

- Created weekly ARRA summary and project milestones sheets to track expenditures-to-date and current status of all on-going projects.
- Performed analytics that resulted in the identification of fraudulent ARRA rebate activity.
- Wrote policies and procedures relating to ARRA accounting, OMB-1512 and PAGE Federal reporting, Sub-grantee OMB Circular A-133 Monitoring, and Federal Grants Time Certification.
- Conducted on-site visits of sub-grantees to review accounting processes.

Consulting Projects (April 2000–December 2010)

Postlethwaite & Netterville, APAC, Consulting Manager

Reference Organization: Postlethwaite & Netterville, APAC
Address: 8550 United Plaza Boulevard, Suite 1001
Baton Rouge, LA 70809
Contact Name/Title: Robin Pilcher, Consulting Director
Phone Number: (225) 922-4600

For the consulting projects, Ms. Young provided oversight of the performance of internal controls/process reviews and litigation support projects. The performed consulting projects are comparable to the program and process management auditing, financial auditing, and anti-fraud services requested by New Jersey in their response for disaster assistance relating to Hurricane Sandy.

- Assisted in the performance of financial and operational internal controls and process reviews, OMB Circular A-133 reviews, SAS70 Third Party Administrator reviews, and compliance with Federal regulations reviews.
- Provided recommendations to strengthen internal controls, reduce costs, and improve operational efficiency.
- Performed forensic investigations to document the suspected fraud and made recommendations to reduce the likelihood that the fraud would reoccur.

Internal Audit Projects (January 1986–April 2000)

Our Lady of the Lake Regional Medical Center, Director of Internal Audit

Reference Organization: Our Lady of the Lake Regional Medical Center
Address: 5000 Hennessy Boulevard
Baton Rouge, LA 70808
Contact Name/Title: Jeff Limbocker, Chief Financial Officer (CFO)
Phone Number: (225) 765-6565

For the internal audit projects, Ms. Young provided oversight of the performance of internal controls/process reviews, assistance to external auditors, and litigation support. The financial and operational internal controls/process performed reviews are analogous to the program and process management and the financial auditing services requested. In addition, the forensic investigations, for which recommendations were provided to reduce the risk of repeated frauds, are similar in nature with the anti-fraud requested services.

- Assisted in the performance of financial and operational internal controls and process reviews, compliance with Federal regulations reviews, and forensic investigations.
- Provided recommendations to improve the efficiency and effectiveness of processes and to lessen the risk that the investigated fraud would reoccur.
- Assisted external auditors in the performance of their audits, including OMB Circular A-133 reviews, financial statement audits, IT audits, and billing compliance reviews.

Employment History

| | |
|---------------------|---|
| 2010–present | IEM, Inc. |
| Location | Baton Rouge, LA |
| Position | Financial Auditor |
| 2000–2010 | Postlethwaite & Netterville, APAC |
| Location | Baton Rouge, LA |
| Position | Consulting Manager |
| 1988–2000 | Our Lady of the Lake Regional Medical Center |
| Location | Baton Rouge, LA |
| Position | Director of Internal Audit |
| 1986–2000 | Our Lady of the Lake Regional Medical Center |
| Location | Baton Rouge, LA |
| Position | Staff Accountant |

Education

B.S., Psychology, Louisiana State University, 1979

Completed necessary accounting and business law coursework to become a CPA

Certification and Training

CPA, American Institute of Certified Public Accountants (AICPA), 1987

CIA, Institute of Internal Auditors (IIA), 1990

CFE, Association of Certified Fraud Examiners (ACFE), 2012

Completes annual continuing education to maintain CPA license and CIA certificate

Professional Affiliations

IIA

Information Systems Audit and Control Association (ISACA)

Society of Louisiana Certified Public Accountants (LCPA)

Areas of Expertise

DISASTER RECOVERY; PHYSICAL DAMAGE ASSESSMENTS; COST ESTIMATION; POST-DISASTER RECOVERY OPERATIONS; FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) PROJECT WORKSHEETS (PWS); SITE INSPECTIONS; FEMA PUBLIC ASSISTANCE (PA); MANAGEMENT/SUPERVISION

Relevant Qualifications

- **More than 20 years of experience in disaster recovery**, damage assessments, and management and supervision.
- **Experience obtaining FEMA PA funding for municipalities following hurricanes** in Texas and Louisiana and catastrophic flooding in Iowa.
- **Written more than 200 FEMA PA Project Worksheets** and RSMMeans worksheets.
- **Experience conducting hundreds of on-site damage assessments** for roads, bridges, recreational facilities, schools, transit facilities, fire stations, and water/wastewater utilities.
- **Supported Hurricane Rita recovery tasks** in Lake Charles, Louisiana for FEMA's Emergency Support Function (ESF) 14 – Long-Term Community Recovery.

Experience on Similar Contracts

Port Arthur, Texas Hurricane Ike Recovery (March 2009–June 2011)
AECOM International, Project Specialist

Reference Organization: AECOM
AECOM Disaster Recovery
Address: 2101 Wilson Blvd Suite 700
Arlington, Virginia 22201
Contact Name/Title: Sonny Craig, Public Assistance Team Leader
Phone Number: (609) 752-9784 or (318) 451-5525

Supported the City of Port Arthur's Hurricane Ike disaster recovery efforts by obtaining FEMA PA grants in Categories B (Emergency Protective Measures), E (Buildings and Equipment), and G (Parks, Recreational Areas, and Other Facilities), including funds for a variety of damaged facilities including fire stations, schools, historical buildings, transit facilities, park equipment, libraries, utilities, and municipal administrative properties. For the State of New Jersey, Mr. Abbey will ensure that FEMA PA grant applications and awards to agencies involved in rebuilding public and private facilities and the removal and disposal of debris are conducted in accordance with FEMA's regulations.

- Prepared 44 high-quality FEMA PWs to obtain disaster relief funds from FEMA for the City of Port Arthur, Texas.
- Developed RSMMeans worksheets used in estimating repetitive projects to expedite the application process.
- Earned high marks from the applicant's representatives and FEMA's on-the-ground management.

Iowa Flood Recovery (June 2008–October 2008)

AECOM International, Project Specialist

Reference Organization: AECOM
AECOM Disaster Recovery
Address: 2101 Wilson Boulevard Suite 700
Arlington, Virginia 22201
Contact Name/Title: James Dedes, Public Assistance Crew Leader
Phone Number: [REDACTED]

Supported recovery efforts in the Cities of Mason City, Creston, and Des Moines, Iowa by obtaining FEMA PA grants in Categories B (Emergency Protective Measures), C (Permanent Work), and G (Parks, Recreational Areas, and Other Facilities). For the State of New Jersey, Mr. Abbey will ensure that FEMA PA grant applications and awards to agencies involved in rebuilding public and private facilities and the removal and disposal of debris are conducted in accordance with FEMA's regulations.

- Wrote more than 70 high-quality PWs for Categories B, C and G.
- Made more than 200 individual site inspections.
- Assessed roads, bridges, recreational facilities, schools, and water/wastewater utilities.
- Developed a cost worksheet establishing a framework for standardizing the treatment of damaged culverts. The worksheet was so useful, it was adopted by other members of the team.

FEMA Assistance to Lake Charles, Baton Rouge, and New Orleans, Louisiana (January 2006–March 2008)

AECOM International, Project Officer, Team Lead & Local Government Specialist

Reference Organization: AECOM
AECOM Disaster Recovery
Address: 2101 Wilson Blvd Suite 700
Arlington, Virginia 22201
Contact Name/Title: Mike Patik, Lead Utilities Specialist
Phone Number: (609) 480-1325

This deployment was in direct response to Hurricanes Katrina and Rita. The work included damage assessments and writing PWs supporting public agencies. For the State of New Jersey, Mr. Abbey will ensure that FEMA PA grant applications and awards to agencies involved in rebuilding public and private facilities and the removal and disposal of debris are conducted in accordance with FEMA's regulations. He will also draw upon his experience as a damage assessor to evaluate the appropriateness of damage claims.

- Served as Project Officer supporting the Educational Facilities Public Assistance Program.
- Performed damage assessments at over 50 schools and assisted in assessing 128 public schools in Orleans Parish.
- Assisted with private non-profit and temporary facility projects.
- Wrote more than 120 Category E (Buildings and Equipment) and G (Parks, Recreational Areas, and Other Facilities) PWs. Facilities assessed included schools, fire stations, clinics, and libraries.
- As a Local Government Specialist, supported FEMA's Hurricane Rita Emergency Support Function (ESF)-14 tasks in Lake Charles, Louisiana.

| Employment History | |
|---------------------------|---|
| 2011–2012 | USAID |
| Location | Kabul, Afghanistan |
| Position | Senior Economist |
| 2009–2010 | USAID |
| Location | Panjshir Province, Afghanistan |
| Position | Senior Democracy and Governance Advisor |
| 2009 | AECOM International |
| Location | Beaumont, Texas |
| Position | Project Specialist |
| 2008 | AECOM International |
| Location | Mason City, Creston, and Des Moines, Iowa |
| Position | Project Specialist |
| 2006–2008 | AECOM International |
| Location | Lake Charles, Baton Rouge and New Orleans, Louisiana |
| Position | Project Officer, Team Lead, and Local Government Specialist |
| 2005 | Self-Employed Consultant to the Sandi Group |
| Location | Camp Liberty, Baghdad, Iraq |
| Position | Site Supervisor |
| 2004 | Self-Employed Consultant to Enterplan Ltd. |
| Location | Basra, Iraq |
| Position | Senior Institutional Development Specialist |
| 2003–2004 | Self-Employed Consultant to RTI International |
| Location | Basra Iraq |
| Position | Local Governance Financial Advisor |
| 2003 | Self-Employed Consultant to GRM International |
| Location | Port Elizabeth, South Africa |
| Position | Municipal Financial Advisor |
| 2002 | Self-Employed Consultant to PADCO, Inc. |
| Location | Kiev, Ukraine |
| Position | Senior Financial Consultant |
| 2002 | Self-Employed Consultant to Metcalf & Eddy |
| Location | Gaza Strip, Palestine |
| Position | Evaluation Team Manager |
| 2001–2002 | Self-Employed Consultant to Metcalf & Eddy |
| Location | Gaza City, Palestine |
| Position | Finance and Administration Manager |

| | |
|------------------|--|
| 1999–2001 | Self-Employed Consultant to Chemonics International |
| Location | Alexandria, Egypt |
| Position | Tariff and Financial Planning Specialist |
| 1997–1999 | City of San Diego Water Utilities Department |
| Location | San Diego, California |
| Position | Senior Analyst |
| 1994–1997 | City of San Diego Water Utilities Department |
| Location | San Diego, California |
| Position | Operations and Special Projects Analyst |
| 1993–1994 | City of San Diego Water Utilities Department |
| Location | San Diego, California |
| Position | Assistant Rate Analyst |
| 1991–1992 | Saudi Arabian Oil Company |
| Location | Dhahran, Saudi Arabia |
| Position | Supervisory Program and Planning Analyst |

Education

M.B.A., Andrews University, 1977

B.A., Public Administration/Geography, San Diego State University, 1970

Certification and Training

FEMA Hazard Mitigation Training, August 2008

FEMA GPS Field Training, August 2008

FEMA Professional Development Series Certificate, October 2007

More than 40 specialized FEMA courses, including:

- IS 630 Introduction to the Public Assistance Process
- IS 631 Public Assistance Operations I
- L 382 Public Assistance Operations II
- IS 632 Introduction to Debris Operations

Fieldwork and coursework at Camp Atterbury, Muscatatuck Training Center and the Foreign Service Institute, 2009-2010

Utilities Rate School, National Association of Regulatory Utility Commissioners and Institute of Public Utilities, Michigan State University, May 2005

Hostile Environment Training, Foreign and Commonwealth Office/Department for International Development, United Kingdom with refresher courses in Basra, Iraq, September 2004



Christopher M. Arunkumar, CPA, CFE

Project Manager (Manager)
Pool 2, Pool 3

Areas of Expertise

PROJECT MANAGEMENT; PUBLIC ACCOUNTING; AUDITING; GAAP FINANCIAL STATEMENTS; SOX 404
INTERNAL CONTROLS; FRAUD INVESTIGATION

Relevant Qualifications

- **Over 26 years of experience in accounting and auditing, particularly in the State of New Jersey.**
- **Taught a curriculum Managerial and Financial Accounting class**, with additional teaching continued via an online study program.
- **Experienced in preparing financial statements for audits**, management letters with recommendations. write-ups for trusts and partnerships, and tax returns for partnerships, trusts, estates, individuals, and corporations.
- **Supervised staff on audit engagements for various not-for-profit organizations in NYC Boroughs and Westchester.** Managed audit teams for IPO engagements, reviewed workpapers and implemented audit procedures.

Experience on Similar Contracts

Business Process Testing of Internal Controls (September 2006–May 2008)
GR Consultants, SOX Consultant

Reference Organization: ADP
Address: 1 ADP Boulevard
Roseland, NJ 07068
Contact Name/Title: Michael Bonarti, Vice President
Phone Number: (800) 225-5237

GR Consultants performed business processes testing of internal controls of companies. For the State of New Jersey, Mr. Arunkumar will apply his experience identifying weaknesses, recommending best practices, and assuring compliance with policies and procedures as related to process of internal controls.

- Tested Internal Controls related to Financial Statements.

Internal Control Testing for TBS Shipping (September 2008–November 2008)
CBIZ, SOX Consultant

Reference Organization: TBS Shipping
Address: 612 E Grassy Sprain Rd.
Yonkers, NY 10710
Contact Name/Title: Issa Odeh, CFO
Phone Number: (914) 961-1000

CBIZ tested the internal controls of payables and payroll for TBS Shipping. For the State of New Jersey, Mr. Arunkumar will apply his experience assuring compliance with policies and procedures as related to process of internal controls.

- Tested various business cycles for compliance with company policies.



Christopher M. Arunkumar, CPA, CFE, page 2

Financial Statement Review for Tyco Integrated Security (January 2005–September 2005)
Deloitte, Audit Manager

Reference Organization: Tyco Integrated Security
6600 Congress Ave.
Address: Boca Raton, FL 33487
Contact Name/Title: Arun Nayar, CFO
Phone Number: (561) 912-6000

Deloitte performed a review of financial statements and internal controls for Tyco Integrated Security. For the State of New Jersey, Mr. Arunkumar will apply his experience mitigating against inaccuracies in statements and assuring compliance with policies and procedures as related to process of internal controls.

- Supervised staff of five accountants.
- Reviewed workpapers prepared by staff accountants.
- Tested internal controls and reviewed client's financial statements are as per GAAP.

| Employment History | |
|--------------------|---|
| 2010 | DeVry University |
| Location | North Brunswick, NJ |
| Position | Adjunct Professor (Accounting) |
| 2010 | Bells Pharmacy |
| Location | Edison, NJ |
| Position | Controller |
| 2009 | Breakpoint Assurance Company |
| Location | New Brunswick, NJ |
| Position | CPA |
| 2008 | Sobel & Co. |
| Location | Audit Consultant |
| Position | Livingston, NJ |
| 2007–2008 | Engineering Solutions Products, Inc. |
| Location | Eatontown, NJ |
| Position | Consultant |
| 2006–2007 | Loeb & Troper |
| Location | New York, NY |
| Position | Audit Supervisor |
| 2005–2006 | GR Consulting |
| Location | Jenkintown, PA |
| Position | SOX Consultant |
| 2005 | Deloitte & Touché |
| Location | Princeton, NJ |
| Position | Audit Manager |

| | |
|------------------|---|
| 1999–2005 | Christopher M. Arunkumar, CPA |
| Location | Metuchen, NJ |
| Position | Sole Practitioner |
| 1998–1999 | Bleich, Glass & Cardona, PC CPAs |
| Location | New Brunswick, NJ |
| Position | Audit Supervisor |
| 1996–1998 | Druker, Rahl & Fein, CPAs |
| Location | Princeton, NJ |
| Position | Senior Accountant |
| 1995–1996 | Weiner, Penta & Goodman, CPAs |
| Location | Eatontown, NJ |
| Position | Senior Accountant |
| 1990–1995 | Linda L. Baker, CPA |
| Location | East Orange, NJ |
| Position | Senior Accountant |
| 1986–1990 | Joseph Warren & Co., CPAs |
| Location | New York, NY |
| Position | Senior Accountant |

Education

M.B.A., Taxation, Sri Venka Teshwara University, India, 1980
 B.A., Accounting, Osmania University, India, 1977

Certification and Training

Certification Courses, Business Law, Jersey City State College, 1995
 Certification Course, Liberal Arts, Hudson County Community College, 1995
 Active Certified Public Accountant's License
 Certified Fraud Examiner

Professional Affiliations

Former Director of NJ CFE Chapter
 Board Member of the Franklin Food Bank, Somerset
 Member, American Institute of Certified Public Accountants
 Member, New Jersey Society of CPAs
 Association of Certified Fraud Examiners

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Stephen Bojekian

Senior Consultant
Pool 1, Pool 3

Areas of Expertise

FRAUD INVESTIGATIONS; TRIAL/LITIGATION SUPPORT; DUE DILIGENCE; LOSS PREVENTION; ASSET LOCATION AND ANALYSIS; INTEGRITY MONITORING; BEST PRACTICES/INTEGRITY DEVELOPMENT; RISK ANALYSIS; COMPUTER/NETWORK INTRUSION AND DETECTION; CRIMINAL CASE REVIEW; FOREIGN DOCUMENT TRANSLATION; STATEMENT TAKING; POLICE PROCEDURES

Relevant Qualifications

- **Twenty-eight years of law enforcement experience** with concentrations in forensics, operational and investigational management, and inter-agency coordination.
- **Conducted and directed general, undercover, and forensic investigations.**
- **Court-certified expert**, New Jersey Superior and New York Supreme Courts.
- **Is a New Jersey Licensed Private Investigator**; a commissioned New Jersey State Detective; and a Certified Senior Crime Scene Analyst.
- **Responsible for the daily operation and executive management of 500 employees** and an annual budget of over \$30 million.
- **Founded Analytical Consulting Associates, LLC, after completing 30 years in the public safety profession** retiring as the Chief of the Bergen County Sheriff's Department in New Jersey.
- **Chief Administrator of a large metropolitan area multi-functional law enforcement agency** with a staff of five hundred.
- **Facilitated multi-agency planning** with State, interstate, and federal authorities.
- **Presently serving on the Examination Board** and the Training and Education Committees of the New Jersey State Association of Chiefs of Police.

Experience on Similar Contracts

Morris County Bureau of Criminal Identification (2011–present)

USA Architects, Consultant

Reference Organization: USA Architects
Address: 20 North Doughty Rd.
Somerville, NJ 08876
Contact Name/Title: Mark Coan, Principal/Partner
Phone Number: (908) 722-2300

USA Architects is constructing a multi-purpose criminalistics lab facility in Morris Plains, NJ. For the State of New Jersey, Mr. Bojekian will apply his experience in project development, needs assessments, and cost-saving measures.

- Assisted the end user with need assessments and cost saving alternatives.
- Assisted with project development and was able to observe the process from a vendor perspective.



Judicial Complex Security and Surveillance Management System (2002–2004)
County of Bergen, New Jersey, Project Manager

Reference Organization: Bergen County Sheriff's Department
1 Court Street
Address: Hackensack, NJ 07601
Contact Name/Title: Joel Trella, Sheriff of Bergen County
Phone Number: (201) 674-6539

The County of Bergen funded a complete video surveillance system for judicial security at the Bergen County Justice Complex. For the State of New Jersey, Mr. Bojekian will apply his experience in integration, cost-saving measure implementation, and minimum disruption of services.

- Attended meetings.
- Developed scope of work in conjunction with county officials.
- Developed cost estimates and procured grants.
- Developed RFP.

Multi-Platform Mobile Digital Technology and Information Management System (2002–2004)
County of Bergen, New Jersey, Project Manager

Reference Organization: Bergen County Sheriff's Department
1 Court Street
Address: Hackensack, NJ 07601
Contact Name/Title: Joel Trella, Sheriff of Bergen County
Phone Number: (201) 674-6539

The County of Bergen coordinated management-level duties related to the design, purchase, and implementation of mobile data terminals for use in police vehicles. For the State of New Jersey, Mr. Bojekian will apply his experience in project management and thoroughly reviewing documents for accuracy.

- Attended meetings.
- Reviewed submitted documents related to vendor submissions.
- Coordinate relative agencies that would be involved with data sharing.
- Developed RFP.

Multi-Million Dollar State of the Art Criminalistics Laboratory (1995–1998)
County of Bergen, New Jersey, Project Manager

Reference Organization: USA Architects
20 North Doughty Rd.
Address: Somerville, NJ 08876
Contact Name/Title: Mark Coan, Principal / Partner
Phone Number: (908) 722-2300

In 1995, the County of Bergen agreed to fund the construction of a state-of-the-art criminalistics facility in Hackensack, New Jersey to facilitate the processing of evidence and other support services to assist in criminal investigations. This would become a 30,000 square foot stand-alone facility completed in 1998. For the State of New Jersey, Mr. Bojekian will apply his process experience with significantly sized projects while conducting inspections of the job site with the related trades, verifying that material and resources were committed, and that appropriate security issues and safety were in compliance.

- Attended meetings; conducted inspections with contractors, architects, engineers and county representatives; reported findings.

Employment History

| | |
|---------------------|--|
| 2006–present | Analytical Consulting Associates, LLC |
| Location | Franklin Lakes, NJ |
| Position | Principal Operating Manager |
| 1978–2005 | Bergen County Sheriff’s Department |
| Location | Hackensack, NJ |
| Position | Chief of Police (Now Retired) |

Certification and Training

New Jersey Licensed Private Investigator, 2006
 Commissioned New Jersey State Detective, State of New Jersey, Office of the Governor, 2006
 Certified Senior Crime Scene Analyst, International Association for Identification
 Certificate of Public Management, Rutgers University, 1997
 Graduate, Farleigh Dickinson University / Law Enforcement Executive Institute, 2001

Professional Affiliations

Association of Inspectors General
 Subcommittee member for Forensic Science Crime Scene Investigations, International Association of Chiefs of Police (IACP)
 International Association for Identification (IAI)
 New Jersey State Association of Chiefs of Police (NJSACOP)
 Gold Life Member, New Jersey State Policemen’s Benevolent Association (NJSPBA)

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Lazaro Roberto Gutierrez, Sr.

Senior Consultant
Pool 1, Pool 2

Areas of Expertise

DISASTER RECOVERY; DISASTER MANAGEMENT & PLANNING; PROJECT MANAGEMENT AND GOVERNMENT GRANTS AND AUDIT EXPERIENCE; KNOWLEDGE OF ALL FACETS OF CONSTRUCTION CONTRACT REVIEWS; CPM AND CM PROCESSES; GRANTS MANAGEMENT; BUDGET REVIEWS

Relevant Qualifications

- **Over 20 years of professional disaster recovery** experience in multicultural environments.
- **Served as an expert in private/government contract administration, reviews and compliance, insurance policy reviews, on-site construction compliance inspections** and federal, state, and international **financial grants audit compliance**.
- Certificates for **Construction Quality Manager for Contractors, OSHA Hazard Recognition, and Management of Construction Projects**.
- **Served as a Project & Program Manager** and a **Project Coordinator** for **Departments of Public Works** and **Sewer & Water Boards**.
- **Knowledge of Construction Design processes**, i.e., Conceptual Drawings, Design Documents, Construction Documents, Bid Documents and other processes for Construction Projects.
- **Experienced serving as a Community Project Liaison** and with **federal and state grants management**.
- **Knowledge of construction and repairs** to detention facilities to ACA standards, fire stations, infrastructures, clinics, airport projects & hazard mitigation methods for governmental public facilities.

Experience on Similar Contracts

Hurricane Ike (July 2012–November 2012)

Gutierrez Management Enterprise, Inc & Witt Associates, Inc, Disaster Management Consultant/Project Manager

Reference Organization: University of Texas, Medical Branch (UTMB)
Address: 301 University Blvd #5
Galveston, TX 77555
Contact Name/Title: Cynthia Booker, Minority Contract Compliance Officer
Phone Number: (817) 903-7281

Hurricane Ike devastated Galveston Island in 2008. The UTMB had been unable to successfully secure eligible disaster related funds from the FEMA PA Program. Mr. Gutierrez was hired as a Consultant on this project and was instrumental in negotiating with FEMA Region VI personnel to release funds for the recovery of the University Medical Branch.

- Provided technical & fiscal assistance to the UTMB, with their estimated \$1 billion in Hurricane Ike-related damages.
- Assisted with Design Phase questions to ensure that A & E firms assigned to the project maintained awareness of FEMA PA eligibility parameters.



- Conducted site inspections and coordinated Project Management & Program Management Team meetings.
- Assisted the University of Texas Medical Branch (UTMB) with their project formulation for disaster-related projects.
- Maintained project files, coordinated meetings to discuss and separate SOW(Scope of Work) with the A & E firms and the site stakeholders.
- Ensured that FEMA maintained awareness of a \$200 million Hazard Mitigation Project for Infrastructure Projects.

Hurricane Irene, State of Vermont (February 2012–May 2012)

Gutierrez Management Enterprise, Inc & Witt Associates, Inc, Disaster Management Consultant/Project Manager

Reference Organization: Town of Hartford Vermont
Address: 171 Bridge Street
White River Junction, VT 05001
Contact Name/Title: John Knott, Town PM
Phone Number: (603) 630-5200

Following Hurricane Irene, served as a consultant to the State of Vermont and the local Government Agencies with the Recovery of Tropical Storm Irene and Ike. Mr. Gutierrez provided local towns with Subject Matter Expert on Disaster Recovery and Hazard Mitigation opportunities.

- Provided professional Public Assistance Consulting Services to the cities affected by Tropical Storm Irene and storm-related flood waters.
- Served as Project Manager and Subject Matter Expert on disaster recovery and hazard mitigation funding opportunities.
- Secured eligible funds and project managed for clients affected by the storm.

Hurricane Irene (August 2011–September 2011)

Witt Associates, LLC, Lead Public Assistance Consultant

Reference Organization: Puerto Rico Governor's Office of Emergency Management (PREMA)
Address: P.O. Box 966597
San Juan, Puerto Rico 00906-6597
Contact Name/Title: Juan Munoz, Senior Project Manager
Phone Number: (732) 604-2560

Assisted the State of Puerto Rico with their Irene response. Augmented the Office of Emergency Management and the Emergency Operation Center. Provided Technical recommendations and coordinated site visits to remote areas and surrounding Islands.

- Lead Public Assistance Consultant to the Commonwealth of Puerto Rico Governor's Office.
- Provided technical and programmatic recommendations to Puerto Rico relating to identification of eligible disaster damages as a result of Hurricane Irene.
- Conducted feasibility studies and observations in the Emergency Operation Center, Puerto Rico Emergency Management Agency Offices, and provided guidance on the FEMA Public Assistance Program.
- Facilitated the Preliminary Disaster Assessment process for the Governor's Office.

Hurricanes Katrina, Rita, Gustav and Ike (March 2006–October 2010)
 Department of Homeland Security & Emergency Preparedness, State of Louisiana/ Gutierrez
 Management Enterprise, Inc, Disaster Consultant/Lead Program Manager

Reference Organization: Louisiana Department of Homeland Security & Emergency Preparedness
 1 Seine Court
Address: New Orleans, LA 70123
Contact Name/Title: Michael Robinson, Orleans Parish Team Lead
Phone Number: (919) 247-5833

Mr. Gutierrez planned and conducted meetings with residents to discuss upcoming projects and specific issues to ensure community buy in. He coordinated work with variety of Community and Government agencies and was responsible for facilitating meetings with Governmental Department Heads, Architecture and Engineering Firms, Project Managers, Federal Project Officers and Contractors in reference to design issues which affect eligible disaster related funds at eligible damaged facilities. Managed a cadre of approximately 12 major Projects with an estimated value of \$700+ Million. Responsible for Construction Schedules and ensured that the Project is documented to sustain Audit reviews from the Office of Management & Budgets & Office of Inspector General, State and Federal.

- Secured the City of New Orleans Department of Public Works an estimated \$100 million in federal Public Assistance funding.
- Organized the process flow of documentation for construction projects funded by the Public Assistance Program, more specifically, coordination between the CNO DPW and the Sewer & Water Board of New Orleans.
- Assisted Public Belt Railroad with implementation of hazard mitigation project for “railroad ties,” whereby wooden railroad ties were changed to metal ties, reducing millions in future disaster cost.

| Employment History | |
|---------------------------|---|
| 2006–present | Gutierrez Management Enterprise, Inc. |
| Location | Castle Rock, CO |
| Position | Disaster Management Consultant |
| 2005–2006 | Saint Gobain-Desjonquieres |
| Location | Covington, Georgia, New York, New York, Paris, France |
| Position | Project Manager/Sr. Planner/ Scheduler |
| 2002–Present | Gutierrez Management Enterprise, Inc./The Fontanes Group |
| Location | Atlanta, GA., Miami, FL., New York, NY., Dominican Republic |
| Position | Assistant Construction Manager/Project Manager |
| 2001–2002 | Refuge Redevelopment Management Group |
| Location | Sierra Madre, CA., Altadena, CA., Los Angeles & Pasadena, CA |
| Position | Consultant/Project Manager |
| 1998–2002 | ADA Assistance Corporation |
| Location | West Palm Beach, FL, Atlanta, GA, Wilmington, NC, Montserrat & New York, NY |
| Position | Consultant/Project Coordinator |

| | |
|------------------|---|
| 1992–1998 | State of Florida, Department of Community Affairs |
| Location | Miami, FL., Panama City, FL., Tallahassee, FL., Northridge, CA. |
| Position | Disaster Consulting Specialist /Auditor I |
| 1983–1992 | United States Marine Corps |
| Location | Camp LeJuene, NC |
| Position | Infantry/Load Master/Interrogation & Translation |

Education

AA, Music Theory & Composition, U.S. Naval School of Music, 1983
Institute Accounting/Audit, United States Marine Corps, 1985/86

Certification and Training

Lean- Six Sigma
State of Florida, Department of Community Affairs Certified Disaster Recovery Specialist
U. S. Marine Corps Institute— Terrorism and Implementation of Counter Measures
Certified Construction Quality Manager for Contractors
OSHA Hazard Recognition Certification

Professional Affiliations

Colorado Association of Manufacturing & Technology



Kristin McCuaig
Senior Consultant
Pool 1, Pool 2

Areas of Expertise

DISASTER RESPONSE AND RECOVERY; EMERGENCY OPERATIONS; PUBLIC ASSISTANCE (PA) PROGRAM; PROJECT WORKSHEET (PW) DEVELOPMENT; TEMPORARY FACILITY/EDUCATIONAL FACILITY SUBJECT MATTER EXPERT (SME); PA INTERIM HOUSING PROGRAM CLOSEOUT; NATIONAL EMERGENCY MANAGEMENT INFORMATION SYSTEM (NEMIS); PRELIMINARY DAMAGE ASSESSMENTS (PDAs); QUALITY ASSURANCE(QA)/QUALITY CONTROL (QC); COST ESTIMATING; DEBRIS MANAGEMENT

Relevant Qualifications

- **11 years of experience in disaster response and recovery.**
- **Prepared approximately 300 Project Worksheets (PWs) plus numerous versions for Hurricane Katrina recovery efforts;** included project application assistance for critical infrastructure projects and government and private nonprofit (PNP) temporary facilities.
- **Considered subject matter expert (SME) on temporary and educational facilities during Hurricane Katrina recovery,** working in all areas of response and recovery from beginning to end. Facilitated placement of numerous temporary facilities in Hurricane Katrina recovery, including 11 grade school and high school campuses of 50,000 square feet or more for New Orleans Recovery School District.
- **Provided QA/QC reviews for all temporary facilities disaster-wide.**
- **Assisted state and local agencies with PA applications for Hurricane Isaac and Tropical Storm Debby recovery projects;** analyzed Preliminary Disaster Assessments (PDAs) and developed project development forecasts and technical assistance requirements.
- **Utilized FEMA cost codes as well as cost-estimating tools** to review drawings and estimate repair costs.
- **Served key role in the closeout of the PA Interim Housing program.**

Experience on Similar Contracts

Hurricane Isaac, Hurricane Debby (August 2012–December 2012)
DSI, Inc., PA Coordinator

Reference Organization: DSI, Inc.
FEMA Disaster Recovery Center
Address: Johnnie Walker Community Center
2500 W. 20th St. Jacksonville, FL 32209
Contact Name/Title: Loren Minutoli
Phone Number: (973) 615-5339

Assisted the State of Florida and FEMA in coordinating disaster work with the Applicant. Represented the State of Florida.

- Assisted state and local agencies with PA applications for **Hurricane Isaac and Tropical Storm Debby recovery projects**, serving as the representative for the State of Florida FDEM.



- Participated in Applicant Briefings and Kick-Off Meetings; **educated applicants on PA program requirements**, processes, timelines, and eligibility; assisted applicants with project formulation and scheduling.
- Analyzed data from PDAs; developed project development forecasts and identified technical assistance requirements.
- **Implemented validation process** to ensure work complied with all approved and mandated forms and protocols.
- Standard disaster-recovery protocols.

Hurricane Katrina (2006-2012)

Nationwide Infrastructure Support Technical Assistance Consultants (NISTAC), PA Project Specialist/QA-QC/PA Coordinator

Reference Organization: FEMA
Address: 1 Seine Court
New Orleans, LA, 70114
Contact Name/Title: Glenda Blocking
Phone Number: (225) 572-9230, Glenda.Blocking@LA.GOV

Hurricane Katrina, Rita, Gustav and Ike Recovery

- **Worked with FEMA** representatives on PA program grant applications for **Hurricane Katrina, Rita, Gustav, and Ike recovery projects**; conducted site visits and performed damage assessments.
- **Developed cost estimates** and scopes of work for damaged facilities and contents.
- **Coordinated with applicants** to assure scope of work compliance with FEMA regulations.
- **Provided QA/QC reviews for temporary facilities**, including 11 grade school and high school campuses of 50,000 square feet or more for the New Orleans Recovery School District.
- **Prepared PWs** for Category B temporary facility projects and for Category E damage and debris projects; included development of close to 300 project worksheets (with numerous versions for each), totaling in excess of \$125 million in project funding; logged PW information into NEMIS database.
- Became SME on temporary facilities as well as educational facilities.
- Instrumental in developing and implementing a waiver for temporary administration space related to damaged schools and medical facilities, which was then included as a permanent amendment to Temporary Facilities Policy 9523.3.
- Participated in the development and implementation of **Disaster Specific Guidance** that made educational costs related to displaced students eligible for FEMA funding.
- Developed first-ever protocols for transferring temporary facilities (modular type units) from one applicant to another and between disasters as a cost-saving measure.
- Served key role in the closeout of the PA Interim Housing program.
- Supported Office of Inspector General audits, appeals, and arbitration.
- Prepared issue papers for senior management and formulated response reports for Congressional inquiries.

Hurricane Katrina (2005–2006)

U.S. Small Business Administration (SBA), Loss Verifier/Congressional Inquiry Liaison (Field Inspection Team)

Reference Organization: SBA
Address: 233 Peachtree Center Ave NE
Atlanta, GA 30303
Contact Name/Title: Phillip Abbey
Phone Number: (225) 432-7790, [REDACTED]

Evaluate disaster damage – Hurricane Katrina.

- **Facilitated loan applications for hazard mitigation and economic injury disaster loss (EIDL).**
- Conducted applicant meetings and site visits.
- Inspected, measured, and **quantified damages to verify losses to individuals and businesses from Hurricane Katrina.**
- Prepared applications for funding of disaster damage repairs, replacements, and debris removal as well as hazard mitigation projects.
- Employed mobile computer software programs to create schematic plans of damaged properties and to aid in cost estimation, recordkeeping, and interagency communications.
- Disaster Recovery

NY Flooding – 1589 (2004-2005) – Support to New York State Emergency Mgmt Agency

Adjuster's International, Public Assistance Liaison

Reference Organization: Adjuster's International/Basloe, Levin, & Cuccaro
Address: 126 Business Park Drive
New Hartford, NY 13502
Contact Name/Title: Office Manager
Phone Number: (877) 482-1234

Severe storms and flooding.

- Extensive and varied experience in working with PNPs, schools, hospitals, and government organizations on projects related to public buildings, roads, bridges, and beaches.
- Inspected, measured, and quantified disaster damage and debris removal project requirements and costs for PA applicants.
- Reviewed drawings and utilized FEMA cost codes as well as cost-estimating programs, such as the Cost Estimating Format (CEF) and RS Means, to estimate repair costs.
- Submitted FEMA PWs on behalf of applicants for funding of disaster damage repairs, replacements, and debris removal; served as interface between applicants and FEMA representatives to facilitate applications related to hazard mitigation, when needed.
- Utilized various computer programs to aid in interagency communications and recordkeeping.
- Disaster Recovery

Employment History

| | |
|-------------------------------|---|
| March 12, 2013–present | IEM |
| Location | New York |
| Position | Project Specialist |
| 2006-2012 | NISTAC |
| Location | Louisiana |
| Position | PA Project Specialist/QA-QC/PA Coordinator |
| 2005-2006 | SBA |
| Location | Atlanta, GA |
| Position | Loss Verifier/Congressional Inquiry Liaison (Field Inspection Team) |
| 2004-2005 | Adjusters International |
| Location | New York |
| Position | Public Assistance Liaison |
| 2001–2003 | Coon, Varley and Associates, LLC |
| Location | Watertown, NY |
| Position | Commercial Real Estate Appraiser |
| 2001–2001 | Dealer Marketing Services |
| Location | Syracuse, NY |
| Position | Finance/Business Manager |
| 1985–2004 | Kristin's Victorian Bed and Breakfast |
| Location | Watertown, NY |
| Position | Owner/Operator |

Education

B.S., Business Administration-Finance/Economics, Syracuse University, 2000
 A.A., Liberal Arts, Jefferson College, 1998
 A.S., Finance, Jefferson College, 1998

Certification and Training

Emergency Management Institute

IS-100: Incident Command System
 IS-200: ICS for Single Resources & Initial Action Incidents
 IS-208: State Disaster Management
 IS-393: Introduction to Hazard Mitigation
 IS-631: Public Assistance Operations

FEMA Training

Public Assistance Operations I
 Public Assistance Operations II
 PW Development
 State PA Operations
 406 Hazard Mitigation



Areas of Expertise

FEDERAL AUDITING; PERFORMANCE AUDITING; GRANT COMPLIANCE REVIEWS; MANAGEMENT CONTROLS; DISASTER ASSISTANCE GRANTS; AUDIT PLANNING; AUDIT REPORTING; FEDERAL PROCUREMENT LAWS

Relevant Qualifications

- **23 years of experience as a federal auditor.**
- **As a Federal Auditor with the Department of Homeland Security (DHS)**, performed grant compliance reviews of applicants receiving federal funds for Presidentially declared disasters.
- **Assigned to Congressional inquiries of Hurricane Katrina Disaster Relief funds**, including the appropriateness of FEMA's decision to lease cruise ships for evacuees and the appropriateness of debris removal and landfill fee contracts.
- **Made final determinations for award value and eligibility of applicants** for Federal Emergency Management Agency (FEMA) Public Assistance (PA)-issued grants.
- **Ensured that programs receiving federal funds aligned with federal and state regulations and program policies** and reviewed applications for potential fraudulent activity.
- **Determined whether grant recipients accounted for and expended funds** according to federal regulations and FEMA guidelines.
- **As a Federal Auditor with the United States Department of Agriculture (USDA)**, conducted performance audits of major agricultural programs that identified fraud, waste, and abuse of federal funds.
- **Investigated inappropriate uses of USDA funds** by food stamps recipients, food stamp retailers, summer food program participants, crop producers, and slaughterhouses.

Experience on Similar Contracts

Oversight of Fire Management Assistance Grants Awarded to CPA firms (March 2008–September 2008)

DHS Office of Inspector General, Western Regional Office; Task Monitor Assigned to Contracting Officer's Technical Representative (COTR)

Reference Organization: DHS Office of Inspector General, Western Regional Office
Address: 300 Frank Ogawa Plaza, Suite 275, Oakland, California 94612
Contact Name/Title: John Richards, Audit Manager/COTR (retired)
Phone Number: [REDACTED]

Audited the State of California's administration of the Fire Management Assistance Grant Program awarded by the Federal Emergency Management Agency for the Canyon Fire, Hobble Fire, and Bland Mountain Fire. We contracted with independent public accounting firms to complete the work by task orders.

- Prepared memorandums to client; CPA firms awarded contracts after review of client workpapers.
- Reviewed client workpapers for facts, analysis, conclusions, analysis, and actions needed to support draft audit reports.

- Maintained files for client billings and evidence of correspondence between COTR and client.
- For the State of New Jersey, will review contracts to ensure that awarded work is eligible for United States Department of Housing and Urban Development (HUD) and FEMA PA grant funding and performed in accordance with HUD, FEMA, and other federal and State guidance.

Review of FEMA's Public Assistance Pilot Program (PAPP) (April 2007–March 2008)

DHS Office of Inspector General, Western Regional Office; Audit Team Member

Reference Organization: DHS Office of Inspector General, Western Regional Office
Address: 300 Frank Ogawa Plaza, Suite 275, Oakland, California 94612
Contact Name/Title: John Richards, Audit Manager (retired)
Phone Number: [REDACTED]

Site visits to conduct assessment of FEMA's outreach efforts on the pilot program.

- Interviewed FEMA Headquarters (HQ) Staff responsible for overseeing the PAPP.
- Interviewed disaster applicants that requested to use the PAPP.
- Prepared workpapers to support documentation of meetings along with analysis of applicant responses to questions about the benefits of using the PAPP.
- For the State of New Jersey, will draw upon experience with the FEMA PA grant program to conduct interviews and review workpapers.

Review of Preliminary Costs for Plaquemines Parish Sheriff's Office Following Hurricane Katrina (August 2006–October 2006)

DHS Office of Inspector General, Auditor

Reference Organization: DHS Office of Inspector General
Address: 245 Murray Drive, SW Building 410, Washington, D.C. 20528
Contact Name/Title: John Mitton, Audit Supervisor
Phone Number: (985) 502-4202

Audited the Plaquemine Parish Sheriff's Office to determine whether the Sheriff's Office expended and accounted for FEMA funds according to federal regulations and FEMA guidelines.

- Reviewed supporting cost documentation project worksheets being prepared for FEMA reimbursement in the areas of force account labor and vendor contracts awarded for services acquired.
- Interviewed Sheriff's office personnel relating to record maintenance and project worksheet preparation.
- For the State of New Jersey, will review cost documentation and paperwork of grant awardees to ensure the appropriateness of expenditures.

Congressional Request on Chef Menteur Landfill Use Following Hurricane Katrina (July 2006–September 2006)

DHS Office of Inspector General, Audit Team Member

Reference Organization: DHS Office of Inspector General
Address: 245 Murray Drive, SW Building 410, Washington, D.C. 20528
Contact Name/Title: John Mitton, Audit Supervisor
Phone Number: (985) 502-4202

Reviewed issues related to landfill costs for debris disposal in the City of New Orleans.

- Assisted with interviews of landfill site operator regarding tipping fees and other operational costs.

- Observed onsite operations and assessed management controls over estimating debris being delivered.
- Researched issues relating to public protests over environmental issues affecting nearby communities.
- For the State of New Jersey, will conduct onsite reviews and interview grant awardees to determine the appropriateness of expenditures, including debris removal and disposal operations.

Cruise Ship Audit (October 2005–December 2005)

DHS Office of Inspector General, Western Regional Office, Audit Team Member

Reference Organization: DHS Office of Inspector General, Western Regional Office
Address: 300 Frank Ogawa Plaza, Suite 275, Oakland, California 94612
Contact Name/Title: John Richards, Audit Manager (retired)
Phone Number: [REDACTED]

Reviewed the reasonableness of FEMA's decision to lease the cruise ships and the major contract requirements, and we performed a limited analysis of the cost efficiency of using the cruise ships for temporary housing.

- Interviewed FEMA HQ officials responsible for making decision to lease cruise ships and identified support as alternative housing options.
- Reviewed internal controls over ensuring only registered evacuees were allowed to board ships.
- Reviewed supporting cost documentation for claims submitted to FEMA for reasonableness.
- For the State of New Jersey, will conduct research to evaluate the legitimacy of spending decisions.

Review of Crystal Stair Child and Adult Care Food Program (December 2000–October 2001)

USDA Office of Inspector General, Western Region, Supervisory Auditor

Reference Organization: USDA Office of Inspector General, Western Region
Address: 1333 Broadway, Suite 400, Oakland, California 94612
Contact Name/Title: Robert Gray, Audit Manager/Regional Inspector General (retired)
Phone Number: [REDACTED]

Evaluated the sponsor's administration of the program and compliance with program requirements. This included determining whether the sponsor claimed only allowable, approved, and supported administrative expenses and whether they adequately monitored and trained their providers.

- Coordinated unannounced visits to the sponsoring organization and home day care providers by teams of USDA auditors and investigators.
- Reviewed the sponsoring organization's administrative costs against information sent to USDA Food and Nutrition Service for reimbursement.
- Prepared draft report identifying noted deficiencies against USDA program regulations.
- For the State of New Jersey, will determine whether spending decisions are compliant with federal and State regulations.

| Employment History | |
|---------------------------|--|
| 2001–2012 | Department of Homeland Security Office of Inspector General |
| Location | Oakland, CA |
| Position | Federal Auditor |
| 1989–2001 | United States Department of Agriculture Office of Inspector General |
| Location | Oakland, CA |
| Position | Federal Auditor |

Education

B.S., Accountancy, California State University at Fresno, 1989



Areas of Expertise

SOX; FINANCIAL AUDITING; ACL (AUDIT COMMAND LANGUAGE); AUDITSYSTEM-2; RISK ASSESSMENT; PROGRAM AND PROCESS MANAGEMENT AUDITING; INTEGRITY MONITORING

Relevant Qualifications

- **Provided audit services for IEM’s monitoring and verification of financial information and program performance measures** for the Louisiana energy grant program funded by the American Reinvestment and Recovery Act (ARRA)
- **Conducted full scope internal audit** for securitized projects for Lehman Brothers (now Barclay’s Capital) including key control assessments, documentation of processes, internal control testing, audit report issuance, and management of field staff.
- **Performed Sarbanes-Oxley (SOX) audit of International Paper Group for Deloitte Touche** including identification of all significant processes surrounding financial statement accounts, interviews with process owners, documentation of the processes, risks and controls, process walkthroughs, and testing of effectiveness of controls.
- **8 years of audit experience**, including **SOX-related audits** (domestic and international).
- **Institute of Internal Audit member.**

Experience on Similar Contracts

Louisiana Dept. of Natural Resources ARRA Monitoring and Verification Project
(November 2012–April 2013)
IEM, Project Auditor

| | |
|--------------------------------|--|
| Reference Organization: | Louisiana Department of Natural Resources |
| Address: | 617 N. 3rd Street Baton Rouge, LA 70802 |
| Contact Name/Title: | Paula Ridgeway, State Energy Program Manager |
| Phone Number: | (225) 342-2133 |

The monitoring and verification work performed for this project included development of processes and controls, recommendations to improve efficiency and effectiveness of processes, work plan development, technical guidance, and forensic accounting. Ms. Van Oss can provide a similar array of services to support the State of New Jersey’s recovery projects.

- Researched, reviewed, and interpreted federal guidance pertaining to each of the six grants provided under ARRA.
- Reviewed the policies and procedures implemented by the client as a result of ARRA federal guidance; provided recommendations for improvements.
- Wrote audit testing plans specific to the seven programs implemented and monitored under the ARRA grant.
- Performed testing for each program including, but not limited to, Davis Bacon and Buy American. Provided documentation, reporting, and reimbursement testing. Communicated findings with client’s senior management via meetings and audit write-ups.

- Discussed findings with client senior management, considered follow-up responses, and issued a final audit report.
- Performed monthly analytics to identify grant monies received and expended and to reconcile the two.

Full Scope Audit for Securitized Projects (February 2008–October 2008)

Lehman Brothers, Senior Auditor

Reference Organization: Lehman Brothers (now Barclay's Capital)
Address: 1301 Avenue of the America's
New York, NY 10019
Contact Name/Title: Cara Killackey, Senior Auditor
Phone Number: (312) 560-4930

Many of the skills used in performing full scope audits in this project are the same skills needed to perform the audit work required by New Jersey Hurricane Sandy scope of services, including, but not limited to: development of processes and controls, recommendations to improve efficiency and effectiveness of processes, work plan development, technical guidance.

- Met with various managers and vice presidents in order to gain an understanding of the processes and procedures involved in the front, middle, and back desk functions.
- Planned and executed all stages of internal audit involving key control assessments, documentation of processes, internal control testing, and audit report issuance.
- Obtained management responses, developed remediation plans, followed-up, and monitored remediation.
- Managed staff in the field which involved anticipating project steps, monitoring time and budget, performing quality assurance of work papers, and creating and providing status reports to management.

Sarbanes-Oxley (SOX) Audit (May 2005–Jan 2006)

IPG (International Paper Group), Auditor

Reference Organization: Deloitte & Touche
Address: 2 World Financial Center
New York, NY 10281-1414
Contact Name/Title: Rich Orzol, Internal Audit Director for CBS
Phone Number: (212) 975-3993

Many of the skills used in performing full scope audits in this project are the same skills needed to perform the audit work required by New Jersey Hurricane Sandy scope of services, including, but not limited to: development of processes and controls, recommendations to improve efficiency and effectiveness of processes, work plan development, technical guidance, and financial auditing.

- Sarbanes-Oxley work included: identification of all significant processes surrounding financial statement accounts; conducting interview sessions with process owners to determine how those processes occur; documentation of the processes, risks and controls through flowcharts and narratives; conducting walkthroughs to determine if the processes occur as expected; and applying various testing methods to determine if controls are effective.

Employment History

| | |
|-------------------------------|--|
| 2012–present | IEM |
| Location | Baton Rouge, LA |
| Position | Project Auditor |
| 2010–2012 | MMR Group, Inc. |
| Location | Baton Rouge, LA |
| Position | Supervisor of Internal Auditing |
| 2009–2010 | Self-Employed |
| Location | Baton Rouge, LA |
| Position | Accounting Consultant |
| Feb 2009– Dec 2009 | Élan Vital Montessori School |
| Location | Baton Rouge, LA |
| Position | Accounting Consultant/School Administrator |
| 2006–2008 | Lehman Brothers |
| Location | New York, NY |
| Position | Capital Markets Auditor |
| 2004–2006 | Deloitte & Touche, LLP |
| Location | New York, NY |
| Position | ERS Consultant |
| 2002–2004 | Louisiana Housing Finance Agency |
| Location | Baton Rouge, LA |
| Position | Contract Compliance Auditor |

Education

Graduate Coursework (Non-Degree), Internal Audit Program, Louisiana State University, 2001
 B.S., Marketing, Louisiana State University, 1997

Certification and Training

Passed Parts I, II, & IV of CIA Certification exam. Scheduled to sit for Part III in June, 2013

Professional Affiliations

Institute of Internal Audit

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Henry Walker, CEM

Senior Consultant
Pool 1, Pool 2, Pool 3

Areas of Expertise

PUBLIC ASSISTANCE (PA); INFRASTRUCTURE DAMAGE ASSESSMENT; PROJECT WORKSHEET (PW) DEVELOPMENT, VALIDATION, AND APPROVAL; DISASTER HOUSING; DISASTER OPERATIONS AND LOGISTICS; CONSTRUCTION ESTIMATING SOFTWARE; EMERGENCY OPERATIONS CENTER (EOC) OPERATIONS; EMERGENCY MANAGEMENT MISSION INTEGRATED ENVIRONMENT (EMMIE); NATIONAL EMERGENCY MANAGEMENT INFORMATION SYSTEM (NEMIS); FLOODPLAIN MANAGEMENT; HAZARD MITIGATION; CONSTRUCTION COST ESTIMATING; DEBRIS MANAGEMENT; FRAUD AWARENESS; GRANT REGULATORY COMPLIANCE

Relevant Qualifications

- **Nearly 14 years of combined experience** in PA, disaster housing, public housing, and inspection and damage assessment.
- **Provided recovery support following more than 40 disasters throughout the country since 2001.**
- **Credentialed as a Certified Emergency Manager (CEM).**
- **Served as a DHS/FEMA PA Coordinator in New York/New Jersey Region** (Hunterdon and Trenton counties in New Jersey); approved funding for Princeton University, Trenton Police Department, City of Trenton, private nonprofit organizations, Holland Police Department, Trenton Housing and Community Development, and the Trenton Fire Department; assisted 126 applicants concurrently.
- **As PA Coordinator, managed the most productive team of Project Specialists in the State of New Jersey;** led the preparation of more than 400 project proposals; commended by the Federal Coordinating Officer (FCO), who was appointed by President Obama.
- **As PA Project Specialist/Squad Leader, created budgets and scopes of work, and analyzed data and assessed damages** involving infrastructure, waterways, culverts, rip-rap, graded roads, bituminous base and surface roads, truss and girder bridges, commercial buildings, parks and recreational facilities, and sewage treatment plants.
- **Recently appointed to serve as DHS/FEMA Chief of Operations (Operations Specialist) in Washington, D.C.** (has not yet started new assignment).
- Received recognition from Region X Administrator Kenneth Murphy for close out of 103 projects in Seattle, Washington.

Experience on Similar Contracts

Texas Severe Storms and Flooding (DR-1379) (June 2001–March 2002)
Parr Inspections, Disaster Inspector

| | |
|--------------------------------|--|
| Reference Organization: | Parr Inspections |
| Address: | 8401 Arlington Blvd Fairfax, VA 22031 |
| Contact Name/Title: | Terrance Harmon, Quality Assurance (QA)/Quality Control (QC) |
| Phone Number: | (832) 526-9962 |



This project involved the completion of over 1,000 inspections in DR-1379. Mr. Walker reported to Senior Management regarding flaws and trends in the field. He performed appeals when they were issued to see if further Federal Grant funds were needed or denied the claim.

- Assisted disaster victims.
- Conducted appeal compliance inspections.

Louisiana Road Home Program (October 2006–November 2007) Parr/Dewberry and Davis, Evaluator

Reference Organization: Parr Inspections
8401 Arlington Blvd
Fairfax, VA 22031
Contact Name/Title: Chuck Aly, Field Ops Manager
Phone Number: (800) 758-0362

The focus of this project was assisting the State of Louisiana with their recovery program Community Development Block Grant (CDBG). Mr. Walker evaluated CDBG disaster funds.

- Evaluated damaged homes for disaster related damages, fraud, and appeals.

New Jersey Hurricane Irene (DR-4021), New Jersey Remnants of Tropical Storm Lee (DR-4039), New Jersey Severe Storm (DR-4048) (January 2012–October 2012) DHS/FEMA, Public Assistance Coordinator (PAC)

Reference Organization: FEMA Region II
26 Federal Plaza
New York, NY 10278
Contact Name/Title: Reginald Thomas, COTR, Task Force Leader
Phone Number: (908) 249-3373

This effort involved coordinating the recovery program in Hunterdon County and Mercer County in New Jersey. Mr. Walker was responsible for monitoring Federal Grants and handling grant administration.

- Approved eligible grants.
- Appointed as FEMA contact for municipalities in two counties.
- Audited financial records for compliance.

Texas Hurricane Ike (DR-1791) (November 2008–March 2010) DHS/FEMA, Housing Specialist, Technical Monitor, Group Site Crew Leader

Reference Organization: FEMA
130 228th S.W. Street
Bothell, WA 98021
Contact Name/Title: Karyn Wolfe, Deputy DHOPS Chief
Phone Number: (719) 339-6450

This project was in the wake of Hurricane Ike. Mr. Walker was responsible for regulatory compliance.

- Assisted disaster victims.
- Monitored contractors' performance on the IA contract and reported to the COTR.

FEMA Region X Grant Administration (June 2012–July 2012) FEMA, QA/QC

Reference Organization: FEMA Region X
130 228th Street SW
Bothell, WA 98021

Contact Name/Title: Dennis Burton, PA Branch Chief
Phone Number: (425) 487-4600

This project was focused on the QA/QC of grants. Mr. Walker was responsible for grant administration.

- Review work submitted for Federal Grants from the PA Program to see if all work and correspondence is in compliance.

| Employment History | |
|---------------------------|---|
| Jan 2012–Oct 2012 | DHS/FEMA |
| Location | New York, NY |
| Position | PAC Crew Leader |
| 2010–2012 | DHS/FEMA |
| Location | Bothell, WA |
| Position | PA Project Specialist/Squad Leader |
| May 2010–July 2010 | DHS/FEMA |
| Location | Lexington, KY |
| Position | Project Specialist |
| 2009–2010 | DHS/FEMA |
| Location | Texas City, TX |
| Position | Manager of Housing Operations, Group Site Crew Leader |
| Apr 2009–May 2009 | DHS/FEMA |
| Location | Texas City, TX |
| Position | Technical Monitor |
| 2008–2009 | DHS/FEMA |
| Location | Webster, TX |
| Position | Direct Housing Specialist |
| Sept 2008–Nov 2008 | Beck Disaster Recovery |
| Location | Orlando, FL |
| Position | QC Debris Specialist |
| Jan 2008–Jun 2008 | RBG, Ltd. |
| Location | Sugarland, TX |
| Position | Electrician Apprentice |
| 2006–2007 | Dewberry and Davis (Louisiana Road Home Program) |
| Location | Fairfax, VA |
| Position | Home Evaluator |

| | |
|-------------------------------|--|
| Feb 2006– Jun 2006 | City of Houston, Housing and Community Development Department |
| Location | Houston, TX |
| Position | Construction Inspector |
| 2001–2007 | PARR Inspections |
| Location | Fairfax, VA |
| Position | FEMA Housing Inspector, QC |
| 1999–2000 | Houston Housing Authority |
| Location | Houston, TX |
| Position | Section 8 Housing Inspector |

Education

Coursework in Business Management, Texas Southern University, 1983–1989

Certification and Training

CEM, FEMA, 2008
 Certified Disaster Inspector, Parr Inspections, 2001
 HUD Quality Standards Certification, Quadel Consulting, 2002

FEMA Emergency Management Institute (EMI)

- IS-5A: Introduction to Hazardous Materials
- IS-18: Equal Employment Opportunity
- IS-19: Equal Employment Opportunity Supervisor Course
- IS-100: Introduction to the Incident Command System (ICS)
- IS-139: Exercise Design
- IS-197: Planning Considerations for Service Providers
- IS-200: ICS for Single Resources and Initial Action Incidents
- IS-212: Introduction to Hazard Mitigation
- IS-230: Fundamentals of Emergency Management
- IS-235: Emergency Planning
- IS-240: Leadership & Influence
- IS-241: Decision Making & Problem Solving
- IS-242: Effective Communication
- IS-244: Developing & Managing Volunteers
- IS-253: Coordinating Environmental and Historical Preservation
- IS-288: Roles of Volunteer Agencies
- IS-292: Disaster Basics
- IS-403: Introduction to Individual Assistance
- IS-546: Continuity of Operations (COOP)
- IS-630: Introduction to the PA Process
- IS-632: Debris Operations
- IS-650: Building Partnerships in Tribal Communities
- IS-700: National Incident Management System (NIMS)
- IS-800: National Response Framework (NRF)
- IS-801: Emergency Support Function (ESF) #1, Transportation
- IS-802: ESF #2, Communications
- IS-803: ESF#3, Public Works and Engineering

IS-804: ESF #4, Firefighting

IS-805: ESF #5, Emergency Management

IS-806: ESF #6, Mass Care, Emergency Assistance, Housing, and Human Services

IS-813: ESF #13, Public Safety and Security

IS-00546.R: Continuity of Operations Awareness Course

IS-00019.11: FEMA EEO Supervisor Course

IS-00020.11: Diversity Awareness

Advanced Flood Seminar (FEMA)

Additional Relevant Training

Principles of Real Estate 1 & 2 (60 hours), Tomball College, Champion Real Estate School

Laws of Contracts (30 hours), Tomball College, Champion Real Estate School

Professional Affiliations

Texas Floodplain Managers Association (TFMA)

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Areas of Expertise

FINANCIAL ANALYSIS AND REPORTING; PROJECT ACCOUNTING; FORECASTING; BILLING

Relevant Qualifications

- **Knowledge of the FAR and compliance requirements** for contracts.
- **Five years of accounting experience.**
- **Three years of working on government contracts.**
- **Two years of experience as a Financial Analyst.**
- **Oversees project cost measures and labor invoices** for multiple time and material contracts.

Experience on Similar Contracts

CMA WebPuff (June 2010–present)
IEM, Inc, Project Accountant

Reference Organization: U.S. Chemical Materials Agency
5183 Blackhawk Road Bldg. E1946
Aberdeen Proving Ground, MD 21010-5424
Address:
Contact Name/Title: Linda Ensminger, Contracting Officer
Phone Number: (410) 436-8564

WebPuff is used by six chemical stockpile sites and provides hazard analysis, protective actions, work plans, event notification, and associated functions for response to and planning for a chemical accident. Mr. Boozer will apply his knowledge of accounting, FAR and compliance requirements, and government contracts to support the State of New Jersey's efforts to monitor the flow of recovery grant funding.

- Monthly billing through WAWF (Wide Area Work Flow)
- Budgeting
- Weekly cost/forecast reporting to Project Manager
- Review of subcontractor invoices to be billed to the customer
- Review project costs for FAR compliance

MsCOE – VBS2 (January 28, 2011–March 23, 2012)
Employer, Project Accountant

Reference Organization: U.S. Army Engineer School
3201 Manscen Loop, Suite LH3650
Ft. Leonard Wood, MO 65483
Address:
Contact Name/Title: Abra N. Smith, Contracting Officer
Phone Number: (757) 878-3166 3269

VBS2 is a Decision Making Scenarios training tool that was designed to support the U.S. Army Engineer School. The work consisted of providing 10 VBS2 Decision Making Scenarios to support the training and education curriculum for Engineer Officers. Mr. Boozer will apply his knowledge of accounting, FAR and



compliance requirements, and government contracts to support the State of New Jersey's efforts to monitor the flow of recovery grant funding.

- Monthly billing through WAWF (Wide Area Work Flow)
- Budgeting
- Weekly cost/forecast reporting to Project Manager
- Review of subcontractor invoices to be billed to the customer
- Review project costs for FAR compliance

ECBC – CBRNE Public Outreach (June 2010–December 2011)

IEM, Project Accountant

Reference Organization: U.S. Army RDECOM Contracting Ctr.
Edgewood Contracting Division
Address: E-4455 Leitzan Road
Aberdeen Proving Ground, MD 21010-5401
Contact Name/Title: Sherry L. Compton, Contracting Officer
Phone Number: (410) 436-8565

ECBC launched a social media awareness campaign to help stakeholders understand how easy it is to use social media to stay up-to-date on U.S. Army Element, Assembled Chemical Weapons Alternatives (ACWA) mission program information. This public outreach campaign included multiple stakeholders and incorporated various forms of social media (Facebook, twitter, flickr, youtube, etc.). Mr. Boozer will apply his knowledge of accounting, FAR and compliance requirements, and government contracts to support the State of New Jersey's efforts to monitor the flow of recovery grant funding.

- Monthly billing through WAWF (Wide Area Work Flow)
- Budgeting
- Weekly cost/forecast reporting to Project Manager
- Review of subcontractor invoices to be billed to the customer
- Review project costs for FAR compliance

URS/Westinghouse (June 2010–December 2011)

IEM, Project Accountant

Reference Organization: URS/Westinghouse Anniston
3580 Morrisville Road
Address: Anniston, AL 36201
Contact Name/Title: Cori Conder, Contract Manager
Phone Number: (256)240-2386 ext. 2310

IEM provides Technical Support Services for the Anniston Chemical Disposal Facility. Mr. Boozer will apply his knowledge of accounting, FAR and compliance requirements, and government contracts to support the State of New Jersey's efforts to monitor the flow of recovery grant funding.

- Monthly billing
- Budgeting
- Review project costs for FAR compliance

JEM II (February 2011– February 2012)

IEM, Project Accountant

Reference Organization: Northrop Grumman
Address: 1760 Glenn Curtiss Street
 Carson, CA 90746
Contact Name/Title: Lynne Gerard, Sr. Subcontract Administrator
Phone Number: (310) 764-6272

Under the Development and Integration portions of our contracts with JPM-IS, IEM provides modeling, simulation, software development, and integration analysis support to the JEM development effort. This work also included software development and verification and validation. Mr. Boozer will apply his knowledge of accounting, FAR and compliance requirements, and government contracts to support the State of New Jersey's efforts to monitor the flow of recovery grant funding.

- Monthly billing
- Budgeting
- Weekly cost/forecast reporting to Project Manager
- Review of subcontractor invoices to be billed to the customer
- Review project costs for FAR compliance

| Employment History | |
|---------------------|---|
| 2010–present | IEM, Inc |
| Location | Research Triangle Park, NC |
| Position | Financial Analyst II |
| 2008–2010 | L. Paul Kassouf & Company, P.C. |
| Location | Birmingham, AL |
| Position | Staff II Accountant |
| 2008–2008 | Blue Cross Blue Shield of Alabama |
| Location | Birmingham, AL |
| Position | Intern/ Staff Assistant – Internal Auditing |

Education

B.S., Accounting, University of Alabama at Birmingham, 2007

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Jacqueline Covington, CEM

Consultant
Pool 1, Pool 2

Areas of Expertise

GRANT COORDINATION; DISASTER COUNSELING; NIMS; FEMA PROGRAMS; EMERGENCY MANAGEMENT; STRATEGIC PLANNING; PROBLEM ANALYSIS/RESOLUTION; PROJECT PLANNING/COORDINATION; INTERAGENCY/INTERDISCIPLINARY PLANNING, TRAINING, AND OPERATIONS; GROUP FACILITATION; CUSTOMER SERVICE; WRITTEN & ORAL COMMUNICATIONS; PROGRAM MANAGEMENT

Relevant Qualifications

- **Knowledge of emergency management principles and related federal, state, and local laws, codes, regulations, and guidelines.**
- **Over 12 years of educating and counseling individuals and groups from diverse backgrounds** within the framework of county-level government,.
- **Over 7 years of experience interviewing, counseling, and advising disaster victims.**
- **Excellent experience and skills in research and analysis**, document development and preparation, and group coordination and facilitation.

Experience on Similar Contracts

Louisiana Office of Community Development Small Rental Property Program (March 2010–March 2012)

IEM, Project Pre-Closing Analyst, Monitoring and Controlling Analyst

Reference Organization: Louisiana Office of Community Development, Disaster Recovery Unit
Claiborne Building
Address: 1201 N. Third St., Suite 7-210
Baton Rouge, LA 70802
Contact Name/Title: Bradley Sweazy, Small Rental Supervisor (former)
Phone Number: (225) 763-8700

The Small Rental Property Program, a component of the Road Home Program, provides incentive-based forgivable loans to property owners to repair their storm-damaged, small-scale rental properties and make units available to low- and moderate-income tenants at affordable rates. The Small Rental Property Program is funded through HUD's Community Development Block Grant and therefore must comply with the federal regulations which govern those funds. The IEM team was responsible for providing services in the following areas: Pre-Closing, Compliance and Monitoring, and Issue Tracking and Fraud, Waste, and Abuse Coordination. Ms. Covington will apply her extensive knowledge and background with CDBG Disaster Recovery grants to assist with recovery efforts involving housing, economic development, and infrastructure. She will use her experience in the development of program processes and controls to develop and enhance NJ processes and controls.

Pre-Closing Analyst

- Provided due diligence reviews of all documents from applicants and third parties.
- Reviewed applicant files for completeness and accuracy and followed up on any document discrepancies, while assisting applicants in providing appropriate documentation by addressing issues and questions raised by the applicant.



- Provided quality control, document management, audit support, and file documentation for each applicant, while maintaining a daily QC check to reduce the risk of backlogged files.
- Ensured that Construction Estimate–Cost To Repair inspection had been completed and that the project had undergone a feasibility analysis.

Compliance and Monitoring Analyst

- Monitored compliance with the Rental Regulatory Agreements, loan documents, and other closing documents signed by all applicants; sent annual compliance letters and checklists to property owners and entered responses into the tracking system.
- Set up appointments for on-site monitoring visits.
- Verified that the applicants conformed with all applicable Uniform Relocation Act (URA) guidelines, and that procedures were in compliance with CDBG, state, and federal guidelines.

East Feliciana Parish Hazard Mitigation Plan Update (September 2009–August 2011)

IEM, Task Lead and Mitigation Specialist

Reference Organization: East Feliciana Parish
Address: 11050 Bank St.
Clinton, LA 70722
Contact Name/Title: Bud Weigand, Director, Office of Homeland Security/Emergency Preparedness
Phone Number: (225) 683-1014

IEM completed an update of the East Feliciana Parish Hazard Mitigation Plan in accordance with the requirements of the Hazard Mitigation Act of 2000 (44 CFR 201.6) for local mitigation planning criteria and the Louisiana Governor's Office of Homeland Security and Emergency Preparedness. Ms. Covington will employ her familiarity with Mitigation program regulations and ability to provide guidance and administration for recovery programs to meet State needs.

- Coordinated and facilitated the steering committee meetings.
- Completed research and technical writing for the plan.
- Provided technical assistance to the steering committee, providing advice and guidance on the regulations that govern the Mitigation program, such as the Stafford Act (Section 404), 44 CFR, HMGP Desk Reference, OMB circulars, and other relevant laws and regulations.
- Completed quarterly reporting requirements and submitted to the Governor's Office of Homeland Security and Emergency Preparedness for grant administration tracking.

Katrina Disaster Assistance (October 2005–December 2007)

Small Business Administration Office of Disaster Assistance, Disaster Specialist

Reference Organization: Small Business Administration Office of Disaster Assistance
Address: 14925 Kingsport Rd.
Fort Worth, TX 76155
Contact Name/Title: Michelle Wright, Supervisory Loan Officer
Phone Number: (800) 366-6303

SBA's Office of Disaster Assistance provided disaster loans to those who qualified for financial assistance to rebuild their homes and businesses in the wake of Hurricane Katrina by offering low-interest long-term loans. Ms. Covington will use her experience in the administration of disaster recovery efforts and the development of processes and procedures for efficient execution and compliance of New Jersey recovery efforts.

- Interviewed and counseled disaster survivors concerning benefits, loan requirements, and completion of disaster relief loan applications, including relevant grants.
- Reviewed business and personal loan applications, verified information, requested and secured missing or incomplete information, and resolved outstanding conflicts.
- Prepared and submitted progress reports, and submitted process improvement plans to improve procedures to increase efficiency.
- Completed Quality Assurance and Quality Control of documents, verifying the completion of information.

Employment History

| | |
|---------------------|--|
| 2008–present | IEM, Inc. |
| Location | Baton Rouge, LA, and Atlanta, GA |
| Position | Grant Administrator |
| 2005–2008 | Small Business Administration, Disaster Processing Center |
| Location | Fort Worth, TX |
| Position | Disaster Reserve Specialist/Customer Service Representative |
| 2002–2005 | Randstad North America |
| Location | Fort Worth, TX |
| Position | Operations Specialist |
| 2001–2002 | Fidelity Investments |
| Location | Westlake, TX |
| Position | Retirement Specialist |
| 1990–2000 | Tarrant County Community Supervision and Corrections Department |
| Location | Fort Worth, TX |
| Position | Supervision Officer/Counselor |
| 1985–1991 | U.S. Marine Corps Reserves |
| Location | Dallas, TX |
| Position | Supply Logistics Specialist |

Education

M.P.A, Public Administration, University of Texas–Arlington, 2003
 B.A., Home Economics/Retail, Washburn University, 1984

Certification and Training

Certificate in Urban Nonprofit Management, University of Texas at Arlington, 2008
 Certified Emergency Manager
 HSEEP Training

FEMA

IS 1 Emergency Program Manager: An Introduction to the Position
 IS 3 Radiological Emergency Management
 IS 5.a Introduction to Hazardous Materials

IS 7 A Citizen's Guide to Disaster Assistance
IS 8.a Building for Tomorrow's Earthquakes
IS 10 Animals in Disasters, Awareness and Preparedness
IS 11 Animals in Disasters, Continuity Planning
IS 15.b Special Events Contingency Planning for Public Safety Agencies
IS 22 Are You Ready? An In-Depth Guide to Citizen's Preparedness
IS 30 Mitigation eGrants System for the Subgrant Applicant
IS 55 Household Hazardous Materials: A Guide for Citizens
IS 100.b Intro to Incident Command System (ICS)
IS 111 Livestock in Disaster
IS 120.a Introduction to Exercises
IS 139 Exercise Design
IS 200 ICS for Single Resources
IS 208 State Disaster Management
IS 230 Principles of Emergency Management
IS 235 Emergency Planning
IS 240.a Leadership and Influence
IS 241.a Decision Making and Problem Solving
IS 242.a Effective Communication
IS 244.a Developing and Managing Volunteers
IS 288 Role of VOADs in Emergency Management
IS 292 Disaster Basics
IS 346 Hazardous Materials for Medical Personnel
IS 362 Multi-Hazard Emergency Planning for Schools
IS 393.a Introduction to Hazard Mitigation
IS 394.a Protecting Your Home and Small Business from Disaster
IS 546.a Continuity of Operations (COOP) Awareness Course
IS 547.a Intro to COOP
IS 630 Introduction to the Public Assistance Process
IS 631 Public Assistance Operation I
IS 632 Intro to Debris Operations in FEMA's Public Assistance Program
IS 700.a National Incident Management System (NIMS)
IS 701 NIMS Multi-Agency Coordination System
IS 702 NIMS Public Information Systems
IS 703 NIMS Resource Management
IS 801 Emergency Support Function #1: Transportation
IS 803 Emergency Support Function #3: Public Works and Engineering
ICS 300 Intermediate ICS for Expanding Incidents
G 202 Debris Management Planning

Other Training

Disaster Credit Management System Software, SBA Office of Disaster Assistance
CERT Training, City of Euless, TX, Police Department

Professional Affiliations

International Association of Emergency Managers
American Red Cross



Areas of Expertise

FINANCIAL/STATISTICAL ANALYSIS; INVOICES/EXPENSE REPORT REVIEW; INTERVIEWS AND INTERROGATIONS; JOURNAL ENTRIES/GENERAL LEDGER; COST PERFORMANCE MEASURES; AUDIT PLAN IMPLEMENTATION; ACCOUNT RECONCILIATION; PAYROLL AND TAXATION; INTERNAL CONTROL TESTING; RISK MITIGATION; BACKGROUND INVESTIGATIONS; RECORDS ORGANIZATION & MANAGEMENT; PROSECUTION WORK PAPER PREP; SPREADSHEETS & ACCOUNTING REPORTS; ACCOUNTS PAYABLE/RECEIVABLE MANAGEMENT; CERTIFIED FRAUD EXAMINER

Relevant Qualifications

- **Diverse accounting and audit professional with over 7 years experience** in government, nonprofit, and private sector financial services.
- **Proficient in multiple software packages for accounting, auditing, and documentation** including QuickBooks, Peachtree, Capture Perfect, Audit Tracker, and Microsoft Office (Excel, Word, PowerPoint).
- **Gathers evidence to prove or disprove allegations** received for misappropriation of Federal and state funding.
- **Examines case law, state and Federal statutes, public records,** and other information using Westlaw, one of the primary online legal research services.
- **Maintains a consistent track record in building relationships** to ensure goals are achieved with the utmost integrity.
- **Demonstrates strong leadership skills,** an ability to adapt to changing situations, and to maintain a positive attitude.
- **As a certified fraud examiner, conducts interviews and interrogations into potential fraud and misappropriation** of government resources using the Reid Interrogation Technique and other methods.

Experience on Similar Contracts

Quasi-Government Agency Property Disposal (May 2009–present)
Louisiana Land Trust (LLT), Senior Compliance Monitor

Reference Organization: Louisiana Land Trust
Address: 11601 Southfork Dr. Building D.
Baton Rouge, LA 70816
Contact Name/Title: Carolyn Carolina / Administrative Director
Phone Number/email: (225) 395-0778 / ccarolina@lalandtrust.us

The Louisiana Land Trust is a non-profit organization formed to manage the properties that have been purchased by the State of Louisiana under the current Road Home Program as part of the ongoing recovery effort from the damage caused by Hurricanes Katrina and Rita in 2005. Ms. Hughes oversees the monitoring processes to ensure that Community Development Block Grant (CDBG) funds are expended in accordance with federal and State regulations. She brings this experience to support the State of New Jersey's recovery process.

- Analyzed contract compliance connected to property assessments, asbestos abatements, site clearance, QAQC, timesheets, and internal control processes and procedures.
- Supervised two staff monitors. Performed invoice review; managed timely, accurate process of demo bid contract procurement, and acted as liaison between the LLT, the Louisiana Legislative Auditor, and contractors; provided consulting to mitigate risks.
- Evaluated financial draws, retainer, and payments to ensure compliance with pre- and post-demolition closeout phases. Composed monthly management reports summarizing overall program cost, statistical performance measures, and audit findings.
- Integrated the compliance audit plan review function in the Demolition Management System (DMS) to electronically run testing, queries, and exception reports, and create various Crystal reports with data analysis for over 10,000 Road Home properties.
- Implemented a financial database in the DMS to track all costs incurred for over 6,000 invoices and electronically generate duplication testing and property verification reports.
- Created consolidated exception report query in the DMS, noting demolition database work order documents and invoice inconsistencies.
- Instituted same-service contract cost comparison analysis and resolved \$900,000 in overbilling as a result of insufficient billing.

State Auditor's Office Consultant (September 2006–May 2009)

Louisiana Legislative Auditor, Compliance Auditor

Reference Organization: Louisiana State Auditor's Office
1600 North Third Street – PO Box 94397
Baton Rouge, LA 70804-9397

Address:

Contact Name/Title: Gary Duty or Dan Daigle / Audit Manager or Audit Director

Phone Number: (225) 339-3800

The Louisiana Legislative Auditor serves as the watchdog of public spending, overseeing more than 3,500 audits of state and local governments and their related quasi-public enterprises. As a compliance analyst, Ms. Hughes gained experience in drafting audit reports that identify fraud and support opportunities for improvement and recommended value-added solutions; in presenting audit findings to the management and division director; and in analyzing business processes and financial statements to confirm compliance with Generally Accepted Accounting Principles (GAAP) and policies and procedures. This experience will be used in support of the State of New Jersey's recovery process.

- Performed financial data analysis, created best practices checklist, prepared work-paper cross-reference for prosecution, and built rapport with all government, quasi-public agencies and levels of management.
- Completed government appointee background investigations and various forensic audits for local, state, and federally-funded programs.
- Prepared fiscal notes on legislative session house bills indicating the impact on state agency revenue and expenditures.
- Tested internal controls, policy violation, and violation of state and federal laws citing findings of approximately \$1.4 million. Helped the state recover over \$500,000 in restitution from fraud findings, resulting in one count of federal theft and a 30-month prison sentence.
- Demonstrated the ability to quickly master computer systems for the Department of Labor, the Department of Motor Vehicles, and Westlaw online research; furnished system process and documentation to support cases.

- Demonstrated the ability to create open dialogue with all levels of government employees to ensure due diligence.

Non-Profit Organization Consultant (February 2006–July 2006)
 Citizen Consulting, Inc., General Ledger Accountant

Reference Organization: Citizen Consulting, Inc.
 1024 Elysian Fields Ave
Address: New Orleans, LA 70117-8402
Contact Name/Title: Human Resources Department
Phone Number: (504) 943-5459

Citizen Consulting, Inc., is a non-profit organization that provides accounting, auditing, and bookkeeping services. Ms. Hughes brings experience related to grants, accounts receivable, and auditing support to the State of New Jersey's recovery process.

- Reported to CFO regarding all grant income, receipts, donations, and expenditure of funds.
- Managed daily accounts receivable processes, grant revenue coding, and bank reconciliations on a monthly and quarterly basis for over 300 asset accounts.
- Recorded and maintained general ledger, journal entries, and electronic checks utilizing Navision Accounting Software.
- Created year-end audit schedule, and monthly and year-end financial statement report.
- Processed wire transfers to local and international accountants and allocated funds for payroll.
- Assisted external auditors with annual reviews of accounting functions through performance of process walk-through and test of controls.
- Created grant tracking tool to track funding sources for 100 Acorn accounts to ensure documentation is supported and funds post to correct account.
- Trained junior accountants in reconciliation and accounting reporting.
- Reorganized filing system to track banking data making data easily accessible to the department.

| Employment History | |
|---------------------|--|
| 2009-Present | Louisiana Land Trust |
| Location | Baton Rouge, LA |
| Position | Senior Compliance Monitor |
| 2006-2009 | Louisiana Legislative Auditors [State Auditor's Office] |
| Location | Baton Rouge, LA |
| Position | Compliance Auditor |
| 2006 | Citizen Consulting, Inc. |
| Location | New Orleans, LA |
| Position | General Ledger Accountant |
| 2004-2006 | Enterprise Rent-A-Car |
| Location | Denham Springs, LA |
| Position | Manager Trainee |

| | |
|------------------|---|
| 1999-2005 | Taco Bell Restaurant |
| Location | Baton Rouge, LA |
| Position | Shift Manager and Hiring Manager |
| 2004 | Teche Federal Savings Bank |
| Location | Baton Rouge, LA |
| Position | Head Teller/Customer Service Representative |

Education

MBA, Business Administration, University of Phoenix, 2006
B.S., Accounting, Southern University A&M, 2004

Certification and Training

Certified Fraud Examiner (CFE) License #517035, September 2007
Certified Public Accountant (CPA), Completed 150-Hour Requirement for the State of Louisiana

Professional Affiliations

Angels Empowerment Organization (AEO), 2011–present
Association of Certified Fraud Examiner (ACFE), 2007–present
Beta Gamma Sigma, 2003–present



Robin Dimattia Karisny

Consultant
Pool 1, Pool 3

Areas of Expertise

ACCOUNTING; AUDITING; FINANCIAL ANALYST; PROJECT MANAGEMENT; CONTRACT ADMINISTRATION; PROGRAM AND PERFORMANCE ANALYSIS; ANTI-FRAUD, WASTE, AND ABUSE DATA ANALYTICS; HOUSING PROGRAM COMPLIANCE SPECIALIST; OFFICE MANAGEMENT; INFORMATION TECHNOLOGY (IT) LIAISON

Relevant Qualifications

- **Over 6 years of experience in regulatory matters** including FEMA Hazard Mitigation, Community Development Block Grants (CDBG), HOME Investment Partnerships Program, Environmental Protection, and the Davis-Bacon and Related Acts regulations.
- **Performed administrative oversight of the Request for Proposal (RFP) life-cycle** for the State of Louisiana, Office of Community Development/Disaster Recovery Unit (OCD/DRU).
- **Project Manager and IT Liaison for the Small Rental Property Program of Road Home;** included the development of 4 large IT systems and management throughout the project life cycle, from gathering requirements to performing analysis; to design, configuration, and testing; and to implementation and maintenance.
- **Project Manager for multiple caseloads** including 100 cases at the Louisiana Department of Children and Family Services-Support Enforcement Services (SES), and 45 residential projects for the Louisiana Housing Finance Agency (LHFA).
- **Advanced ability to use business intelligence and quality control software** including Microsoft Office, Microsoft Excel "pivot" tables, Mercury Quality Center, SAP BusinessObjects, and SharePoint™.

Experience on Similar Contracts

Disaster Recovery Unit (September 2007–present)
Louisiana Office of Community Development, Transition Team Member

Reference Organization: Louisiana Office of Community Development
Claiborne Building, 1201 N. Third St., Suite 7-210
Baton Rouge, LA 70802
Address:
Contact Name/Title: Neal Underwood, Supervisor
Phone Number: (225) 342-7000 or (800) 354-9548

As the state's central point for hurricane recovery, the Office of Community Development/Disaster Recovery Unit (OCD/DRU) manages the most extensive rebuilding effort in American history, working closely with local, state, and federal partners to ensure that Louisiana recovers safer, stronger, and smarter than before. As Transition Team Liaison, Ms. Karisny demonstrated project management and business analyst skills with which to support the State of New Jersey's recovery process.

- Provide program oversight to the transition of contractors for the Road Home Program. All functions are performed ensuring adherence to CDBG and other Federal regulations.
- Supervise special projects over the entire project life cycle; examples include RFPs for the Infrastructure Tracking Solution and the Hazard Mitigation Grant Program (HMGP) IT Solution.
- Audit and analyze policies and procedures for functional needs, compliance with CDBG regulations, and process and procedure efficiency.



- Review, write, edit, and provide administrative oversight for RFPs published for DRU; examples include the Road Home Homeowner Assistance Program, the Small Rental Program, the Infrastructure Tracking Solution, and HMGP IT Solution.
- Review RFPs and contracts for adherence to CDBG regulations. Analyze functional needs for DRU programs; review policies and procedures to determine requirements for IT systems.
- Document and improve procedures and policies for DRU programs. Perform administrative functions in the Proposal Evaluation and Selection process for RFPs.

Disaster Recovery Unit (September 2007–present)

Louisiana Office of Community Development, Financial Analyst

Reference Organization: Louisiana Office of Community Development
Address: 301 Main St., 6th Floor, Baton Rouge, LA 70802
Contact Name/Title: Steve Green, Supervisor
Phone Number: (225) 342-7000 or (800) 354-9548

As the state's central point for hurricane recovery, the OCD/DRU manages the most extensive rebuilding effort in American history, working closely with local, state, and federal partners to ensure that Louisiana recovers safer, stronger, and smarter than before. All of Ms. Karisny's functions were performed ensuring adherence to CDBG and other federal regulations, such as environmental regulations and the Davis-Bacon and Related Acts regulations. Ms. Karisny also brings financial analysis skills learned from these efforts to support the State of New Jersey's recovery process.

- Review Road Home policy and procedures for efficiency and improvement. Interpret policy and procedures into business requirements for IT systems, and improve IT systems procedures.
- Inform ICF International IT and program staff of the business process and policy needs of OCD. Ensure that these needs are implemented efficiently and accurately.
- Review current procedures and IT systems in the financial department. Recommend changes to processes and IT systems to help improve efficiency and accuracy. Document procedures and processes for the financial department and provide requirements to ICF International IT staff.
- Review data analytics for anti-fraud, waste, and abuse. Suggest queries and analytics to be run in order to identify and prevent fraud, waste, and abuse. Analyze the data provided by the queries to identify trends. Use analysis to identify opportunities to improve process and IT systems in the prevention of fraud, waste, and abuse.
- Analyze data provided by weekly metrics to identify trends and bottlenecks. Request additional data if needed to determine the root cause of the bottleneck. Analyze the current processes and policies to recommend changes to the process, policy, or IT system governing the process.
- Analyze the cost estimate process by gathering analytics and breaking down the process into sub-processes. Determine the bottlenecks of each sub-process and based on this information suggest ways to improve upon the process and reduce process aging.
- Research inconsistencies in data referred by compliance and data analytic staff.
- Audit sub-recipients for compliance with CDBG regulations.

The Road Home, Small Rental Property Program (November 2006–September 2007)
ICF International, Program and Performance Analyst

| | | |
|--------------------------------|---|--|
| Reference Organization: | ICF International | Corporate Headquarters |
| Address: | 8282 Goodwood Blvd Baton Rouge, LA 70806 | 9300 Lee Highway Fairfax, VA 22031 US |
| Contact Name/Title: | Vanessa Brower, Supervisor | |
| Phone Number: | (703) 934-3000 | |

The Road Home program has helped many residents of Louisiana affected by Hurricane Katrina or Hurricane Rita get back into their homes. Ms. Karisny served as a Program and Performance Analyst and brings that experience to support the State of New Jersey's recovery process.

- IT Liaison and Project Manager for IT systems for Small Rental Program.
- Managed and coordinated information systems needed to support Small Rental; coordinated systems so that they interacted properly with each other and with the program's processes. Prepared, monitored, and managed project plans; identified gaps and risks in relation to information systems.
- Performed business-side function of Business/Functional Analyst with regard to IT systems in support of the Small Rental Program. Developed Business Requirements and Logic Rules for Small Rental needs; gathered requirements from Policy, Process, Performance, and Operations to ensure that information systems were developed according to the program's needs. Documented the needs and communicated them to IT.
- Ensured that the implementation of the rules and requirements was done in a manner appropriate and consistent with the policies and procedures of the Small Rental Program and CDBG regulations.
- Aided in the development and testing of IT systems with the IT and QA departments.
- Interpreted manual processes and procedures into business requirements for IT. Worked with the IT department to develop solutions that reduced or eliminated the need for manual processes.
- Assisted with the development and ongoing performance improvement of business processes.
- Worked with policy and process to determine which analytics to collect. Created forms to collect the metrics and distributed metrics and analytical deliverables to the State and internally.
- Worked with the Analytics team to run and refine queries for metrics provided to the State and internally. Analyzed data to provide feedback and requested information from staff and supporting teams. Reviewed data to identify trends and bottlenecks and improve processes and IT systems.
- Analyzed data to develop needs for IT systems; analyzed application data to ensure that all fields were collected and applications types were defined; determined what modifications were needed to IT systems to ensure that all applications were captured and were able to be processed.
- Reviewed data analytics for anti-fraud, waste, and abuse. Suggested queries and analytics to be run in order to identify and prevent fraud, waste, and abuse. Analyzed the data provided by the queries to identify trends. Used analysis to identify opportunities to improve process and IT systems in the prevention of fraud, waste, and abuse.
- Worked closely with external teams (IT, Deltha, and KPMG) to coordinate efforts and satisfy their needs and the needs of the Small Rental Program. Assisted with coordination and content of responses to KPMG and Deltha.

- All functions were performed ensuring adherence to CDBG and other federal regulations, such as environmental regulations and the Davis-Bacon and Related Acts regulations.

Contract Accountant (January 2006–November 2006)

James Construction Group (JCG), Accountant

Reference Organization: James Construction Group (JCG)
Address: 11200 Industriplex Blvd., Suite 150, Baton Rouge, LA 70809
Contact Name/Title: Karen Poirrier / Supervisor
Phone Number: (225) 295-4830 - Human Resources

James Construction Group is one of the largest contractors in the southern United States with the staff, equipment, and experience to self-perform a wide range of projects. Ms. Karisny brings accounting, auditing, and other financial services experience to support the State of New Jersey's recovery process.

- Performed Accounts Receivable functions for two divisions of James Construction Group. Prepare monthly billings and weekly collection calls for past due invoices.
- Audited documentation (i.e., cost reports, invoices, and timesheets) to create billings. Prepared lien waivers, Schedule C and CAs, certified payrolls, and other required documentation for monthly billings.
- Deposited and entered daily cash receipts and wire transfers.
- Performed all accounting transactions using the Viewpoint Construction Software Program.
- Prepared monthly reconciliation of all invoices prepared for JCG. Processed cost adjustments, revenue adjustments, and general ledger entries.

HOME Department (September 2004–January 2006)

Louisiana Housing Finance Agency (LFHA), Housing Program Compliance Specialist

Reference Organization: Louisiana Housing Corporation
Address: 2415 Quail Drive, Baton Rouge, LA, 70808
Contact Name/Title: Keith Gautreau / Supervisor
Phone Number: (225) 763-8700

The Mission of the Louisiana Housing Corporation (F.K.A Louisiana Housing Finance Agency) is to assure that every Louisiana resident is granted an opportunity to obtain safe, affordable, energy efficient housing. Ms. Karisny served as a compliance analyst and brings that experience to support the State of New Jersey's recovery process.

- Monitored activities through the project life-cycle for compliance with federal regulations 24 CFR Part 92 and 24 CFR Part 58, the federal HOME, and environmental regulations.
- Created tools to help track projects through their life-cycle.
- Audited payroll records and labor compliance forms for adherence to regulations concerning payroll deductions, fringe benefits, wage rates, hours, and classifications of workers on project sites.
- Reviewed and authorize payment requisitions for projects; reviewed invoices, American Institute of Architects (AIA) documents, inspection reports, promissory notes, and other supporting documents for pay requests; recommended amounts for payment.
- Assisted in the composition of the Consolidated Annual Performance and Evaluation Report (CAPER) and Annual Action Plan; analyzed housing and company data and evaluated performance of LHFA in reaching strategic goals.
- Assisted in the revision and creation of departmental policies, such as the Labor Compliance procedures and HOME Loan Processing Procedures.

Baton Rouge Regional Support Enforcement, Legal Unit (February 2004–September 2004)
Louisiana Department of Social Services, Office of Family Support, Office Manager 5

Reference Organization: Department of Children & Family Services, Child Support Enforcement
Address: 333 Laurel St., 2nd Floor, Baton Rouge, LA 70802
Contact Name/Title: Rachele Diez Wilkison / Supervisor
Phone Number: (225) 922-8100 or (888) 524-3578

The Louisiana Department of Children & Family Services offers parent locator and paternity establishment services, as well as assistance to establish and enforce child support orders and collection and distribution of child support payments. Ms. Karisny brings this office management and supervisory experience to support the State of New Jersey's recovery process.

- Supervised seven employees in the legal clerical unit.
- Created organization and tracking methods (e.g., production and leave reports) to aid in supervision of employees in the legal clerical unit.
- Participated in the testing of the online Louisiana Automated Support Enforcement System (LASES) system.
- Performed legal unit work, including drafting legal documents and correspondence, tracking work in the LASES database, maintaining case files, and filing documents with the Clerk of Court.

| Employment History | |
|---------------------|--|
| 2007–present | Louisiana Office of Community Development, Disaster Recovery Unit |
| Location | Baton Rouge, LA |
| Position | Transition Team Member, Financial Analyst |
| 2006-2007 | ICF International |
| Location | Baton Rouge, LA |
| Position | Program and Performance Analyst |
| 2006-2006 | James Construction Group (JCG) |
| Location | Baton Rouge, LA |
| Position | Accountant |
| 2004-2006 | Louisiana Housing Finance Agency (LFHA) |
| Location | Baton Rouge, LA |
| Position | Housing Program Compliance Specialist |
| 2004 | Louisiana Department of Social Services, Office of Family Support |
| Location | Baton Rouge, LA |
| Position | Office Manager 5 |

Education

MBA, Accounting, University of Phoenix, 2005
B.S., Business Administration, Northwestern State University, 2003
~Coursework specialized in Accounting, Business Administration, Management, Finance, Computer Information Systems, and Business Law

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Areas of Expertise

PUBLIC ASSISTANCE (PA); HAZARD MITIGATION; DISASTER RECOVERY; COST ESTIMATION; HAZARD MITIGATION BENEFIT COST ANALYSIS; ARBITRATION PREPARATION; EMERGENCY MANAGEMENT; PROJECT WORKSHEETS (PW)

Relevant Qualifications

- **Six years of experience in disaster recovery, providing PA support** for Hurricanes Katrina, Rita, Gustav, and Ike.
- **Successfully managed multiple projects in disaster recovery** as FEMA and State of Louisiana Recovery Specialist.
- **Served as an expert witness for the State of Louisiana** regarding the FEMA Cost Estimating Format (CEF) and 50% Rule for multiple CBCA arbitrations.
- **Extensive knowledge of FEMA policy, rules, and regulations**, including 44 CFR Part 206, FEMAs PA Digest, PA Guide, 9500 Series, Hurricanes Katrina/Rita-specific policies (Disaster Specific Guidelines, Information Sheets), 106 issues, Coastal Barrier Resources Act (CBRA), and Coastal Wetlands Planning, Protection and Restoration Act (CWPPRA).
- **Extensive knowledge of National Emergency Management Information System (NEMIS) database system** and Data Warehouse program (used in conjunction with NEMIS).
- **Experience in cost estimation** and Hazard Mitigation benefit cost analysis.

Experience on Similar Contracts

Medical Center of Louisiana at New Orleans (MCLNO) Replacement Charity Hospital (2008–2010)

Witt Associates, Cost Estimator, State Public Assistant, CEF Expert

| | |
|--------------------------------|--|
| Reference Organization: | Governor's Office of Homeland Security and Emergency Protection (GOHSEP), State of Louisiana |
| Address: | 1500 Main Street Baton Rouge, LA 70802 |
| Contact Name/Title: | Mark DeBosier, State Coordinating Officer, GOHSEP |
| Phone Number: | (225) 338-6782 |

The focus of the project was replacing the MCLNO, a 990,000+ square-foot Level 1 trauma center that was damaged by Hurricane Katrina. Where determinations may have been incorrectly applied to eligible damages and work, Mr. Luke provided quick clarification and support to confirm or rebuke the decisions.

- Identified the cause of the damage and provided support.
- Quantified damages.
- Provided policy reference to support the claim.
- Estimated repairs and replacement models.
- Prepared CEF for the facility.
- Educated the legal team on FEMA PA policy to prepare for arbitration.

- Analyzed FEMA PW documents and determinations and identified errors or misinterpretations of 44CFR policy to management and the legal team.

Westwego City Hall/Police Headquarters (HQ) Replacement (2009–2010)

Witt Associates, Cost Estimator, CEF Expert, 50% Rule Expert

Reference Organization: GOHSEP, State of Louisiana
Address: 1500 Main Street
Baton Rouge, LA 70802
Contact Name/Title: John Gonzales, Technical Section Services Chief, GOSHEP
Phone Number: (225) 379-4028

The project identified errors in FEMA calculations and eligibility determinations to show the facility qualifies for replacement under FEMA's "50% Rule." The skills that Mr. Luke used in this project are needed to correct early FEMA PW versions where all of the damage is not captured and only a partial repair scope is captured in facilities that are near the repair/replacement point.

- Identified costs that were not captured or incorrectly identified as not eligible.
- Identified temporary repairs versus permanent repairs and supported those determinations.
- Worked with the applicant's architect to identify a correct replacement cost for the facility.
- Identified which damages to the facility were storm-related and supported that claim with photographs and proper construction practice.

Global Issues Presentation "50% Rule", Codes & Standards (2011–2013)

Witt Associates, State Applicant Liaison

Reference Organization: GOHSEP, State of Louisiana
Address: 1500 Main Street
Baton Rouge, LA 70802
Contact Name/Title: Mark Riley, Deputy Director, Disaster Recovery, GOHSEP
Phone Number: (224) 376-5493

The presentation was on proposed corrections to FEMA's 50% Rule and which cost should be included in the CEF for building repairs and replacements. Mr. Luke was used on this project because of his knowledge of FEMA policy, and the relations between guidance, policy, and regulations.

- Conducted 44 CFR policy research.
- Responsible for cost estimating.
- Worked on Scope Development with the applicant's engineers.
- Developed a presentation for the State of Louisiana's appeal to Department of Homeland Security (DHS) and FEMA HQ.

Hydrologic Restoration and Barrier Island Repairs (2007–2008)

URS (under NISTAC), Project Officer/Estimator

Reference Organization: Louisiana Department of Natural Resources (LDNR)
Address: 617 N. 3rd Street
Baton Rouge, LA 70802
Contact Name/Title: Leo Richardson II, State Marine Debris Coordinator
Phone Number: (225) 439-5578

The focus of the project was Hydrologic Restoration and Barrier Island Repairs. Mr. Luke was responsible for PW writing for facilities generally regarded as not eligible for PA funding.

- Conducted 44 CFR policy research.

- Responsible for cost estimating.
- Worked on Scope Development with the applicant's engineers.
- Conducted policy research for the State of Louisiana after switching from FEMA Technical Assistance Contract (TAC) to State Applicant Liaison.

Southern University at New Orleans (SUNO) Replacement Buildings (2008–2009)
Witt Associates, State Applicant Liaison, 50% Rule Subject Matter Expert (SME)

Reference Organization: Facility Planning and Control, State of Louisiana
P.O. Box 94095
Address: Baton Rouge, LA 70804-9095
Contact Name/Title: Tom Rish, Facilities Planning and Control, Senior Project Manager
Phone Number: (225) 341-9221

For this project, Mr. Luke argued that the SUNO 4 replacement buildings were eligible under FEMA's "50% Rule" to representatives from FEMA HQ Project Decision Team. Mr. Luke identified eligible damages and the associated repair scope to allow the applicant to rebuild the facilities to current codes and standards rather than repairing them and spending just as much to bring an older building up to National Flood Insurance Program (NFIP) code.

- Identified eligible damages as recognized by FEMA and the associated scope of work.
- Presented his findings to FEMA HQ representatives to have the buildings that local FEMA group leads, Public Assistance Coordinators (PACs), and project officers had arbitrarily declared as only eligible for repair as correctly being replacements under the FEMA 50% Rule.

| Employment History | |
|---------------------|--|
| 2008–present | Witt Associates (contracted to GOHSEP) |
| Location | Baton Rouge, LA |
| Position | State Applicant Liaison, State Higher Education |
| 2006–2008 | NISTAC (URS/Dewberry; contracted to FEMA) |
| Location | Baton Rouge, LA |
| Position | Project Officer and PA Coordinator |
| 2003–2006 | C&C Technologies |
| Location | Lafayette, LA |
| Position | Systems Specialist |
| 2001–2003 | TEK Systems |
| Location | New Orleans, LA |
| Position | RF Field Engineer |
| 1999–2001 | Nortel Networks |
| Location | Richardson, TX |
| Position | Customer Rep./Quality Technician |

Education

B.S., Electrical Engineering, University of Louisiana at Lafayette, 1999
RADAR and RF Technician courses, U.S. Marine Corps Communications and Electronics Schools, 1989

Certification and Training

Disaster Field Training Course/FEMA

IS-100 (DF-194): Introduction to Incident Command System for Disaster Workers
IS-200 (DF-195): Basic Incident Command System for Federal Disaster Workers
IS-253: Coordinating Environmental and Historic Preservation Compliance
IS-700 (DF-700): NIMS – National Incident Management System
IS-800 (DF-800): NRP – National Response Plan, an Introduction
IS-860: NIPP – National Infrastructure Protection Plan, Introduction
IS-546: COOP – Continuity of Operations Awareness
IS-547: COOP – Continuity of Operations Planning

PA Specialized Training

L381: Public Assistance Operations I
L382: Public Assistance Operations II
PW Writing
Hazard Mitigation
CEF Training
Alternate and Improved Projects Training

Specialized Training

Data Warehouse Training

Mandatory Training

DF-416: Valuing Diversity
DF-434: Equal Rights Orientation
DF-506: Awareness & Prevention of Sexual Harassment
DF-701: IT Security Awareness
2006 No FEAR Act (Whistleblower and Anti-Discrimination)
Privacy Act of 1974 Orientation

Professional Affiliations

Louisiana Professional Engineering & Land Surveying Board, 1998–2013



Helen L. Miller

Consultant
Pool 1, Pool 2

Areas of Expertise

PUBLIC ASSISTANCE (PA); PROJECT WORKSHEET PREPARATION AND REVIEW; STATE APPLICANT LIAISON; DISASTER RECOVERY; APPEAL PREPARATION; ARBITRATION PREPARATION; ALTERNATE/IMPROVED REQUEST ASSISTANCE; V-ZONE ISSUES; 50% REPAIR/REPLACEMENT DETERMINATIONS

Relevant Qualifications

- Over 7 years experience working in both **FEMA and Louisiana State Disaster Recovery Operations** at the FEMA/State Baton Rouge Joint Field Office for **2005 Hurricanes Katrina and Rita, 2008 Hurricanes Gustav and Ike, and 2011 Mississippi River Spring Flooding** recovery efforts
- Over 18 years experience as a **paralegal / legal secretary / Office Manager / Bookkeeper in law offices** with diverse areas of specialization, including corporate finance, business planning, mergers and acquisitions, corporate reorganization, executive compensation, contracts, commercial real estate, construction litigation, wills, successions and trusts.
- Experienced providing **comprehensive support, project coordination, information management and client service** for decision makers and staff; proven capacity to meet deadlines while maintaining high accuracy levels; excellent liaison skills to ensure open lines of communication across departments.

Experience on Similar Projects

Louisiana Dept. of Wildlife & Fisheries – Rockefeller Wildlife Management - Alternate, Improved, Consolidated, Change of Location projects, and V-Zone issues (January 2011–March 2013)
James Lee Witt Associates, State Applicant Liaison

| | |
|--------------------------------|--|
| Reference Organization: | Louisiana Department of Wildlife & Fisheries |
| Address: | 2000 Quail Drive Baton Rouge, LA 70808 |
| Contact Name/Title: | Buddy Baker/Biologist Director for Rockefeller Wildlife Management |
| Phone Number: | (225) 765-0219 |

Supported an applicant who wanted to combine multiple buildings into one facility . Additionally, the applicant wanted to move various replacement facilities to better accommodate applicant's needs and to abandon various projects and utilize the funds in other areas.

- Educated the applicant on the FEMA process
- Worked closely with the applicant on understanding the various FEMA policies to meet the applicant's specific needs
- Assisted applicant with maximizing the FEMA funding to recover in best interests of the facility
- Assisted applicant with creating requests to FEMA
- Assisted applicant on filing time extensions for projects
- Assisted applicant in understanding Floodplain issues, V-Zone issues, and Environmental and Historical issues



Louisiana Dept. of Natural Resources – Arbitration (January 2010–March 2011)
James Lee Witt Associates, State Applicant Liaison

Reference Organization: Louisiana Department of Natural Resources; a/k/a Coastal Protection Restoration Agency
Address: 450 Laurel Street, Suite 1501
Baton Rouge, LA 70801
Contact Name/Title: Garrett Broussard/Sr. Project Manager (retired)
Phone Number: (337) 962-5173

An applicant had submitted claims for repairs of Water Control Structures owned by La. Department of Natural Resources. FEMA misinterpreted the role that CWPRRA played in the facility and denied the claims. Ms. Miller assisted with arbitration claim in support of the applicant.

- Educated the applicant on the FEMA arbitration process.
- Worked closely with the applicant, applicant counsel and GOHSEP counsel to detail out the claim.
- Assisted with providing background information and applicable FEMA policy.
- Assisted with input on arbitration claim.

Louisiana Dept. of Corrections – Overtime Appeal (May 2010–July 2010)
James Lee Witt Associates, State Applicant Liaison

Reference Organization: Louisiana Department of Corrections
Address: 504 Mayflower Street, Building 8
Baton Rouge, LA 70802
Contact Name/Title: Suzanne Sharp/Dept. of Corrections Representative
Phone Number: (225) 342-6578

The Louisiana Department of Corrections (DOC) had submitted claims regarding Extraordinary Circumstances surrounding DOC's evacuations of parish prisoners across the state from Hurricanes Gustav and Ike. Claims of over \$8M were denied by FEMA.

- Educated the applicant on the FEMA appeals process.
- Worked closely with the applicant to detail out the claim and the extraordinary circumstances involved.
- Researched FEMA policy.
- Prepared detailed appeal brief on behalf of La. Department of Corrections to submit to FEMA.

West Baton Rouge School Board – Brusly High School – Replacement Roof (August 2009–October 2009)
James Lee Witt Associates, State Applicant Liaison

Reference Organization: West Baton Rouge School Board
Address: 3761 Rosedale Road
Port Allen, LA 70767
Contact Name/Title: David Corona/Superintendent of Schools
Phone Number: (225) 343-8309

Advocated on behalf of an applicant who submitted a claim to FEMA for roof replacement caused by Hurricane Gustav, which was denied by FEMA.

- Went on numerous site visits and worked with FEMA to understand damages.
- Worked as liaison between applicant and FEMA when they came to an impasse.
- Advocated on behalf of the applicant to GOHSEP Management to work to resolve situation.

Expedited Project Reconciliations (September 2007–September 2008)
 FEMA, Project Officer/Specialist (Expedited Group)

Reference Organization: FEMA Expedited Group
 1500 Main Street
Address: Baton Rouge, LA 70802
Contact Name/Title: Marian Tatney, Group Lead
Phone Number: (504) 421-6341

FEMA and State put together a specialty team of 7 FEMA and 7 State personnel to work to reconcile Katrina/Rita Expedited Project Worksheets.

- Worked as a Specialty Team with State Counterpart to reconcile Expedited Project Worksheets and prepare reconciliations.
- Worked with various applicants to pull together documentation and understand FEMA policy.
- Reconciled 6 Expedited Project Worksheets in preparation for Closeout.
- Cross-trained with Closeout, Grants Management and QA/QC Teams.

City Park Improvement Association – Project Worksheets (September 2006–September 2007)
 FEMA, Project Officer/Specialist (State Agencies)

Reference Organization: City Park Improvement Association
 1 Palm Drive
Address: New Orleans, LA 70124
Contact Name/Title: Rob DeViney, Chief Operating Officer
Phone Number: (504) 482-4888

Resolved issue with applicant who had been working with a prior FEMA team which had hindered applicant recovery and created a hostile environment.

- Worked closely with the applicant on understanding the FEMA process and policies.
- Educated applicant on Alternative and Improved projects to assist applicant with recovery in applicant's best interests.
- Wrote 38 Project Worksheets for CPIA and state agency over buildings, Facility Planning and Control (FP&C), including projects involving 50% repair/replacement determinations.
- Oversaw three other Project Specialists and coordinated uniform way to write projects as well as reviewed and revised their Project Worksheets.

| Employment History | |
|--------------------|--|
| 2008–2013 | Witt Associates |
| Location | Baton Rouge, LA |
| Position | State Applicant Liaison |
| 2005–2008 | FEMA |
| Location | Baton Rouge, LA |
| Position | Program Specialist/ Executive Assistant – Technical Services Group (TSG) Reports Specialist / Data Manager – Educational Facilities Team (EFT) |

| | |
|------------------|---|
| 2005–2005 | Electrical and Mechanical Construction Company |
| Location | Baton Rouge, LA |
| Position | Building Management |
| 2004–2005 | McGinnis, Lochridge & Kilgore, LLP |
| Location | Austin, TX |
| Position | Legal Secretary/Legal Assistant |
| 2000–2004 | Ballard Spahr Andrews & Ingersoll, LLP |
| Location | Denver, CO |
| Position | Legal Secretary/Legal Assistant |
| 1998–200 | Electrical and Mechanical Construction Company |
| Location | Baton Rouge, LA |
| Position | Paralegal to In-House Counsel / Administrative Assistant to Estimating Team |
| 1996–1998 | Barry E. Waguespack, A Law Corporation |
| Location | Baton Rouge, LA |
| Position | Paralegal |

Education

B.A., German, Louisiana State University, 1997
 B.A., Spanish, Louisiana State University, 1997
 Paralegal Certificate, Louisiana State University, 1991
 A.A., Office Administration, Southeastern Louisiana University, 1983

Certification and Training

Certified Legal Assistant (CLA) certification, April 1992
 Certified Professional Legal Secretary (PLS) certification, March 1992
 Notary Public Commissions: Louisiana 1991-2000; Colorado 2003-2004
Disaster Field Training Course / Federal Emergency Management Agency
 IS 100 (DF-194): Introduction to Incident Command System for Disaster Workers
 IS 200 (DF-195): Basic Incident Command System for Federal Disaster Workers
 IS 700: NIMS – National Incident Management System
 IS 800: NRP – National Response Plan, an Introduction
 IS 860: NIPP – National Infrastructure Protection Plan, Introduction
 IS 546: COOP – Continuity of Operations Awareness
 IS 547: COOP – Continuity of Operations Planning
Public Assistance Specialized Training:
 L381: Public Assistance Operations I
 L382: Public Assistance Operations II
 PW Writing
 Hazard Mitigation
 Cost Estimating Format (CEF) Training
 Alternate and Improved Projects Training
Specialized Training:
 Contracting Officers Technical Representative (COTR) Certification
 OSHA Construction Training
 Data Warehouse Training

Mandatory Training:

DF-100: Joint Field Office Orientation
DF-437: Fundamentals of Customer Service
DF-500: Government Ethics
DF 507: Safety Orientation
DF-416: Valuing Diversity
DF-434: Equal Rights Orientation
DF-506: Awareness & Prevention of Sexual Harassment
DF-701: IT Security Awareness
2006 No FEAR Act (Whistleblower and Anti-Discrimination)
Privacy Act of 1974 Orientation

Professional Affiliations

National Association of Legal Assistants, *Member 1992-present*
North Carolina Paralegal Association, *Member 2012-present*
Colorado Association of Professional Paralegals/Legal Assistants (*Assisted in Start-up of new organization created in 2003*), *Member 2003-2004*
2003 Interim NALA Liaison
2003-2004 Secretary
River City Legal Professionals, Inc, *Member 1989 – 2000*
1997-1998 Parliamentarian/Treasurer
1994-1995 President
1993-1994 Vice President
1992-1993 Treasurer
Baton Rouge Paralegal Association, *Member 1996-2000*
National Association of Legal Secretaries, *Member 1989-1996*
Louisiana Notary Association, *Member 1995-2000*
American Society of Notaries, *Member 1995-2000*
National Association of Parliamentarians, *Member 1997 - 1998*

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Robert E. Umphlett, CPA

Senior Consultant
Pool 2, Pool 3

Areas of Expertise

CERTIFIED PUBLIC ACCOUNTANT (CPA); AUDITING; ACCOUNTING; REGULATORY COMPLIANCE; CODE OF FEDERAL REGULATIONS (CFR); ACCOUNT RECONCILIATION; AUTOMATED ACCOUNTING SYSTEMS; BUDGETING; FINANCIAL REPORTING; GENERALLY ACCEPTED ACCOUNTING PRINCIPLES (GAAP); GENERALLY ACCEPTED GOVERNMENT AUDITING STANDARDS (GAGAS); WHITE HOUSE OFFICE OF MANAGEMENT AND BUDGET (OMB) CIRCULAR A-122 (COST PRINCIPLES FOR NONPROFIT ORGANIZATIONS) AND OMB CIRCULAR A-133 (AUDITS OF STATE AND LOCAL GOVERNMENTS AND NON PROFIT ORGANIZATIONS); U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (HUD) SECTION 202

Relevant Qualifications

- **20 years of internal auditing experience** performing the appropriate reviews and tests of internal control systems, financial accounting, management information, policies, and procedures to ensure the issuance of unqualified audits; adept in planning and performing all functions necessary to ensure audit readiness.
- **Examined grants totaling \$15 million to the Village of Freeport, New York from the Nassau County Consortium for the Urban Renewal Plan**; over a 20-year period, analyzed government and community development agency transactions for the community development block grant (CDBG) to objectively distinguish CDBG transactions from program income transactions for reporting purposes.
- **Conducted an operational review of the Village of Freeport, New York Housing Authority in compliance with CFR**; performed an analytic review of profit and loss accounts to detect variances in excess of projected amounts; reviewed internal controls for compliance with operating procedures.
- **Provided audit support to the Community Partners Commission Association, Inc., a 501(c)(3) nonprofit organization, in the form of audited financial statements for 2010 and 2011**; fulfilled requests by the New York City Department of Housing Preservation and Development and HUD related to the construction of the \$13 million Coretta Scott-King Senior Apartments in Brooklyn, New York; also reviewed grant documentation pertaining to a New York State Legislature grant that was administered by the State Office of Children and Family Services (OCFS).
- **Experienced managing real estate investment trusts (REITs)**; used financial profiles software to determine suitability for investment in REITs, capital assessments, and the adequacy of future cash flows.
- **Used BUDGET-TRAK software to track project cost for the Meadows, a \$50 million construction project in East Meadow, New York**; reviewed American Institute of Architects (AIA) applications, vendor invoices, contractual obligations, analyses of attorney escrow accounts, and loan files relative to sale of 450 co-op units.

Experience on Similar Contracts

Annual Audit for CSP Residential, LLC (February–March 2013)
Umphlett CPA, LLC, Partner and Field Auditor

Reference Organization: CSP Residential, LLC



PROPRIETARY INFORMATION

Address: P.O. Box 570, Oyster Bay, NY 17711
Contact Name/Title: Gunit S. Sabharwal, Esq., General Counsel
Phone Number: (516) 624-9502

Mr. Umphlett performed an annual audit of this real estate developer for the purpose of expressing an opinion on the financial statements and comments on internal control. This project is related to the proposed work because it involved auditing the financial statements and internal processes of a real estate developer. The specific tasks Mr. Umphlett completed include:

- Planning the audit to determine hours required and the type of report to be issued.
- Performing the risk assessment and noting any deficiencies with an auditor's letter on internal control.
- Determining the scope of the engagement (the number of transactions to be examined).

Independent Auditors Examination of the River Fund (May–August 2012) Umphlett CPA, LLC, Director/Auditor

Reference Organization: The River Fund
Address: 3911 Lefferts Blvd., Richmond Hill, NY
Contact Name/Title: Frank Patello, CEO
Phone Number: (917) 297-1291

Mr. Umphlett conducted an independent auditor's examination of the River Fund, which involved expressing an opinion on the fair presentation of financial statements to the Compliance Board Directors and the New York State Attorney General's Office. This project is relevant to the proposed scope of work because it demonstrates Mr. Umphlett's ability to assist organizations in maintaining regulatory compliance in financial accounting matters. His specific responsibilities included:

- Evaluating the audit risk.
- Making an assessment of the Internal Control.
- Audit Planning.
- Providing an official Expression of Opinion.

Compilation, Review, and Audit of Community Partners Commission (May–September 2012) Umphlett CPA, LLC, Partner/Auditor

Reference Organization: Community Partners Commission Association, Inc.
Address: P.O. Box 752, Bronx, NY 10469
Contact Name/Title: Dedra Wade, Director
Phone Number: (718) 652-5358

Mr. Umphlett provided compilation, review, and audit support to this 501(c)(3) nonprofit organization for the New York City Department of Housing Preservation and Development and HUD. The work completed under this contract is relevant to the proposed work because this assignment required audit reporting for HUD, strict compliance to grant provisions, and a review of HUD Sec. 92013, 203. His specific responsibilities included:

- Determining the scope of the engagement and verifying that the accounting system would (1) make it possible to present fairly and with full disclosure the funds and activities of the organization in conformity with GAAP and then (2) demonstrate compliance with finance-related legal and contractual provisions.
- Conducting a review of Internal Control.
- Assessing audit risk.

Operational Review of the Freeport Housing Authority (June–September 2007)
 Village of Freeport, New York Housing Authority, Partner/Auditor

Reference Organization: Village of Freeport Housing Authority
Address: 3 Buffalo Avenue, Freeport, NY 11520
Contact Name/Title: Edward Lancaster, Executive Director
Phone Number: (516) 623-2508

Mr. Umphlett provided an operational review to determine the organization's ability to issue a payment in lieu of taxes (PILOT) payment to the general fund of the local government municipality. This project is relevant to the proposed work because it involved auditing a public-sector housing organization. His specific project responsibilities included:

- Performing an analytic review, examining related invoices for repairs and maintenance, and determining whether expenditures should be reclassified from current operating to capital expenditures.
- Performing all necessary work to determine that corporate policies and procedures were being closely followed.
- Investigating violations of standard operating procedures, providing appropriate documentation in the audit, and notifying the Board of Directors and others charged with corporate governance.

Compliance Review for Freeport Electric Utility (May 2005–June 2008)
 Freeport Electric Utility, Auditor

Reference Organization: Freeport Electric Utility
Address: 220 W. Sunrise Hwy., Freeport, NY 11520
Contact Name/Title: Anthony Fiore, Superintendent of Electric Utilities
Phone Number: (516) 377-3220

Mr. Umphlett reviewed a public service commission (PSC) rate case and determined that accounts were properly classified in accordance with the Municipal Electric Utilities Uniform System of Accounts. He also reviewed other contractual agreements with the Long Island Power Authority (LIPA) for compliance with governing agreements. This project is relevant to the proposed work because it involves auditing an organization that is subject to a public regulatory framework. Additional project tasks included:

- Monitoring cash flow on a daily basis to determine availability of funds needed for operations.
- Performing an analytic review.
- Providing rate case calculations for compliance with PSC requirements.
- Determining compliance with general municipal Laws and contractual obligations.

| Employment History | |
|---------------------|---|
| 1991–present | Umphlett CPA, LLC |
| Location | Baldwin, New York |
| Position | Director |
| 2005–2009 | Freeport Electric Utility |
| Location | Village of Freeport, New York |
| Position | Independent Contractor (Accountant) |
| 1996–2000 | Lazarus Burman/First Industrial Realty Trust |
| Location | Syosset, New York |
| Position | Project Controller |

| | |
|------------------|------------------------------------|
| 1987–1990 | Henry Schein, Inc. (NASDAQ) |
| Location | Melville, New York |
| Position | Special Project Auditor |
| 1980–1987 | Fidata Corp., Inc. (ASE) |
| Location | New York, New York |
| Position | Audit Manager/Controller |
| 1973–1979 | KPMG |
| Location | New York, New York |
| Position | Senior Auditor |

Education

Bachelor of Business Administration (BBA), Public Accounting, Hofstra University, 1973

Certification and Training

Certifications

CPA, University of the State of New York, State Education Department, August 2002 (Lic: 087566)

Training

Financial Planning Conference, American Institute of Certified Public Accountants (AICPA), 2007

Ethics and Professional Conduct for CPAs (3 hours), AICPA, 2007

Single Cost Report and Agreed-Upon Procedures, Foundation for Accounting Education, 2007

General Accounting Finance & Audit (40 hours), American Public Power Association (APPA), 2006

Financial Management Group, APPA, 2007

Utility Accounting, APPA-Federal Energy Regulatory Commission (FERC), 2006

Professional Affiliations

AICPA, August 2002–present

New York State Society for CPAs (NYSSCPA), August 2002–present



Lorenzo Villanueva, CFE

Consultant
Pool 2, Pool 3

Areas of Expertise

SINGLE FAMILY/SENIOR QAD HOUSING SPECIALIST; CONSUMER PROTECTION COMPLIANCE SPECIALIST; HOMEOWNERSHIP PROGRAM MANAGER; SENIOR MORTGAGE CONSULTANT; FORECLOSURE FRAUD PREVENTION; MULTI-CULTURAL MARKETS LOAN AND MORTGAGE CONSULTANT (ENGLISH AND SPANISH); CERTIFIED FRAUD EXAMINER (ACFE); PROGRAM MANAGER; INTERVIEWS OF HOUSING RESIDENTS

Relevant Qualifications

- **Over 15 years of experience in Real Estate Financial Services and Housing Quality control**, including home loan consulting, mortgages, consumer protection and compliance regulations, predatory and high risk lending interviewing, and independent investigations with cases referred to New York State (NYS) Banking Department, NYS Attorney General, the Department of Housing and Urban Development (HUD) Office of Inspector General (OIG), and the Federal Trade Commission (FTC). Many cases resulted in indictments and further prosecution.
- **Interviewed approximately 540 victims of predatory lending.** Reviewed the interviews and subsequent findings to compile a list of networks, businesses, and professionals involved in high risk lending activities.
- **Provide expertise, advice, guidance, direction, and support** regarding the real estate transaction and mortgage process and consumer protection, specifically on the Real Estate Settlement Procedure Act (RESPA) and Interstate Land Sales (ILS) statutes, FHA 203B, Title II, and Fair Housing and Equal Opportunity (FHEO).
- **Coordinate with other agencies and regulators** as well as other HUD offices/divisions (e.g., Office of General Counsel, Department of Justice, Federal Reserve Board, Federal Trade Commission, Office of Thrift Supervision, and state/county regulators).
- **Full cycle lending, originated over \$40 million in residential mortgages.**
- **Extensive computer and software experience** including LOTUS, Excel, MSN PowerPoint, Loan Quest, Advantage Software, Click 1003 Optus, LexisNexis-Anti-Money Laundering, Clear Cloud/Intellipoint, FinCEN, Excel::Template (CSPAN)
- **Advanced Spanish Language skills** – speaking, reading, writing, and translation to English.

Experience on Similar Contracts

Federal Consultant Contract (December 2009–June 2012)

U.S. Department of Housing and Urban Development (HUD), Single Family/Senior QAD Housing Specialist

| | |
|--------------------------------|---|
| Reference Organization: | U.S. Department of Housing and Urban Development |
| Address: | Jacob K. Javits Federal Building, 26 Federal Plaza, Suite 3541 New York, NY 10278-0068 |
| Contact Name/Title: | Andy V. Dipietro / Supervisor |
| Phone Number: | (215) 861-7220 |

HUD's mission is to create strong, sustainable, inclusive communities and quality affordable homes for all. HUD is working to strengthen the housing market to bolster the economy and protect consumers; meet the need for quality affordable rental homes: utilize housing as a platform for improving quality of life;



build inclusive and sustainable communities free from discrimination; and transform the way HUD does business. Mr. Villanueva will apply the lessons learned in pursuit of these goals to support the State of New Jersey's recovery process.

- Provide expertise, advice, guidance, direction, and support regarding the real estate transaction and mortgage process and consumer protection, specifically on RESPA and ILS statutes, FHA 203B, Title II, and FHEO.
- Monitor Federal Housing Administration (FHA) origination, servicing, and reverse mortgages. Schedule and prepare for reviews; compile documentation of identified problems, and initiate action, if needed.
- Coordinate monthly performance review and risk assessment report, the documentation of bought and sold properties, the oversight of all aspects of the M&M contract, and on-site visits with local lenders
- Respond to inquiries that require immediate attention, prioritize tasks and manage workload.
- Maintain and organize documents for reference (e.g., phone logs, emails, policies, memos, and information from HQ).
- Coordinate with the Home Ownership Center (HOC) and other HUD staff on penalty determinations, and with MRB, lenders, HUD office management, attorneys, and others to accomplish work assignments.
- Provide the oversight to coordinating closings (e.g., agents, contractors, file review).

Federal Consultant Contract (September 2008–December 2009)

U.S. Department of HUD, Consumer Protection Compliance Specialist

| | |
|--------------------------------|--|
| Reference Organization: | U.S. Department of HUD / RESPA |
| Address: | 451 7 th St S.W, Washington, DC 20410 |
| Contact Name/Title: | Richard Dunne / Supervisor |
| Phone Number: | (202) 402-2415 |

HUD's mission is to create strong, sustainable, inclusive communities and quality affordable homes for all. Mr. Villanueva will apply the lessons learned as a Consumer Protection Compliance Specialist to support the State of New Jersey's recovery process.

- Provide expertise, advice, guidance, direction, and support regarding the real estate transaction and mortgage process and consumer protection, specifically on RESPA and ILS statutes.
- Implement consumer protection and compliance regulations, and respond to complaints and inquiries via phone and in writing to 930 consumers in a timely manner.
- Impart information to consumers, industry contacts, complainants, and others.
- Coordinate with other agencies and regulators as well as other HUD offices/divisions (e.g., Office of General Counsel, Department of Justice, Federal Reserve Board, Federal Trade Commission, Office of Thrift Supervision, and state/county regulators).
- Conduct thorough investigation of alleged violations (i.e., investigate, create plans of action, and work with other offices), and conduct research, review documents (e.g., statements, payment histories, and loan transaction and settlement paperwork), analyze information, and compare findings with what the law requires.
- Encourage complainants so violators/offenders can be stopped, negotiate compliance issues, write letters to request information and documents, draft (write) agreements, manage contract procurement, and give oral presentations.

Neighborhood Stabilization Program (CBDG) (December 2006–August 2008)
Cypress Hills Local Development Corporation (CHLDC), Homeownership Program Manager

Reference Organization: Cypress Hills Local Development Corporation
Address: 3415 Fulton St, Brooklyn, NY 11208
Contact Name/Title: Renee Arlain / Supervisor
Phone Number: (718) 647-8100

Cypress Hills Local Development Corporation (CHLDC) was formed in May 1983 by a group of activist residents and merchants. CHLDC is a 501(c)(3) nonprofit community-based organization, serving more than 8,000 residents each year through a comprehensive array of community service programs and neighborhood development projects. Our mission is to revitalize the Cypress Hills community through housing preservation, economic development, and the positive development of youth and families. Mr. Resume will apply the lessons learned as a Homeownership Program Manager using the Community Development Block Grant Program to support the State of New Jersey's recovery process.

- Implement and facilitate funding from commercial lenders through their community development divisions for securing funding to purchase vacant, abandoned, and foreclosed properties.
- Develop and market vacant, foreclosed, and abandoned properties by owners. Provide lottery system for qualified homebuyers.
- Meet compliance guidelines from HUD, and other state, and local municipalities. Deliver a quality, affordable finished product to first time homebuyers.
- Manage and direct a homeownership program (pre-purchase and post purchase program). Provide mortgage and credit counseling, reverse mortgage counseling, loss mitigations, and combat predatory lending practices in the industry.
- Provide 95 families, who were first time homebuyers, program financing for their homes.
- Responsible for marketing and outreach to underserved communities. Conduct education home buyer workshop series throughout the five boroughs of New York City.

Mortgage Consultant (February 2006–October 2006)
Countrywide Home Loan Corporation, Senior Mortgage Consultant for Multi-Cultural Markets

Reference Organization: Countrywide Home Loan Corporation
Address: 159 5th Ave Brooklyn, New York 11217
Contact Name/Title: Mirriam Ruiz
Phone Number: (718) 623-2255 ext. 222

Countrywide Home Loan has a thirty year track record in the mortgage business, primarily offering Home Purchase Loans, Refinance Loans, and Home Equity Loans. Mr. Villanueva will apply the lessons learned as a consultant for Multi-Cultural Markets to support the State of New Jersey's recovery process.

- Full cycle lending, originated over \$2 million in residential mortgages 1-4 family. Provide homeownership and financial literacy education to first time home buyers program (Spanish and English).
- Identify new emerging markets. Network with community based organization, local, state, and Federal municipalities, and faith based organizations.

Mortgage Consultant (February 2005–February 2006)
HSBC Mortgage Corporation, Senior Mortgage Consultant

Reference Organization: HSBC Mortgage Corporation
Address: 3419 Broadway, NY, NY 10031
Contact Name/Title: Raquel Fuertes / Supervisor
Phone Number: (212) 283-0176

HSBC Mortgage Corporation provides home financing and mortgage services. Mr. Villanueva will apply the lessons learned to support the State of New Jersey's recovery process.

- Full cycle lending, originated over \$6 million in residential mortgages 1-4 family. Provide homeownership and financial literacy education to first time home buyers program (Spanish and English).
- Identify new emerging markets. Network with community based organization, local, state, and Federal municipalities, and faith based organizations.

Mortgage Consultant (March 2003–February 2005)
Washington Mutual Home Loans, Mortgage Consultant

Reference Organization: Washington Mutual Home Loans
Address: 60 East 42nd St, NY, NY 10017
Contact Name/Title: John Hill / Supervisor
Phone Number: (212) 360-4060

Washington Mutual Home Loans provides home financing and mortgage services. Mr. Villanueva will apply the lessons learned to support the State of New Jersey's recovery process.

- Full cycle lending, originated over \$33 million in residential mortgages 1-4 family. Provide homeownership and financial literacy education to first time home buyers program (Spanish and English).
- Identify emerging markets. Network with community-based organizations; local, state, and Federal municipalities; and faith-based organizations.

Home Loan Consultant (October 2001–July 2002)
Wells Fargo, Home Loan Consultant

Reference Organization: Wells Fargo
Address: 335 Adams St, Brooklyn NY 11201
Contact Name/Title: Heather Gayle / Supervisor
Phone Number: (718) 780-9100

Wells Fargo provides home loans and financing. Mr. Villanueva will apply the lessons learned to support the State of New Jersey's recovery process.

- Served low and moderate income first time homebuyers in the five boroughs of New York City, as well as upstate New York. Originated over \$2 million dollars in new mortgage loans.
- Assisted victims of predatory lending through Home Equity Loss Prevention (HELP) program. The program was sponsored by Federal Home Loan Mortgage Association Corp (FreddieMac).
- Created new strategies and provided access to alternative credit. Provided outreach and education to low and moderate income communities. Mediated mortgages for distressed homeowners of default loans through loss mitigations.

Consultant (October 2000–July 2001)

Neighborhood Housing Services of NYC, Program Manager

Reference Organization: Neighborhood Housing Services of NYC
Address: 1 Hanson Place, 19th Fl., Brooklyn, NY 11201
Contact Name/Title: Marcia Vacacela / Supervisor
Phone Number: (718) 230-7610

Neighborhood Housing Services of New York City (NHS) serves the metropolitan area of New York, New York. Through financial empowerment and affordable lending, NHS enables individuals and families to invest in, preserve and improve their Neighborhoods, their Homes and their Future. In addition to providing services throughout New York City, NHS is a community-based organization with targeted impact in the following Neighborhoods: Bedford-Stuyvesant, East Flatbush, North Bronx, Northern Queens, and South Bronx. Mr. Villanueva will apply the lessons learned as a Program Manager to support the State of New Jersey's recovery process.

- Managed and directed homeownership program. Provided technical support and guidance in addressing foreclosure and predatory lending activities in highly populated minority communities.
- Became active member of the NYC Foreclosure Fraud Prevention Task Force.
- Assisted homeowners through the mediation process of their mortgages to obtain workouts, modifications, and pre-foreclosure short sales.
- Referred homeowners to legal entities for representation to seek protection from foreclosure and other real estate fraud matters.
- Trained advocates to identify deceptive practices and unscrupulous action to FHA, FannieMae, FreddieMac, and Subprime loans.
- Served as liaison to political offices local, state, and Federal representatives. Provided a platform for grasping lending activities and its effect in community lending. Worked closely with policy makers, and regulators on new law, rules, and regulations to protect the markets.

Neighborhood Stabilization Program (October 1997–October 2000)

Jamaica Housing Improvement, Inc., Consumer Advocate-Homeownership Education Department

Reference Organization: Jamaica Housing Improvement, Inc.
Address: 161-10 Jamaica Avenue, Jamaica, NY 11434
Contact Name/Title: Storm Russell / Supervisor
Phone Number: (718) 658-5050

Wells Fargo provides home loans and financing. Mr. Villanueva will apply the lessons learned to support the State of New Jersey's recovery process.

- Managed case complaints of over 1500 homeowners victimized by foreclosures and predatory lending.
- Conducted thorough examinations and investigations of unscrupulous real estate professionals targeting low and moderate income purchasers in highly populated minority communities.
- Established working relationship with HUD OIG, to address deficiencies, and oversight concern regarding FHA mortgage program.
- Provided distressed homeowners access to loss mitigations and work-out options to avoid foreclosure.
- Assisted law enforcement in the identification of businesses, professionals and networks involved in the "one stop shop" schemes.

- Provided assistance to seniors through reverse mortgages and protecting equity from scam artists looking to offer contracts for frivolous repairs. Conducted outreach to communities and worked with local, state, and Federal municipalities to educate the underserve markets. Acted as liaison between government regulators, lenders and communities.

| Employment History | |
|---------------------------|--|
| 2009-2012 | HUD Quality Assurance Division, Single Family FHA |
| Location | New York, NY |
| Position | Single Family/Senior QAD Housing Specialist |
| 2008-2009 | U.S. Department of HUD |
| Location | Washington, DC |
| Position | Consumer Protection Compliance Specialist |
| 2006-2008 | Cypress Hills Local Development Corporation (CHLDC) |
| Location | Brooklyn, NY |
| Position | Homeownership Program Manager |
| 2006 | Country Wide Home Loans |
| Location | Brooklyn, NY |
| Position | Senior Mortgage Consultant for Multi-Cultural Markets |
| 2005-2006 | HSBC Mortgage Corporation |
| Location | Broadway, NY, NY |
| Position | Senior Mortgage Consultant |
| 2003-2005 | Washington Mutual Home Loans |
| Location | New York, NY |
| Position | Mortgage Consultant |
| 2001-2002 | Wells Fargo |
| Location | Brooklyn, NY |
| Position | Home Loan Consultant |
| 2000-2001 | Neighborhood Housing Services of NYC |
| Location | Brooklyn, NY |
| Position | Program Manager |
| 1997-2000 | Jamaica Housing Improvement, Inc. |
| Location | Jamaica, NY |
| Position | Consumer Advocate |

Education

Three Years of Course Work, Liberal Arts, The City University of New York (CUNY), 1987

Certification and Training

Certified Fraud Examiner, Association of Certified Fraud Examiners (ACFE), April 2013 (pending)
FHA Loss Mitigation Certificate, National Servicing Center, September 2011
Federal Contractor Officer Representative (FACOTR) Certification, HUD, May 2009
No Fear Act Certification, HUD, March 2009
Information Systems Security Awareness Certification, HUD, March 2010
Countywide Compliance HMDA Certification, Countrywide Home Loan Corporation (CHLC), 2006
Countrywide Mortgage Fraud Training, CHLC, 2006
Countrywide Multi-Cultural Markets Certification, CHLC, 2006
Countrywide Affordable Certification (FHA, SO NY MA, and Conventional), CHLC, 2006
Anti-Coercion Certificate, HSBC, 2005
Compliance U.S. Patriot Act Certification, HSBC, 2005
HMDA Certification, HSBC, 2005
Lending Compliance U.S. Patriot Act Certification, Washington Mutual Home Loans (WAMU), 2003
FreddieMac Homebuyer Trainer of Trainer Certification, WAMU, 2003
Compliance U.S. Patriot Act Certification, Well Fargo, 2002
FreddieMac First Time Buyer Certification, Wells Fargo, 2002
Homebuyers Education (HBE) Certification, Neighborhood Reinvestment Corporation, 1999
Lending Compliance Certification, Neighborhood Reinvestment Corporation, 1999
Loss Mitigation Certification, HUD, 1999
Reverse Mortgage Certification, FannieMae, 1996
Fair Housing Training Certification, NYC Housing Preservation and Development, 1996

Professional Affiliations

Association of Certified Fraud Examiners, Associate Member
Association of Certified Fraud Examiners, National Advisory Committee Member
Association of Certified Fraud Examiners, NYCFE Chapter
New York City Foreclosure Prevention Task Force, Chair Person, FHA Subcommittee
New Yorkers For Responsible Lending, Chairperson, FHA, Conventional Homeownership/Education
Southern California Fraud Foreclosure Task Force, Member HUD/RESPA
Northern California Fraud Foreclosure Task Force, Member HUD/RESPA

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Phillip Achee

Associate/Staff (Senior Support Specialist)

Pool 2

Areas of Expertise

ACCOUNTING; BUDGETING; BOOKKEEPING; ACCOUNTING MANAGEMENT; AUDITING

Relevant Qualifications

- More than 20 years of experience in accounting, bookkeeping, and accounting management... Proficient in most facets of accounting... Evaluated process flows for managing approved Hazard Mitigation Grant Program (HMGP) grants... Assisted with the development and submission of the Acquisition application... Managed daily financial operations of a facility... Performed monthly closings for eight companies simultaneously.

Experience on Similar Contracts

Louisiana Office of Community Development Small Rental Property Program, (March 2010–March 2012)
IEM, Inc., Project Accountant

Reference Organization: Louisiana Office of Community Development, Disaster Recovery Unit
Address: 1201 N. Third St., Suite 7-210, Baton Rouge, LA 70802
Contact Name/Title: Bradley Sweazy, Small Rental Supervisor (former)
Phone Number: (225) 763-8700

The Small Rental Property Program, a component of the Road Home Program, provides incentive-based forgivable loans to property owners to repair their storm-damaged, small-scale rental properties and make units available to low- and moderate-income tenants at affordable rates.

- Assisted and advised the project managers in the development of reports to aid in Revenue Burn Rate Analysis, Project Profit Analysis, as well as other project specific specialized reports.



- Analyzed the project cost to ensure proper account coding as well as agreement with contract and purchase order terms. The process required knowledge of the accounting cycle from issuance of purchase orders to payment of vendors.
- Submitted invoices to Project Managers for review and approval. Ensured supporting documentation received was in compliance with the requested format and requirements of the contract.
- Worked with project managers and customers to ensure prompt payment of invoices submitted. The process included multiple contact and follow-up with customers and often required delicate negotiation.
- Completed weekly Project Status Report and Project Management Report review and distribution to project managers and project directors.
- Performed monthly job cost reconciliation.

Louisiana Department of Natural Resources (LDNR) Katrina and Rita Marine Debris Removal Program, (July 2008–June 2011)
IEM, Inc., Project Accountant

Reference Organization: LDNR
Address: 450 Laurel Street
Baton Rouge, LA, 70802
Contact Name/Title: Garrett Broussard
Phone Number: (337) 482-0690

IEM has supported the Louisiana Katrina and Rita Marine Debris Program since the Coastal Engineering Division at DNR became involved in 2008. The focus of this support has been gathering data and supporting the State's interests in documenting and removing marine debris caused by hurricanes Katrina and Rita. IEM worked with GOHSEPP (the FEMA PA grant program administrator), the USCG, FEMA, and DNR/CPRA to ensure that the State receives the maximum benefit from recovery activities. A large portion of the debris is being removed by the US Coast Guard using FEMA Stafford Act funds under a FEMA Mission Assignment. IEM consolidated information from the State and affected Parishes, and provided documentation of debris issues to the USCG and FEMA for consideration. Some debris problems were PA eligible but not USCG mission applicable. In these cases, IEM supported the appropriate parish or State agency in obtaining a FEMA PA Grant in the form of a project worksheet to fund the removal of this debris. FEMA determined that some debris issues were not eligible for FEMA PA funds, but the State felt that they should be. In these cases, IEM used its PA expertise to document the debris and present a compelling case for eligibility. Mr. Achee fulfilled the project accounting and cost reporting requirements of the project, and stands ready to do the same for NJ recovery projects.

- Assisted and advised the project managers in the development of reports to aid in Revenue Burn Rate Analysis, Project Profit Analysis, as well as other project specific specialized reports.
- Analyzed the project cost to ensure proper account coding as well as agreement with contract and purchase order terms. The process required knowledge of the accounting cycle from issuance of purchase orders to payment of vendors.
- Submitted invoices to Project Managers for review and approval. Ensured supporting documentation received was in compliance with the requested format and requirements of the contract.
- Worked with project managers and customers to ensure prompt payment of invoices submitted. The process included multiple contact and follow-up with customers and often required delicate negotiation.

- Completed weekly Project Status Report and Project Management Report review and distribution to project managers and project directors.
- Performed monthly job cost reconciliation.

Louisiana DNR Program Monitor for Disaster Recovery (2011–2014)
IEM, Inc., Project Accountant

Reference Organization: LDNR and CPRA
Address: 617 N. 3rd St. & 450 Laurel Street
 Baton Rouge, LA, 70802
Contact Name/Title: Gwen Thomas, LDNR Fiscal Officer
Phone Number: (225) 342-4840

IEM assisted two state agencies in collecting disaster related cost documentation and providing it to FEMA and for filing disaster reimbursement claims. Mr. Achee fulfills the project accounting and cost reporting requirements of the project, and stands ready to do the same for NJ recovery projects.

- Assisted and advised the project managers in the development of reports to aid in Revenue Burn Rate Analysis, Project Profit Analysis, as well as other project specific specialized reports.
- Analyzed the project cost to ensure proper account coding as well as agreement with contract and purchase order terms. The process required knowledge of the accounting cycle from issuance of purchase orders to payment of vendors.
- Submitted invoices to Project Managers for review and approval. Ensured supporting documentation received was in compliance with the requested format and requirements of the contract.
- Worked with project managers and customers to ensure prompt payment of invoices submitted. The process included multiple contact and follow-up with customers and often required delicate negotiation.
- Completed weekly Project Status Report and Project Management Report review and distribution to project managers and project directors.
- Performed monthly job cost reconciliation.

| Employment History | |
|---------------------|---|
| 2008–present | IEM, Inc. |
| Location | Research Triangle Park, NC, previously Baton Rouge, LA |
| Position | Pricing Analyst |
| 2006–2008 | IEM, Inc. |
| Location | Baton Rouge, LA |
| Position | Grant Administrator |
| 2005–2006 | IEM, Inc. |
| Location | Baton Rouge, LA |
| Position | Project Accountant |
| 1998–2005 | The Salvation Army |
| Location | Baton Rouge, LA; Jackson, MS; Charlotte, NC |
| Position | Regional Accountant, Auditor/Trainer, and Director of Finance |

| | |
|------------------|------------------------------|
| 1994–1997 | Serigraphy Originals |
| Location | Baton Rouge, LA |
| Position | Operations Manager |
| 1993–1994 | City Parish ABC |
| Location | Baton Rouge, LA |
| Position | Auditor |
| 1986-1995 | United Parcel Service |
| Location | Port Allen, LA |
| Position | Customer Service |
| 1986–1989 | Louisiana Chemical |
| Location | Baton Rouge, LA |
| Position | Bookkeeper |
| 1984–1985 | McDermott Marine |
| Location | Morgan City, LA |
| Position | Cost Accountant |

Education

B.S., Accounting, Nicholls State University, 1984



Karen S. Montero

Associate/Staff (Senior Support Specialist)
Pool 2, Pool 3

Areas of Expertise

ACCOUNTING; INVOICING; T&M, FFP AND COST PLUS CONTRACTS; PROJECT RECONCILIATIONS; PROJECT FORECASTING; JOB COST REPORTING; ACCOUNTS PAYABLE; TRAVEL AUDITING

Relevant Qualifications

- **Processed federal contracts with budgets in excess of \$1M for the U.S. Department of Homeland Security and U.S. Department of Defense;** worked closely with Contracting Administrator, Project Manager, and client to efficiently coordinate data to meet stringent contractual requirements and expedite the invoicing process.
- **Collaborated with Project Managers & Customers** to ensure timely cash flow from invoices issued; reducing monthly payment from 45 days to approximately 28 day payment cycle.
- **Played an integral part in implementing Deltek Expense module** to streamline reporting of employee’s travel expenses and provided adequate training to employees.
- **Part of team on FEMA Technical Assistance project** that received the highest possible marks from our FEMA customer on the Customer Performance Assessment Report (CPAR).

Experience on Similar Contracts

Louisiana Department of Natural Resources Program Monitor for Disaster Recovery
(July 2011–present)
IEM, Project Accountant

Reference Organization: Louisiana Department of Natural Resources
617 N 3rd Street
Address: Baton Rouge, LA 70802
Contact Name/Title: Gwen Thomas, LDNR Fiscal Officer
Phone Number: (225) 342-4840

IEM supported DNR in coordinating with GOHSEP’s PA grant program administrator to support the replenishment of the DNR funds through the FEMA PA grant program. For New Jersey, Ms. Montero will apply her experience with monitoring budget and costs for compliance.

- Responsible for monthly billing and revenue analysis.
- Provided weekly cost/forecast reporting to Project Manager.
- Reviewed subcontractor invoices to be billed to the customer.
- Review project costs for FAR compliance.

LA DNR Marine Debris Removal (July 2011–present)
IEM, Project Accountant

Reference Organization: Louisiana Department of Natural Resources
450 Laurel Street, Suite 1501
Address: Baton Rouge, LA 70801
Contact Name/Title: Jason Lanclos, Engineering Supervisor
Phone Number: (225) 342-6749



IEM supported the Louisiana Katrina and Rita Marine Debris Program under the Coastal Engineering Division at DNR. IEM worked with GOHSEPP, the FEMA PA grant program administrator, and DNR/CPRA to ensure that the State receives the maximum benefit from these recovery activities. For New Jersey, Ms. Montero will apply her experience with monitoring budget and costs for compliance.

- Responsible for monthly billing and revenue analysis.
- Provided weekly cost/forecast reporting to Project Manager.
- Reviewed subcontractor invoices to be billed to the customer.
- Reviewed project costs for FAR compliance.

LA DNR American Recovery and Reinvestment Act Monitoring (June 2010–March 2013)
IEM, Project Accountant

Reference Organization: Louisiana Department of Natural Resources
617 N 3rd Street
Address: Baton Rouge, LA 70802
Contact Name/Title: Tangular Jones, State Energy Program Supervisor
Phone Number: (225) 342-8572

As part of the ARRA of 2009, LA DNR was awarded \$71.7 million through the State Energy Program (SEP) Grant. LA DNR also received \$13.1 million for the Energy Efficiency and Conservation Block Grant (EECBG) and an additional Energy Star grant from the Department of Energy. IEM is responsible for monitoring and verifying financial information and program performance measures. IEM reviews the programs' progress towards program goals and makes recommendations for process improvement to LA DNR. For New Jersey, Ms. Montero will apply her experience with monitoring budget and costs for compliance.

- Responsible for monthly billing and revenue analysis.
- Provided weekly cost/forecast reporting to Project Manager.
- Reviewed subcontractor invoices to be billed to the customer.
- Reviewed project costs for FAR compliance.

FEMA National Preparedness Directorate Technical Assistance (September 2011–present)
IEM, Inc., Project Accountant

Reference Organization: Department of Homeland Security/FEMA
999 E. Street, NW
Address: Washington, DC 20463
Contact Name/Title: Greg Blair, Contracting Officer
Phone Number: (301) 447-7273

IEM supports FEMA's Technical Assistance program, which primarily provides assistance to requesting state, local, and tribal agencies with developing or improving specific aspects of emergency management. For New Jersey, Ms. Montero will apply her experience with monitoring budget and costs for compliance.

- Responsible for monthly billing and revenue analysis.
- Provided weekly cost/forecast reporting to Project Manager.
- Reviewed subcontractor invoices to be billed to the customer.
- Reviewed project costs for FAR compliance.

FEMA Florida Catastrophic Planning (February 2008–July 2009)

IEM, Inc, Project Accountant

Reference Organization: Department of Interior-National Business Center
Address: 381 Eden Street, Mail Stop 4000
 Herndon, VA 20170-4817
Contact Name/Title: Virginia Taylor, Contracting Officer
Phone Number: (703) 964-3611

IEM led a substantial planning effort in Florida, with the goal of developing a regional response and recovery plan for the counties and communities surrounding Lake Okeechobee in the event of failure of the regional Herbert Hoover Dike (HHD), and for a catastrophic hurricane affecting South Florida. For New Jersey, Ms. Montero will apply her experience with monitoring budget and costs for compliance.

- Responsible for monthly billing and revenue analysis.
- Provided weekly cost/forecast reporting to Project Manager.
- Reviewed subcontractor invoices to be billed to the customer.
- Review project costs for FAR compliance.

FEMA New Madrid Seismic Zone Catastrophic Planning (January 2008–July 2009)

IEM, Project Accountant

Reference Organization: U.S. Department of Interior
Address: 381 Eden Street, Mail Stop 4000
 Herndon, VA 20170-4817
Contact Name/Title: Jenny Taylor, Contracting Officer
Phone Number: (410) 436-8565

IEM was contracted to support federal, regional, and state entities in the development of a vertically- and horizontally-integrated catastrophic response plan for the New Madrid Seismic Zone. For New Jersey, Ms. Montero will apply her experience with monitoring budget and costs for compliance.

- Responsible for monthly billing and revenue analysis.
- Provided weekly cost/forecast reporting to Project Manager.
- Reviewed subcontractor invoices to be billed to the customer.
- Review project costs for FAR compliance.

| Employment History | |
|---------------------|-----------------------------|
| 2010–present | IEM, Inc. |
| Location | Baton Rouge, LA |
| Position | Project Accountant |
| 2007–2010 | IEM, Inc. |
| Location | Baton Rouge, LA |
| Position | Billing Analyst |
| 2005–2007 | IEM, Inc. |
| Location | Baton Rouge, LA |
| Position | Accounts Payable Specialist |

| | |
|------------------|---|
| 2002–2005 | DSM Melamine Americas Inc. |
| Location | Baton Rouge, LA |
| Position | Accountant |
| 1998–2002 | DSM Melamine Americas Inc. (Contractor for Kelly Services) |
| Location | Addis, LA |
| Position | Finance and Accounting Assistant |
| 1990–1992 | Medbill Inc. |
| Location | Durham, NC |
| Position | Physician Billing Coordinator |

Education

Certificate, Accounting Fundamentals, Baton Rouge Community College, 2003
A.A.S., Computer Operations, Spencer-Draughon Business College, 1983



Jonathan K. Seltzer

Associate/Staff (Senior Support Specialist)

Pool 1

Areas of Expertise

EMERGENCY RESPONSE; LAW ENFORCEMENT; INTER-JURISDICTIONAL MEDICAL RESPONSE; INCIDENT COMMAND SYSTEMS; LOGISTICS; FACILITY SECURITY; RESOURCE AND EQUIPMENT ACQUISITION

Relevant Qualifications

- **Familiarity with law enforcement and emergency response operations in New Jersey.**
- **Experience developing plans** and overseeing their implementation to protect citizens, infrastructure, and assets.
- **Provided mutual-aid medical response** to 16 municipalities throughout Passaic County, New Jersey.
- **Participated in the development of the Emergency Medical Service annex** to the Montclair State University Emergency Operations Plan.
- **Has experience auditing criminal statistical data** for a national law enforcement accreditation.

Experience on Similar Contracts

Electronic Security Logging Program (August 2011–present)

PNY Technologies, Security Lead

Reference Organization: PNY Technologies
Address: 100 Jefferson Road
Parsippany New Jersey, 07054
Contact Name/Title: Dustin Petronaci, Security Lead
Phone Number: (973) 907-3381

PNY Technologies wanted to introduce an e-based logging program into department operations to improve daily reporting, management tracking, and overall department efficiency. Mr. Seltzer will apply the skills used in this project to support similar efforts to track grant funding for the New Jersey user agencies.

- Developed e-based logs to:
 - Track department keys and truck shipments/deliveries and conduct camera functionality checks.
 - Inventory department assets, including radios, wands, flashlights, and emergency bags.
 - Identify and record equipment failures, asset shrinkage, and security asset recoveries
 - Record officers' daily, monthly and overtime schedules
 - House department and company-wide policies and procedures
 - Conduct presentations and training
 - Facilitate first aid inspection logs; fire safety inspection logs; product quality checks; and camera searches



National Law Enforcement Accreditation Processing (February 2009–May 2009)
Montclair State University Police Department, Student Intern

Reference Organization: Montclair State University Police Department
1 Normal Avenue
Address: Montclair, New Jersey 07043
Contact Name/Title: Kieran Barrett, Lieutenant
Phone Number: (973) 655-7440

In order to maintain compliance with the Commission on Accreditation for Law Enforcement Agencies (CALEA), the Montclair State University Police Department completed its three-year accreditation process by compiling data and auditing its data collection systems according to CALEA standards.

- Compiled and reviewed criminal data and 911 response data into spreadsheets that met accreditation agency guidelines.
- Developed models for use by the department's accreditation team in processing an extensive application process for CALEA certification.

Stadium Basic Emergency Medical Technician (EMT-B) Coverage (May 2008–May 2009)
Montclair State University Emergency Medical Services, Lieutenant

Reference Organization: Montclair State University Emergency Medical Services
1 Normal Avenue
Address: Montclair, New Jersey 07043
Contact Name/Title: Dr. Robb S. Rehberg, Director of Montclair State University Emergency Services (Retired)
Phone Number: [REDACTED]

Participated in EMT-B staff coverage for all Summer 2008 home games at New Jersey Jackals Minor League Baseball venue as well as campus 911 response coverage between 12 Resident EMTs.

- Met with EMS command staff to review campus medical coverage response needs during the summer of 2008.
- Developed a plan that consisted of 12-hour shift blocks to cover campus medical needs and assigned all dates and times to EMT-B staff member to ensure that coverage needs were met.
- Worked with EMS command staff to develop medical coverage schedule for 50+ Jackals Minor League Baseball home games (two EMTs were staffed for each game).

Employment History

| | |
|---------------------------------|--|
| 2010–present | Passaic County Sheriff's Department |
| Location | Paterson, New Jersey |
| Position | Emergency Medical Technician – D |
| 2009–present | PNY Technologies, Inc. |
| Location | Parsippany, New Jersey |
| Position | Security, First-Aid, and Administrative Lead |
| January 2009–August 2009 | Montclair State University Emergency Management |
| Location | Montclair, New Jersey |
| Position | Student Intern |

| | |
|-----------------------------------|--|
| January 2009 –May 2009 | Montclair State University Police Department |
| Location | Montclair, New Jersey |
| Position | Student Intern |
| 2005–2009 | Montclair State University Emergency Medical Services |
| Location | Montclair, New Jersey |
| Position | Lieutenant |
| 2005–2006 | Rave Wireless |
| Location | Maplewood, New Jersey |
| Position | Product Development Intern |

Education

M.P.A., Public Administration, Rutgers University, 2014 (Anticipated)
 B.A., Justice Studies/Justice Systems, Montclair State University, 2009

Certification and Training

New Jersey Emergency Medical Technician-D, Bergen EMS Training Center, 2007
 FEMA Emergency Management Institute Professional Development Series Certificate, 2009
 SharePoint Foundations – Level 1, New Horizons, 2010
 IS-100.HE Incident Command Systems (ICS) for Higher Education, FEMA, 2009
 ICS for Single Resources and Initial Action Incidents, FEMA, 2009

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Danielle Stovall

Associate/Staff (Senior Support Specialist)
Pool 1, Pool 2

Areas of Expertise

DISASTER RESPONSE; EMERGENCY PLANNING/MANAGEMENT; EMERGENCY OPERATIONS; GEOGRAPHIC INFORMATION SYSTEMS (GIS); EMERGENCY TACTICS/STRATEGIES; GRANT WRITING AND MANAGEMENT; PUBLIC FINANCIAL MANAGEMENT

Relevant Qualifications

- 13 years of experience in disaster response.
- Serves as Lead Compliance Analyst for accreditation of Rutgers Department of Emergency Services, including the Mass Casualty Incident Trailer.
- Top Emergency Responder for 2000 for Mount Laurel Fire Department.
- Top Emergency Responder for 2001 and 2002 for Mount Laurel Emergency Medical Services.
- EMT of the Year for 2002 for Mount Laurel Emergency Medical Services.
- Top Emergency Responder for 2005, 2006, 2007, and 2008 for Mount Laurel Emergency Medical Services.

Experience on Similar Contracts

Agency Accreditation (2011–present)
Rutgers, The State University of New Jersey Department of Emergency Services, Lead Compliance Analyst

| | |
|--------------------------------|--|
| Reference Organization: | Rutgers, The State University of New Jersey Department of Emergency Services |
| Address: | 129 Davidson Road Piscataway, New Jersey 08854 |
| Contact Name/Title: | William Jackson, Captain, Emergency Services |
| Phone Number: | (848) 565-6862 |

Ensure Rutgers Emergency Services' standards streamlined and improved to meet the requirements to become accredited by The Commission on Ambulance Accreditation Services (CAAS).

- Assess the daily operations of the department and develop policies to ensure uniformity in all operations.
- Ensure that the policies are being implemented and enforced.
- Evaluate the effectiveness of the policies.

Mass Casualty Incident Trailer (2010–present)
Rutgers, The State University of New Jersey Department of Emergency Services, Lead Compliance Manager

| | |
|--------------------------------|--|
| Reference Organization: | Rutgers, The State University of New Jersey Department of Emergency Services |
| Address: | 129 Davidson Road Piscataway, New Jersey 08854 |
| Contact Name/Title: | William Jackson, Captain, Emergency Services |



Phone Number: (848) 565-6862

Ensure that the University's Mass Casualty Trailer is in a state of constant readiness to respond to any emergency throughout the state.

- Ensure that the Mass Casualty Trailer is in a state of constant readiness for deployment
- Ensure that the equipment in the Mass Casualty Trailer is current and complies with state regulations.

Training Program (2007–2008)

Mount Laurel Emergency Medical Services, Developer

Reference Organization: Mount Laurel Emergency Medical Services

Address: 107 Masonville-Centerton Road

Mount Laurel, NJ 08054

Contact Name/Title: Kyle Rollin, Deputy Chief,

Phone Number: (856) 778-1274

Develop an orientation, training, and promotional program for newly recruited members/EMT's for Mount Laurel EMS. The project required extensive knowledge of the rules and regulations for the operation of a New Jersey emergency medical services unit.

- Developed and implemented an orientation program for new members/EMTs to become acquainted with the policies and procedures of Mount Laurel EMS.
- Developed and implemented a training program to ensure new members and EMTs were competent in performing their duties as an EMT.
- Developed and implemented guidelines for members to achieve a promotion within Mount Laurel EMS.

| Employment History | |
|---------------------------|---|
| 2005–present | Rutgers University Emergency Medical Services |
| Location | Piscataway, NJ |
| Position | Firefighter/Emergency Medical Technician |
| 2012–present | Avenel-Colonia First Aid Squad |
| Location | Woodbridge, NJ |
| Position | Emergency Medical Technician |
| 2011–2012 | Elizabeth Fire Department Division of Emergency Medical Services |
| Location | Elizabeth, NJ |
| Position | Emergency Medical Technician |
| 2006–2010 | Endeavor Emergency Squad |
| Location | Burlington, NJ |
| Position | Emergency Medical Technician |
| 2006–2007 | PRN Medical Transportation |
| Location | Hainesport, NJ |
| Position | Emergency Medical Technician |
| 2004–2005 | Excel Medical Transportation |
| Location | Winslow, NJ |

| | |
|-----------------|------------------------------|
| Position | Emergency Medical Technician |
|-----------------|------------------------------|

Education

M.P.A., Rutgers University, 2014 (Anticipated)
B.A., Political Science, Rutgers University, 2011
B.A., Criminal Justice, Rutgers University, 2007

Certification and Training

Firefighter I, Camden County Fire Academy, April 2000
Fire Prevention Inspector, Middlesex Fire Academy, June 2012
Incident Command 100, Camden County Fire Academy, April 2000
Incident Command 200, Mount Laurel EMS, May 2006
Incident Command 300, Mount Laurel EMS, March 2008
NIMS 700, FEMA, December 2005
NIMS 800, FEMA, August 2012
Vehicle Extrication I, Camden County Fire Academy, September 2000
Incident Command for EMS, Mount Laurel EMS, March 2002
Haz-Mat Awareness, Camden County Fire Academy, April 2000
Haz-Mat Operations, Camden County Fire Academy, September 2000
CPR, American Heart Association, May 2012
EMT-B, Mount Laurel EMS, December 2010
CEVO II, Mount Laurel EMS, January 2001
PHTLS, Mount Laurel EMS, October 2005
AMLS, Mount Laurel EMS, June 2006

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Virlany Taboada

Associate/Staff (Senior Support Specialist)
Pool 2, Pool 3

Areas of Expertise

FINANCIAL AUDITING; FINANCIAL PLANNING AND MANAGEMENT; INTEGRITY MONITORING; PROCESS MANAGEMENT; FINRA

Relevant Qualifications

- **Oversaw allocation of roughly \$16.7 million** to the Recreation Sports Facility at the University of Florida.
- **Served as Treasurer** for the Hispanic Heritage Month at the University of Florida, overseeing the largest student-run budget nationwide.
- **Fluent in Spanish.**
- **Applied FINRA regulations** to verify that there was no fraudulent activity in client accounts.

Experience on Similar Contracts

Fraud Audit (June 2012–December 2012)

AXA Equitable, Project Assistant

Reference Organization: AXA Equitable
Address: 500 Plaza Drive 6th Floor
Secaucus, NJ 07094
Contact Name/Title: Michael Fafian, Customer Service Director
Phone Number: (201) 583-7604

Collaborated compliance department to review applications deemed in good order per FINRA regulations.

- Reviewed applications to request funds from particular annuity policies.
- Verified that there was no fraudulent activity within the client's account by verifying signatures and banking information.
- Contacted client or financial professional directly if fraudulent activity was suspected within in account.

Beneficiary Claims (September 2011–June 2012)

AXA Equitable, Project Assistant

Reference Organization: AXA Equitable
Address: 500 Plaza Drive 6th Floor
Secaucus, NJ 07094
Contact Name/Title: Michael Fafian, Customer Service Director
Phone Number: (201) 583-7604

Collaborated with beneficiary claims department in compliance with state regulations to find beneficiaries entitled to funds left by deceased contract holders.

- Contacted beneficiaries of outstanding claim requests that need to be completed per state regulations.
- Used several databases to find information to reach potential beneficiaries.



- Reviewed applications for claim payouts to ensure that they were compliant with FINRA regulations.

Cut, Cap, Balance (May 2011–August 2011)

U.S. State Senator Bill Nelson, Intern

Reference Organization: South Florida Office of U.S. Senator Bill Nelson
Address: 2925 Salzedo Street
Coral Gables, FL 33134
Contact Name/Title: Pedro Villa, Regional Director
Phone Number: (305) 519.6873

Collected research on impending cuts affecting residents in area. Developed and used knowledge of financial and economic principles.

- Researched Cut, Cap, Balance Act and its effects on residents.
- Researched potential cuts to social security and health care.
- Performed telephone surveys to gather public opinion on issue.

Student Government (October 2008–April 2010)

University of Florida, Budget & Appropriations Chair

Reference Organization: University of Florida
Address: 307 Reitz Union
Gainesville, FL 32611
Contact Name/Title: Stanley Beckerdite, Business Manager
Phone Number: (352) 392-1623

Prepared and allocated \$16.7 million budget of student activity and service fees. Demonstrated understanding of financial integrity, budget and analysis, and financial planning.

- Conducted a needs assessment based on student requests and allocated funds based on fulfilling their requirements.

Hispanic Heritage Month (December 2008–January 2010)

University of Florida, Treasurer

Reference Organization: University of Florida
Address: 307 Reitz Union
Gainesville, FL 32611
Contact Name/Title: Stanley Beckerdite, Business Manager
Phone Number: (352) 392-1623

Responsible for the preparation and allocation of the Hispanic Heritage Month budget.

- Kept track of daily expenditures made by the special event coordinators.
- Prepared the budget for the following year based on expenses for current fiscal year.

| Employment History | |
|---------------------------|---------------------------------|
| Jan 2013–present | AXA Equitable |
| Location | Secaucus, NJ |
| Position | Client Services Representative |
| Jun 2012–Dec 2012 | AXA Equitable |
| Location | Secaucus, NJ |
| Position | Corporate Intern |
| Sep 2011–Jun 2012 | AXA Equitable |
| Location | Secaucus, NJ |
| Position | Client Services Representative |
| May 2011–Aug 2011 | U.S. Senator Bill Nelson |
| Location | Coral Gables, FL |
| Position | Intern |
| May 2010–Apr 2011 | University of Florida |
| Location | Gainesville, FL |
| Position | Student Body Treasurer |
| Sep 2009–Aug 2011 | IDEAL Personnel Services |
| Location | Miami, FL |
| Position | Administrative Assistant |

Education

M.P.A., Rutgers University, 2013 (Anticipated)
 B.S., Recreation Sciences, University of Florida, 2011

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Joy Prichard

Administrative Support Staff (Support Specialist)
Pool 1, Pool 2, Pool 3

Areas of Expertise

ADMINISTRATIVE SUPPORT; CONFERENCE PLANNING; CUSTOMER SERVICE; EXERCISES; TRAINING

Relevant Qualifications

- More than 20 years of experience in administrative assistance and computer operations.
- Skilled with conference planning and management.
- Experienced business travel coordinator.

Experience on Similar Contracts

Harford County WMD Full Scale Exercise (2005–2006)

IEM, Administrative Support

Reference Organization: Harford County Division of Emergency Management
2220 Ady Road,
Forest Hill, MD 21050
Address:
Contact Name/Title: Doug Richmond, Exercise Director
Phone Number: (410) 638-4900

The Harford County Division of Emergency Operations, in conjunction with a countywide exercise working group, tasked IEM, to develop and facilitate a Full-Scale Exercise (FSE) for emergency response communities in Harford County, MD. This FSE, a continuation from a tabletop exercise held in October 2005, was conducted for the entire emergency response community as part of existing contractual provisions. Ms. Prichard provided administrative support for this project, and can provide similar assistance to support the State of New Jersey's recovery efforts.

- Responsible for ensuring that all supplies were in place for the day of the exercise.
- Typed, edited, and laminated over 350 victim tags to be worn by the mock victims for the exercise.
- Set up numerous conference and teleconference meetings with the Exercise Team to evaluate the progress and maintain the strict schedule.
- Served as the administrator for registration of the mock victims and ensured that they were physically capable of performing their "mock" duties before sending them on to be prepped for their duties.
- Helped to ensure that mock victims were in place and returned to the proper facilities at the end of the exercise.
- Served as the contact person for emergencies concerning real injuries and to maintain communication throughout the exercise.



FEMA Chemical Stockpile Emergency Preparedness Program (CSEPP) Program Integration
(1999–present)
IEM, Administrative Support

Reference Organization: FEMA
Address: 500 C StreetSW
Washington, DC 20472
Contact Name/Title: Terry Hobbs
Phone Number: (703) 605-1379

IEM began providing integrated support services to CSEPP in 1999 and became the Program Integration contractor in 2000. In 2005, and again in 2011, FEMA awarded IEM with new multi-year contracts to continue providing program integration, and expanding the support provided to include exercises—a testament to their satisfaction with the support IEM continues to provide. IEM provides a variety of technical and analytical studies; support for development of programmatic guidance; conference and meeting administration, logistics, and facilitation; public affairs support; assistance in preparation of annual reports to Congress; conduct of annual exercises at all chemical weapons stockpile sites; and software development including automated grants management, an information portal, and planning tools. IEM's wealth of emergency management experience and range of capabilities make it a true "one-stop shop" for the program. Ms. Prichard has been providing administrative support for this project since 2005, and can provide similar assistance to support the State of New Jersey's recovery efforts.

- Traveled to Champaign, Illinois, to serve as the IEM representative for the kick-off meeting with DETech, our subcontractor performing CSEPP Training Exercises. Attended a two-day seminar given by DETech to go over the details about how they perform these exercises and who the personnel support would be, and the processes for obtaining supplies and facilities to manage the exercise.
- Created the CSEPP training schedule for FY2007 and FY2008 in Microsoft Project for all nine training sites. This required extensive data entry and scheduling adjustments to accommodate the exercise program.
- Packed and shipped 11 awards to an off-site location for presentation at a DHS conference. These had to be properly packed as they were very fragile and very heavy. Constant communication with CASALS was necessary to ensure proper billing procedures.
- Developed a template for the CSEPP Monthly Report, and assists the Program Manager in organizing and editing the CSEPP Monthly Report. The input is e-mailed by each individual and therefore requires manipulation of the data into the proper format and also determining which project and task the information belongs to in order to present the report to the CSEPP office for billing. This is a very long and tedious process requiring both Word skills and also good interpretation skills of the varied types of input.
- Assisted with collecting information from task leads to incorporate data into the CSEPP Monthly Report.
- Booked travel and conference centers for CSEPP members.
- Set up conference calls and maintained calendars for team members.
- Verified time charges for task leads and reviewed expense reports to ensure that all paperwork was in order for billing processes.
- Secured meeting space for the IPT meeting in Baton Rouge in March 2007, which included securing a hotel.
- Assisted with the 2007 National Workshop preparation, which included preparation of research and quotes for office supplies, copiers, and fax machines.

- Helped to obtain quotes for space requirements and food and beverage service.
- Helped to identify additional accommodations when the room block was filled.
- Assisted with any other requirements necessary to prepare for the Workshop, including conference calls, travel accommodations, award preparation, etc.

| Employment History | |
|---------------------------|--|
| 2005–present | IEM, Inc |
| Location | Bel Air, MD |
| Position | Administrative Assistant |
| 1997–2005 | Ruchman and Associates |
| Location | Edgewood, MD |
| Position | Administrative Support Project Manager |
| 1996–1997 | Ruchman and Associates |
| Location | Edgewood, MD |
| Position | Word Processor II |
| 1995–1995 | Petrocon Plant Services |
| Location | Lufkin, TX |
| Position | Office Manager |
| 1992–1994 | M&I Electric Industries |
| Location | Houston, TX |
| Position | Office Manager/Electrical Buyer |
| 1989–1992 | BE&K Construction |
| Location | Houston, TX |
| Position | Accounting/Payroll |

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Appendix B: Required Forms

The IEM Team is pleased to provide the following required forms and documentation:

- Ownership Disclosure Form
- Disclosure of Investigations and Other Actions Involving Bidder Form
- Disclosure of Investment Activities in Iran
- Certification of MacBride Principles and Northern Ireland Act of 1989
- Subcontractor Utilization Plan Form
- DSW SBE registration certificate
- Integritas SBE registration certificate
- Log of attempts to identify NJ SBEs for inclusion on IEM Team, as documentation of our good faith effort to meet the targets of the set-aside subcontracting requirement
- Affirmative Action Employee Information Report
- New Jersey's Standard Terms and Conditions initialed and dated final page
- Source Disclosure Certification Form
- Two-Year Chapter 51/EO 117 Vendor Certification and Disclosure of Political Contributions
- Federal Vendor Letter for this RFQ
- Cooperative Purchasing Form

A bank reference has been provided in the proprietary and confidential separate PDF file containing IEM's audited financial statements.

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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.

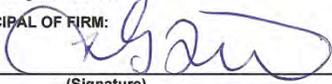
NOTE THAT A BIDDER'S FAILURE TO SATISFY THE SMALL BUSINESS SUBCONTRACTING TARGETS OR PROVIDE SUFFICIENT DOCUMENTATION OF ITS GOOD FAITH EFFORTS TO MEET THE TARGETS WITH THE BID PROPOSAL OR WITHIN SEVEN (7) BUSINESS DAYS UPON REQUEST SHALL PRECLUDE AWARD OF A CONTRACT TO THE BIDDER.

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: [REDACTED]

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 | | | |
|--|---|---|-----|---|---------------------------------------|
| SUBCONTRACTOR UTILIZATION PLAN | | DPP Solicitation Title: Disaster Recovery Assistance (Hurricane Sandy) | | | |
| Bidder's Name and Address: Innovative Emergency Management, Inc. (IEM) 2400 Ellis Road, Suite 200 Durham, NC 27703 | | Bidder's Telephone No.: 9192377472 | | | |
| | | Bidder's Contact Person: Sandy Carlson | | | |
| 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 checked="" type="checkbox"/> | | | TYPE(S) OF GOODS OR SERVICES TO BE PROVIDED | ESTIMATED VALUE OF SUBCONTRACTS |
| | SMALL BUSINESS CATEGORY * | | | | |
| | I | II | III | | |
| DeVito, Snowden & Co., LLC 250 Moonachie Road, Suite 200 Moonachie, NJ 07074 201-440-1491, x207 Vendor ID: [REDACTED] | | X | | CPA Consulting | 10% of TO value |
| Wallace Asset Management (*SBE Cert applying) 1301 N. Kings Highway Cherry Hill, NJ 08034 856-857-1800 Vendor ID: [REDACTED] | X* | | | HUD/CDBG expert | 10% of TO value |
| Integritas Consulting Group LLC (**Reg Cat 4 SBE) 250 Moonachie Road, Suite 200 Moonachie, NJ 07074 201-440-1492 Vendor ID: [REDACTED] | | ** | | Integrity Monitoring | 5% of TO value |
| | | | | | |
| | | | | | |
| * 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. | | | | | |
| <p>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.</p> <p>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.</p> <p>PRINCIPAL OF FIRM:  Ted Lemcke, COO 4/7/13</p> <p align="center">(Signature) (Title) (Date)</p> | | | | | |

Log of Attempts to identify NJ small businesses in Categories I, II and III for RFQ768892S, Disaster Recovery Assistance (Hurricane Sandy)

| Company | Contact date | Able to Subk? | Verified in NJSAVI | Teaming Agreement signed | Percent work target established | Notes |
|---|--------------|---------------|--------------------|--------------------------|---------------------------------|---|
| Samlin Consulting 14 Rosalind Circle Sicklerville, NJ 08081 856-629-9415 | 3/26/13 | No | | | | Did not respond to multiple attempts to contact |
| Daniel Scott Wilson CPA PA 330 N 14 th Ave Laurel, MS 39442 601-649-2612 | 3/26/13 | No | | | | Originally a referral. Did not respond then verified this was a Mississippi company so discontinued contact |
| DeVito, Snowden & Co., LLC 250 Moonachie Road Ste 200 Moonachie, NJ 07074 201-440-1491, x207 | 3/29/13 | Yes | Yes | 4/3/13 | Yes | Scope of work CPA Consulting Services |
| Wallace Asset Management 1301 N. Kings Highway Cherry Hill, NJ 08034 856-857-1800 | 3/21/13 | Yes | Not avail | 3/29/13 | Yes | Scope of work HUD/CDBG expertise. Company is in process of registering as NJ SBE. Provided Reqs and Certs as interim |
| Integritas Consulting Group LLC 250 Moonachie Road, Ste 200 Moonachie, NJ 07074 201-440-1492 | 3/29/13 | Yes | Yes | 4/3/13 | yes | Registered as a NJ SBE, currently Cat 4 (under \$3M). Potentially changing SBE designation. Scope of work integrity monitoring and audit services |
| Breakpoint Assurance Co. 116 Village Blvd., Ste 200 Princeton, NJ 08540 609-734-7420 | 3/29/13 | Yes | Not avail | 4/8/13 (tentative) | Yes | NJ SBE Registration in process. Determining potential category business. Scope of work CPA and CFE |

| Company | Contact date | Able to Subk? | Verified in NJSavi | Teaming Agreement signed | Percent work target established | Notes |
|--|--------------|---------------|--------------------|--------------------------|---------------------------------|---|
| Sobel & Co. LLC 293 Eisenhower Parkway Suite 290 Livingston, NJ 07039 973-994-9494 | 3/27/13 | No | | | | Unable to conclude interest in subcontracting. Scope of work CPA services |

"N.J.S.A. 52:34-13.2 CERTIFICATION"

SOURCE DISCLOSURE CERTIFICATION FORM

Contractor: IEM, Inc. Waiver Number: RFQ768892S

I hereby certify and say:

I have personal knowledge of the facts set forth herein and am authorized to make this Certification on behalf of the Contractor.

The Contractor submits this Certification in response to the referenced contract issued by the Division of Purchase and Property, Department of the Treasury, State of New Jersey (the "Division"), in accordance with the requirements of N.J.S.A. 52:34-13.2.

Instructions:

List every location where services will be performed by the Contractor and all Subcontractors.

If any of the services cannot be performed within the United States, the Contractor shall state, with specificity the reasons why the services cannot be so performed. Attach additional pages if necessary.

| <u>Contractor and/or Subcontractor</u> | <u>Description of Services</u> | <u>Performance Location[s] by COUNTRY</u> | <u>Reasons why services cannot be performed in USA</u> |
|--|--------------------------------|---|--|
| IEM, Inc. | Recovery Assistance | USA | |
| ATCS | Recovery Assistance | USA | |
| Adjusters Int. | Recovery Assistance | USA | |
| Integritas, LLC | Recovery Assistance | USA | |
| DSW, LLC | Recovery Assistance | USA | |
| Breakpoint Assur. | Recovery Assistance | USA | |
| FEMA Law | Recovery Assistance | USA | |
| WAM | Recovery Assistance | USA | |

Any changes to the information set forth in this Certification during the term of any contract awarded under the referenced solicitation or extension thereof will be immediately reported by the Contractor to the Director, Division of Purchase and Property (the "Director").

The Director shall determine whether sufficient justification has been provided by the Contractor to form the basis of his certification that the services cannot be performed in the United States and whether to seek the approval of the Treasurer.

I understand that, after award of a contract to the Contractor, it is determined that the Contractor has shifted services declared above to be provided within the United States to sources outside the United States, prior to a written determination by the Director that extraordinary circumstances require the shift of services or that the failure to shift the services would result in economic hardship to the State of New Jersey, the Contractor shall be deemed in breach of contract, which contract will be subject to termination for cause pursuant to Section 3.5b.1 of the Standard Terms and Conditions.

I further understand that this Certification is submitted on behalf of the Contractor in order to induce the Division to accept a bid proposal, with knowledge that the Division is relying upon the truth of the statements contained herein.

I certify that, to the best of my knowledge and belief, the foregoing statements by me are true. I am aware that if any of the statements are willfully false, I am subject to punishment.

Contractor: Innovative Emergency Management, Inc. (IEM)
[Name of Organization or Entity]

By: *Christopher M. Kising*

Print Name: Christopher M. Kising

Title: Director, Bids and Proposals

Date: April 7, 2013