

New Jersey Department of Human Services

November 4, 2013

Supplemental Social
Services Block Grant
(SSBG) Compliance
Services



Ms. Mary Lou Goho
Office of Contract Policy and Management, Division of Management and Budget
New Jersey Department of Human Services
(marylou.goho@dhs.state.nj.us)

November 4, 2013

Dear Ms. Goho:

PwC and its partner, Milligan, are pleased to present our response to the Department of Human Services Request for Quote for Supplemental Social Services Block Grant (SSBG) Compliance Services. We are confident that our experience in Sandy storm recovery programs and other disaster recovery projects around the country, as well as our broader expertise in grant compliance and risk management, makes us the ideal advisor for this effort.

We Have Direct and Relevant SSBG Experience: Not only do we have broad disaster recovery experience, but we also understand and are deeply ensconced in the recovery efforts for this particular block funding program. PwC is helping the State of New York on several key, post-Sandy-related initiatives, including the managing and monitoring of the SSBG-related funding. Our team understands the specific requirements that must be met through this grant funding and can appreciate the nuances of managing a grant that involves many state, county, and non-profit entities within the State of New Jersey. Given the aggressive timelines put forth in this RFQ, we anticipate that it will be imperative for you to bring on a team of consultants who are well-versed with SSBG funding and can commence the analysis effort immediately, versus spending time in getting up-to-speed.

We Have Broad Disaster Recovery Expertise: In addition to our work with the SSBG grants, we are currently working on several Sandy-related disaster recovery initiatives both for New York State as well as for New Jersey. PwC was on the ground immediately after the Storm to help Governor Cuomo conduct damage assessments, and are now using our deep understanding of the nuances and requirements of how the funding (across several federal block-funding grants) must be allocated to help NY State put internal controls in place to monitor several different funds and their distribution. We are also working with the State of New Jersey Economic Development Authority on process reviews and application assessments for the CDBG-DR funding for small business recovery.

In addition to working on Sandy-related efforts, our firm has extensive knowledge of disaster recovery operations through our global experience with Hurricanes Katrina, Rita, Wilma, Ike, and Gustav, the 2008 Iowa Floods, the Indian Ocean Tsunami, Haiti earthquake, and the 9/11 Victims Compensation Fund (VCF). For over 10 years, we have provided FEMA with expert services in the form of program management, financial analysis, internal controls, and strategic planning. We have worked side-by-side with federal, state and local staff at recovery offices around the nation through the Public Assistance (PA), Individual Assistance (IA), and Hazard Mitigation (HM) Programs to support survivors in recovering from disasters.

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This proposal does not constitute a contract to perform services. Final acceptance of this engagement by PricewaterhouseCoopers is contingent upon successful completion of PricewaterhouseCoopers' acceptance procedures. Any engagement arising out of this proposal will be subject to the execution of our formal engagement contract, including our standard terms and conditions and fees and billing rates established therein.



We Understand Health and Human Services: PwC has deep expertise and experience working for health and human service agencies. Our firm has over 100 consultants who are dedicated to the US Department of Health and Human Services (DHHS) and have provided internal control procedures, risk assessments, and grant management for agencies such as the National Institute of Health (NIH), Centers for Disease Control and Prevention (CDC), and Children's Medical Services (CMS). We have a range of professionals with specialized management expertise, including individuals who are former research scientists, MPH professionals, and have PhDs in health communications. We understand the missions of the New Jersey health and human services agencies and understand the programming needs of its customers.

We are Industry Leaders in Risk Management: PwC has over 116 years of experience in providing audit and risk management services and serving as trusted advisors to clients on their most politically sensitive and crucial projects. Our team is highly skilled in designing and implementing risk management and internal program controls across the federal and state government arena. We take pride in being a world leader for the delivery of risk assurance services. We work hard to ensure that our brand continues to stand for integrity.

We hope you find this proposal compelling and indicative of our desire to assist DHS and the State of New Jersey continue to emerge from the aftermath of the storm in a stronger position than before. If you have any questions about this proposal or our qualifications, please feel free to contact me directly.

Sincerely,

A handwritten signature in black ink that reads "Sotiris A. Pagdadis".

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Executive summary

Executive summary

Our understanding & point of view

Last October, the State of New Jersey experienced unprecedented damaging effects from Superstorm Sandy – from loss of life, destroyed infrastructure, damaged homes, and loss of business. Organizations and state agencies that provide critical health and human services to state residents were significantly impacted, either through sustaining damages to their own facilities or by becoming overstrained in providing health and social-related services to the **State’s affected populations**. Non-profit organizations were stretched beyond capacity to serve and are now in desperate need of federal reimbursements to cover the costs incurred due to their disaster recovery efforts.

In the year after Sandy hit, the State has vowed to help counties and organizations to be able to fully recover from Sandy. Sandy reminded the State of the significance of many of these Health and Human Services agencies, as well as the role the counties play in supporting the population during a time of crisis. **And with these “storms of the century” practically becoming an annual occurrence, the State cannot afford to wait any longer** in ensuring that last year’s victims are able to pick themselves up and begin functioning normally once again.

The State has been awarded a significant amount of dollars in federal SSBG supplement funds, to focus on rebuilding social services organizations affected by the storm. As the prime recipient of this federal funding, the NJ Department of Human Services (DHS) needs to quickly put in place processes to oversee this funding and make sure that it gets to the most affected constituents in a timely and compliant manner. The SSBG funding structure is complex and involves several stakeholders – at the state agency level, county level and individual organization level. It is critical that the processes implemented to manage this grant are consistent, well-communicated, and compliant to the specific requirements of this grant. Based on our experience with SSBG in other States, we know that the federal government aims to prevent the repetition of the problems associated with Hurricane Katrina in New Jersey; they will scrutinize processes and procedures early on and determine whether the right kind of controls are in place to minimize misdirection or misuse of funds. For this reason, we applaud the State for taking this opportunity to evaluate the integrity of the SSBG program.

As the world’s leading auditing firm, we know that financial and program integrity can take several forms. As it pertains to the SSBG program, we view overall program integrity through three lenses: Program Compliance, the degree to which the program conforms to relevant regulations, Program Efficiency, the degree to which the program is structured to execute effectively, and Program Impact, the degree to which the funding achieves the desired impact. Given the aggressive six-week timeline requested in the RFQ, the focus of our proposal and proposed services will be targeted mainly on assessing risk associated with Program Compliance, but we will also provide directional insights related to the other two components, which can significantly impact the overall performance of the program as well.

Program Compliance

Ensuring that the process achieves the highest standards of integrity and compliance

Efficiency:

Ensuring that monies reach those in need as quickly as possible

Impact:

Ensuring that the funding distributed addresses the needs of the affected populations

Figure 1: SSBG Program Integrity Components

Our approach

Based on our understanding of the Program, Program Compliance must be reviewed across each of the levels and interactions of the key stakeholders in the SSBG Program. Our risk assessment will focus on reviewing the risks associated with administering the grant on the State Agency level: reviewing that processes are in place to manage and disperse payments, manage federal reporting, and provide oversight over Program activities and grant recipients. It will also include reviewing the risks associated with the Counties who will be responsible for managing the needs of the affected organizations in their cities and working with the State agencies to receive the appropriate funding. And finally, the State programs themselves must be reviewed for compliance with the SSBG grant requirements to make sure that the intended funding is servicing needs that are deemed eligible as part of the grant. The figure below depicts the various risk assessments needed and how they are mapped to the tasks laid out in the RFQ.

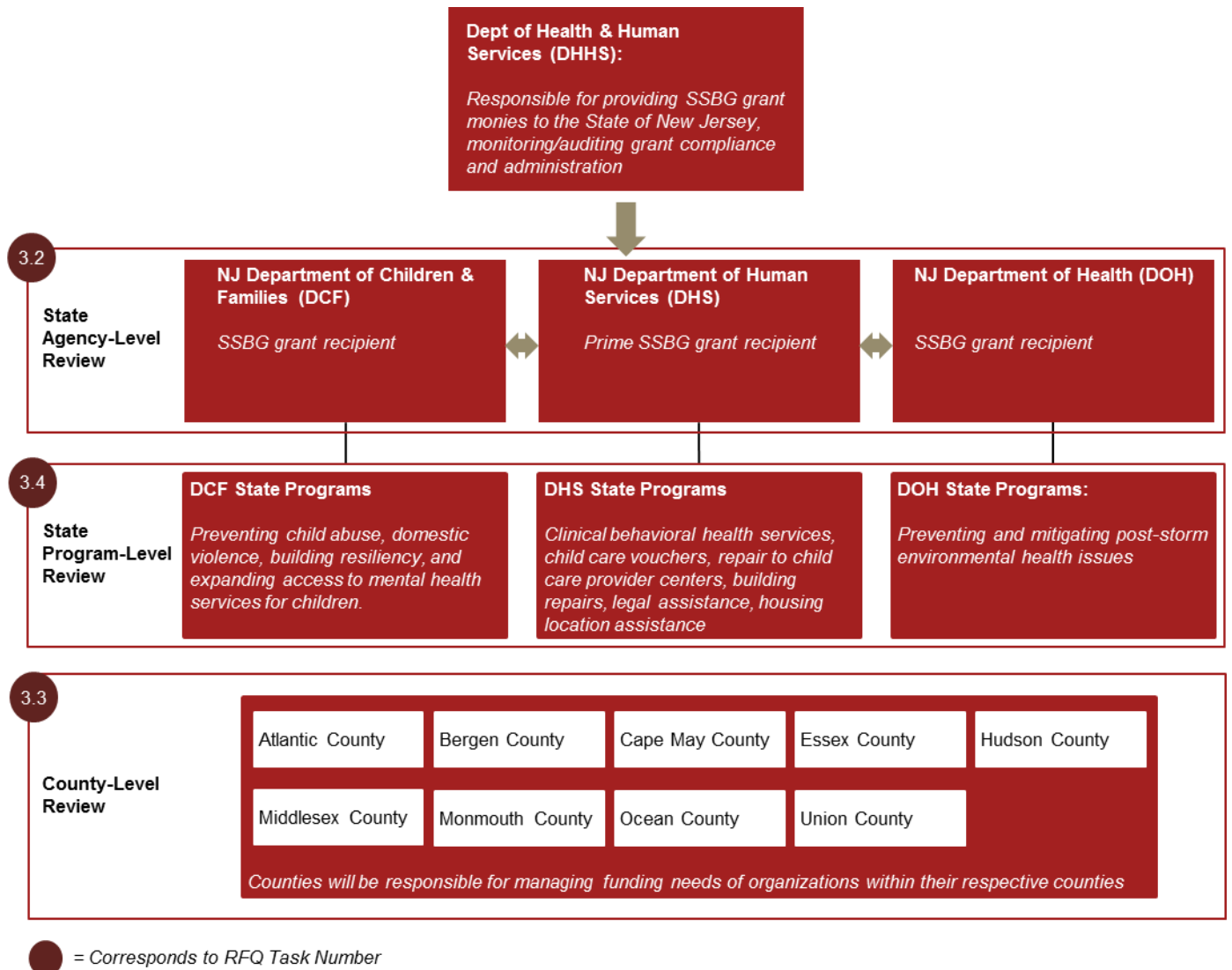


Figure 2: NJ SSBG Program Risk Assessment Levels

Key activities for these risk assessments will include:

State Agency-Level Review: Risk assessment of processes related to program oversight, administration of payments, regulatory reporting, integrity monitoring, management of SSBG budget, and expenditures

County-Level Review: Risk assessment of processes related to community outreach, coordination of payment disbursements to affected populations, conducting eligibility reviews, and managing applications for funding

Program-Level Review: Risk assessment of program details to understand compliance to SSBG funding and eligibility requirements

There is an extensive amount of work that must be completed in a very short period of time, and with the affected parties already waiting a year for funding, we fully appreciate the urgency of this matter. PwC understands the complexities associated with the SSBG program; there are multiple stakeholders who will require continuous coordination through the use of standardized processes and reporting methodologies. The task of managing these Sandy-related funds is monumental, and we recognize that current staffing in each of these State agencies is stretched beyond their typical day job assignments and capabilities.

Through our experiences working with the Supplemental SSBG funding, we can understand the nuances between how processes will need to be evaluated and potentially tailored to the various populations that the funds address. The Administration for Children and Families (ACF) regulations are very specific and detailed, and, from our **experience with New York State, we know that many of the smaller organizations supporting the State's Health and Human Services** populations are often unable to come up with all of the documentation that ACF requires, making it a challenge to get applicants to qualify for needed funds. As we work with the New Jersey DHS, we will keep these nuances in mind and come up with ways to help guide these agencies through process reviews to make sure adequate attention is given to the application selection and funds distribution process, while at the same time keeping the process from becoming so complex that it prevents DHS and other state agencies from getting the applications through the review process quickly, thus striving for the funds to be disbursed as expediently and efficiently as possible.

Based on our extensive experience in this space, PwC is uniquely positioned to assist DHS in this program. We are well-versed with the SSBG funding requirements and will be ready to jump in immediately to review the **Program's** processes and controls, so as to understand where compliance may be at risk. Few firms have this vantage point and can provide the insight, lessons learned, and best practices from other states grappling with similar challenges.

The following section describes our approach in more detail.

Scope of work

Scope of work

PwC is very familiar with all of the tasks defined in the RFO. **We will take advantage of our team’s extensive** experience with the Supplemental SSBG grant along with other similar disaster recovery grants, and our knowledge of the federal Supplemental SSBG grant requirements to quickly get up-to-speed and develop the deliverables required by leveraging existing tools and templates to tailor **them to New Jersey’s specific** requirements.

The Engagement Query requirements are listed in Figure 3 and our approach is further detailed below.

Week 0	Weeks 1-2	Weeks 3-4	Weeks 5-6	Week 7
<ul style="list-style-type: none"> Task 3.1 – Conduct Kick-Off Discussion and document meeting minutes 	<ul style="list-style-type: none"> Task 3.2 – Conduct Supplemental SSBG State Agency Risk Assessment 	<ul style="list-style-type: none"> Task 3.3 – Conduct Supplemental SSBG County-Level Risk Assessment 	<ul style="list-style-type: none"> Task 3.4 – Conduct Supplemental SSBG Program-Level Risk Assessment 	<ul style="list-style-type: none"> Task 3.6 – Conduct a debriefing session to the Governor’s Office of Recovery and Rebuilding, DHS, DOH and DCF (Monday following Week 6) Task 3.7 - PwC will provide final copies of all documented deliverables
	<ul style="list-style-type: none"> Task 3.6 - PwC will propose suggestions for timely resolution of any issues or concerns raised, participate in bi-weekly status update meetings/conference calls with the State Contract Manager for each of DHS, DCF and DOH throughout the engagement. 			

Figure 3: Key Engagement Activities

Engagement Assumptions:

Given the limited amount of time reserved for this engagement, PwC will assume that all processes and procedures at the State-level, County-level and Program-level are documented and that PwC will not be responsible for creating such documentation. If documentation is not available, it shall be noted as missing and reflected as a risk within the final Risk reports. PwC will only review documentation that is provided to the team in a timely manner (within the first 2 days of each Task period). If documentation is not provided in a timely manner, PwC will note that the documentation is missing and reflect it as a risk within the final Risk reports.

PwC will plan to interview key stakeholders within each of the key Task periods (Tasks 3.2, 3.3, and 3.4). However, due to the limited time for this engagement, PwC will need to limit the number of interviewees to a manageable number that will be agreed upon during the Kick-off discussion. It is our assumption that these individuals will be made available to meet with our team.

Requirement 3.1: Kick-off

PwC understands how important it is to hit the ground running, especially with short engagements on a tight timeline. PwC is very cognizant of the pressure New Jersey is under to get money out to those impacted by Sandy, and in order to begin the project on the right track, PwC plans to have the kick-off meeting ahead of the project start (during Week 0) so that we can meet with all of the key State Contract Managers for each of DHS, DOH and DCF. Our expectation is to go over timeline and approach, obtain the available documentation, and receive any key contact names within the State Agencies, so that we can start preparing for and scheduling the meetings we will need to have with the three lead agencies over the next two weeks in order to conduct the State Agency Risk Assessment. In addition, we aim to have a clear understanding of the necessary documentation that is to be provided by the State Contract Managers, so that as we begin the State Agency Risk Assessment, we will have a targeted agenda for each of the scheduled meetings.

3.1 Kick-off	
Key Activities	Week 0 <ul style="list-style-type: none"> Attend meeting with a representative from each of the Governor's Office of Recovery and Rebuilding, DHS, DOH and DCF. <ul style="list-style-type: none"> Confirm the timeline and approach for project Gather all key documentation and a list of program-level contacts provided by meeting attendees Capture Meeting Minutes Develop a documentation repository and update with current documentation Develop requirements traceability matrix Develop communication plan and meeting schedule for upcoming weeks Develop weekly engagement status report
	<ul style="list-style-type: none"> Documentation of and minutes for the kick-off meeting Communication Plan and meeting schedule and agenda for upcoming meetings Template for weekly status report
Deliverables	

Figure 4: Kick-off Activities & Deliverables

Deliverable: From the kick-off meeting, PwC will put together meeting minutes and distribute four printed copies, as well as an exact and complete PDF version of the document to DHS

In addition to the kick-off meeting, during Week 0, the PwC team will also begin developing some of the tools to be used throughout the remainder of the engagement, including a repository of all documentation received, a Requirements Traceability Matrix to be used throughout the risk assessments, and a communication plan including a meeting schedule.

We understand that extensive work has already been done through the traditional SSBG program to develop the approach and processes for the State, but that there are variances that exist with the Supplemental program that will need to be addressed. Our team will leverage existing knowledge and experience; borrowing heavily from our experience with similar disaster recovery and fund management programs, we will move to quickly review current documentation from the Program design and understand the current risk areas which exist and to maximize our effectiveness on the ground **without slowing the pace of the Program's ramp up.**

Case In Point: New York State CDBG-DR Program

PwC has very relevant experience from our oversight of the CDBG-DR process for New York State. As the responsible party for overall Integrity Monitoring for all Sandy related funds in NYS, we have visibility into all CDBG-DR processes as well as HMGP, and SSBG.

We will bring all the learnings and best practices from this experience to New Jersey to help evaluate the Program in the most effective and efficient way possible.

Developing the tools for our assessment

Requirements Traceability Matrix: Prior to launching the Supplemental SSBG State Agency Risk Assessment, we will develop a comprehensive repository of regulatory requirements that can help make certain that any existing processes map back to the requirements of the Supplemental SSBG grant. This Requirements Traceability Matrix will list out the SSBG requirement, the source of the requirement, and describe how it will be met through each of the defined approaches. We will use this tool to evaluate the process flows, assessing whether the requirements will be met through step-by-step actions. This will

help the team make sure that the existing processes are in compliance and the matrix can be leveraged by DHS to complete future federal reports.

ID	Citation	Citation Detail	Requirement	Preliminary Mapping to Process Phase (Choose from drop-down menu)	Preliminary Mapping to High-Level Process Step (Choose from drop-down menu)	Preliminary Mapping to Process Step (Choose from drop-down menu)
F.7	Hazard Mitigation Assistance Unified Guidance, as amended	Part I	Once funds are awarded, State is accountable for the use of the funds, responsible for administering the grant, and responsible for complying with program requirements and other applicable Federal, State, Territorial, and Tribal laws and regulations	Phase 4: Execute & Monitor Projects	4.2 Reporting/Monitoring	4.2.1 Agency conducts grantee outreach monthly
F.8	Hazard Mitigation Assistance Unified Guidance, as amended	Part I	State is responsible for financial management of the program and overseeing all approved projects	Phase 4: Execute & Monitor Projects	4.2 Reporting/Monitoring	4.2.1 Agency conducts grantee outreach monthly
F.9	Hazard Mitigation Assistance Unified Guidance, as amended	Part III	All interested subapplicants must apply to the State	Phase 2: Application/Rankings	2.1 Application	2.1.5 Applicant submits application to Agency
F.10	Hazard Mitigation Assistance Unified Guidance, as amended	Part III	Individuals and businesses are not eligible to apply for HMA funds. However, an eligible State or subapplicant may apply for funding to mitigate private structures	Phase 2: Application/Rankings	2.1 Application	2.1.8 Agency determines whether application is complete
F.11	The Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended	Section 308	Programs must be administered in an equitable and impartial manner, and must be implemented in compliance with all applicable laws	Phase 2: Application/Rankings	2.1 Application	2.1.8 Agency determines whether application is complete
F.12	44 CFR	Section 13.36	Subapplicants must avoid situations in which local officials with oversight authority might benefit financially from grant disbursement	Phase 4: Execute & Monitor Projects	4.1 Project Execution	4.1.1 Grantee initiates work
F.13	Hazard Mitigation Assistance Unified Guidance, as amended	Part 3 - B	Under the HMA programs, the total cost to implement approved mitigation activities is generally funded by a combination of Federal and non-Federal sources, up to 75% of Federal share	Phase 1: Identify Potential Projects	1.1 Build list of projects	1.1.1 FEMA Publishes HMGP Requirements

Figure 5: Example Requirements Traceability Matrix

Communication Plan: In addition, a communication plan and meeting schedule tool will be developed to capture the stakeholders involved with our assessment, as well as all meetings that will be conducted. During the development of this tool, and after the kick-off meeting, the PwC team will proceed to schedule meetings with the identified stakeholders necessary for Week 1 discussions as part of the State-Level Risk Assessment.

Status Reporting: Given the short timeframe for this engagement, it will be very important for our team to continuously communicate to DHS and other key stakeholders the status of our work and progress made. It will also be very important for any risks or issues identified by our team to be communicated and escalated immediately. Our engagement team will provide the State Contract Manager and other key clients a status report on a weekly basis, that will detail out they key activities accomplished by our team, provide a preview of activities that will take place the following week, progress against key deliverables, and any engagement issues or risks that need to be addressed. This is in addition to the bi-weekly status meetings the team will hold with the key State agencies (as described in Requirement 3.6)

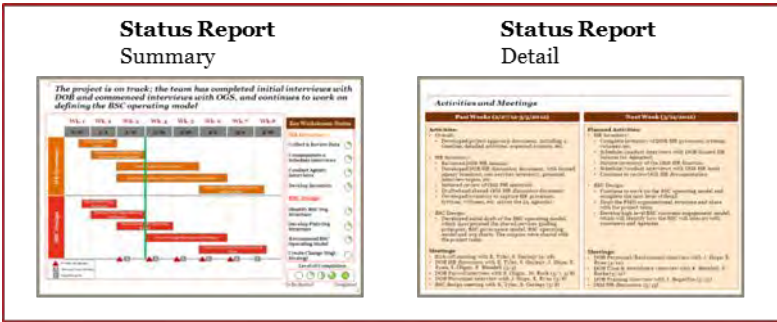


Figure 6: Example Weekly Status Report

Requirement 3.2: Supplemental SSBG State Agency Risk Assessment

3.2 State Agency Risk Assessment	
Key Activities	<p>Weeks 1-2</p> <ul style="list-style-type: none"> Assess each State agency's Supplemental SSBG Business Processes, the associated workflow, internal controls, and reports, including: <ul style="list-style-type: none"> Situations where the State agency is the conduit to counties that, in turn, will solicit providers for the program Situations for when programs will be directly administered by a State agency to a third-party contract with a provider Conduct a risk assessment to identify weaknesses from an agency perspective in its current and planned administration of funded programs, including missing controls and areas that could be potentially vulnerable to AFWA Conduct interviews with key stakeholders across all 3 agencies Identify 4 Counties for Risk Assessment
Deliverables	<ul style="list-style-type: none"> Supplemental SSBG State Agency Risk Assessment document Selection of process documentation for Counties identified for Risk Assessment Communication Plan and meeting schedule and agenda for upcoming meetings

Figure 7: State Agency Risk Assessment Activities & Deliverables

Having prepared the necessary tools to enter this phase of work, as well as, having conducted the kick-off meeting to identify key stakeholder and available documentation, PwC will commence work on the State Agency Risk Assessment at the beginning of Week 1. PwC will plan to have all critical meetings scheduled so that we can start working through our assessment with the State immediately. In this phase, PwC will be analyzing three state agencies (DHS, DOH and DCF), resulting in a SSBG State Agency Risk Assessment document.

Assess State Agency program documentation and approach

A strong foundation of agreed policies, procedures and processes that guide both the operational and monitoring aspects of the Program is critical to success. Policies and procedures set the guidelines for all aspects of the **Program's workflow** – from how community outreach is conducted, to application intake and review, to ongoing monitoring of the usage of funds. From our experience working on similar projects, we know that a lack of

implemented policies, procedures and process leads to confusion, rework, and misalignment with grant guidelines; **therefore, it is critical for New Jersey's SSBG program** to have these in place **well ahead of the Program's execution**, and therefore we will start our State Agency Risk Assessment evaluating these documents.

PwC's risk assessment approach is mainly comprised of following initial stages:

Case In Point: U.S. Individuals and Households Program (IHP)

PwC analyzed IHP's existing recoupment processes, policies and tools to identify leading practices and processes. Our recommendations informed the development of more streamlined processes, robust policies, standard operating procedures and training materials in compliance with applicable regulations and guidance.

Stage 1: Develop a Requirements Traceability Matrix: As discussed in the section above, this matrix will list all Federal and State requirements surrounding grant provisions and administration. Our team is very familiar with these requirements through our work on other Supplemental SSBG grant management programs. The matrix will also incorporate additional State specific priorities and requirements that can serve as guidelines for how the Program should be run. This matrix will allow the team to confirm that all requirements are covered in the policies and procedures for the rest of the Program.

Stage 2: Assess Process Maps: For every stage of the Program, detailed process maps will be reviewed to outline the steps required to conduct each activity. These process maps will tie back to the Requirements Traceability Matrix. The process maps should help visually depict the flow of activity across personnel involved in the process and will outline role ownership and where critical hand-offs of information will take place.

Stage 3: Assess Policies & Procedures: Once process maps have been evaluated, the team will assess any existing policy and procedures to see that they are in place and being followed. Policy and Procedure documents guide all activities associated with the Program and help to shape training documentation when staff is onboarded. They will also serve as guiding documents as the State conducts any application reviews, eligibility analysis, and award determination.

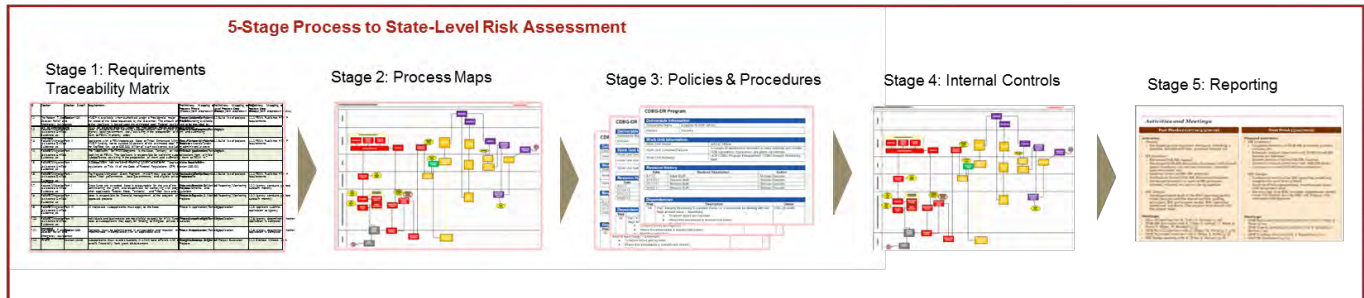


Figure 8: Process to conduct SSBG Policies & Procedures

Stage 4: Assess Internal Controls: State Agency controls will need to be well established in many areas across the Program. PwC uses our Traceability Matrix during this activity to note where key controls should exist in the Program, and from there will identify whether they were addressed in the process, policies, or procedural documentation that was previously evaluated.

Stage 5: Assess Reporting: Reporting will need to be evaluated to assess whether it adequately depicts the state of the program at any given point in time. This will be critical to DHS as it begins its Federal reporting on the Program. PwC will use our Traceability Matrix to assess whether the reporting captures the requirements that will be required for the State through this Program.

Once PwC has cataloged all of the documentation, the Traceability Matrix will become the source for the Risk Assessment. PwC will conduct a risk assessment across all three agencies to identify weaknesses from an agency perspective in its current and planned administration of funded programs, including missing controls and areas that could be potentially vulnerable to Anti-Fraud, Waste, and Abuse (AFWA).

PwC will assess situations where the State Agency is the conduit to counties that, in turn, will solicit providers for the program, as well as processes for when programs will be directly administered by a State agency to a third-party contract with a provider.

PwC will supplement our documentation analysis with interviews with key personnel within each of the State Agencies to obtain further information around controls in place and risks associated with the programs. After conducting the Risk Assessment, PwC will perform analysis across the nine most impacted counties, and identify which four seem to be the most relevant to use for the County-Level Risk Assessment. The PwC team will assess the four counties based on which will be expected to receive the most funding and currently have the most **documentation in place. It is our assumption that the outcomes of our team’s review on the four chosen counties** can be later applied to the five counties that were not chosen. Once the counties are identified, PwC will collect key stakeholder information and schedule meetings with the County stakeholders, and request documentation ahead of the meetings, so as to move into this next phase of work without any avoidable bottlenecks.

Deliverable: PwC will provide four printed copies, as well as an exact and complete PDF version of the Supplemental SSBG State Agency Risk Assessment document to DHS. In addition, we will present our findings from the Supplemental SSBG State Agency Risk Assessment in the bi-weekly Status meeting with State Contract Manager for each of DHS, DCF and DOH.

Requirement 3.3: Supplemental SSBG county-level agency risk assessment

3.3 County-Level Risk Assessment	
Key Activities	<p>Weeks 3-4</p> <ul style="list-style-type: none"> Assess the State's interactions/work-flow processes with the County from award of Supplemental SSBG funds by the State through to determination of distribution to service providers Conduct a risk assessment to identify weaknesses in the specific program, missing controls, and areas that could potentially be vulnerable to fraud, waste and/or abuse. Conduct interviews with key stakeholders from 4 selected counties as needed
Deliverables	<ul style="list-style-type: none"> Supplemental SSBG County-Level Risk Assessment document A list of all documentation collected and assessed during this phase Communication Plan and meeting schedule and agenda for

Figure 9: County-Level Risk Assessment Activities & Deliverables

The PwC team will next undertake a high-level county-level risk assessment in the four State-approved counties identified as a result of the Supplemental SSBG State Agency Risk Assessment document. These counties will be the subject of analysis and subsequent development of a Supplemental SSBG County-Level Risk Assessment deliverable. The Supplemental SSBG County-Level Risk Assessment document will **assess the State's** interactions/work-flow processes with the County from award of Supplemental SSBG funds by the State through to determination of distribution to service providers. The Supplemental SSBG County-Level Risk Assessment deliverable will identify weaknesses in the specific program, missing controls, and areas that could potentially be vulnerable to fraud, waste and/or abuse.

The County-Level assessment for each of the four counties will be very similar to the 5-Step approach to the State-Level Risk assessment. At this Level of the assessment, PwC will not only be evaluating the Counties

on a stand-alone basis, but also evaluate how they interact with their constituents, as well as with the State Agencies.

In addition to the 5-Step approach, PwC will put additional focus on areas where we have typically seen risks arise within other counties, more specifically within applicant outreach and eligibility determinations.

Assess Approach to Conduct Applicant Outreach

Customer communications and service must be at the forefront of **the Program's** operations. As you know, messaging to Sandy victims to Sandy victims and to the broader New Jersey public must be well thought-out, providing ongoing updates about the Program and soliciting and responding to public feedback along the way.

Many other post-Sandy relief and recovery efforts that PwC supports have used multiple communications channels to get the word out about available funds. We will assess the counties outreach strategies and highlight areas where we think risks exist. It is important that messaging contains some level of content guidelines so that messages are standardized and consistent across all of the channels utilized, and in many cases from county to county.

PwC will also assess the approach to ongoing communications, where questions can be asked and answered throughout the program process.

Assess Approach to Process Applications

PwC will assess the approach and steps to submit and to process applications as well as evaluate any supplemental documentation required in terms of determining eligibility. On similar engagements, we have observed that many Sandy impacted individuals do not have the documentation needed to apply for program funding. In some instances the documentation was lost or may simply have never existed. Therefore the list of eligibility documentation should be as concise as possible, while still satisfying SSBG requirements and alternative documentation options should be considered.

Assess Process for Determination of Applicant Eligibility

The process for assessing applicant eligibility has multiple components and application review will be comprised of several criteria, described in more detail below. PwC will assess the eligibility and prioritization models that lead to reviews that are fast, fair and consistent.

- **SSBG Eligibility Rules:** Our experience working with ACF and our understanding of the Supplemental SSBG program give us a solid grasp of the eligibility requirements for this program. We will evaluate the process to review documentation requirements and criteria needed to identify applicants who comply with these requirements.
- **Verification of Benefits:** We will evaluate the policies and processes in place to perform Duplication of Benefits (DOB) and Verification of Benefits (VOB) reviews. We will assess whether the counties have a way to gather information from the applicant about additional funding sources and determine how that affects the eligibility analysis conducted.
- **Anti-Fraud, Waste and Abuse Checks:** We will evaluate how the selected counties plan to conduct background checks to prevent fraud and abuse. PwC is currently responsible for all the AFWA checks for CDBG Superstorm Sandy related funds disbursed by New York State. We have a clear understanding of what is needed in this area, and will use our understanding to assess NJ's practices.

In addition to assessing eligibility criteria and checklists for the Program, PwC will assess how New Jersey counties prioritize applicants and how this information should be communicated to applicants. It should be noted that prioritization criteria needs to comply with the Supplemental SSBG program and the SSBG Action Plan requirements for the disbursement of funds. Prioritization criteria should not adversely impact certain demographic groups.

PwC will assess the approach for applicants to submit certification of eligible costs, including the expertise and qualifications of eligible cost estimators (e.g., Professional Engineer, Registered Architect, etc.) and an approach and methodology to develop a schedule of eligible costs, including an entity responsible for developing measures included in the cost schedule based on diversity of projects, etc.

Deliverable: PwC will provide four printed copies, as well as an exact and complete PDF version of the Supplemental SSBG County-Level Risk Assessment document to DHS. In addition, we will present our findings from the Supplemental SSBG County-Level Risk Assessment in the bi-weekly Status meeting with State Contract Manager for each of DHS, DCF and DOH.

Requirement 3.4: Supplemental SSBG program-level risk assessment

3.4 Program-Level Risk Assessment	
Key Activities	Weeks 5-6 <ul style="list-style-type: none"> Assess the Programs for potential vulnerabilities for compliance and transparency purposes Assess the degree to which the County/State agency is comporting with the rules, regulations, policies, mandates, etc. For all 3 identified Program pools, PwC will assess the following: <ul style="list-style-type: none"> Risk assessment, internal controls and identify loss prevention strategies Promotion of best practices Fraud and misconduct prevention Disseminate information regarding the anti-fraud hotline maintained by the NJ Office of the State Comptroller For pools 2 & 3, PwC will assess the identification of appropriate compliance systems and controls For pool 3, PwC will assess the development of policies and procedures to ensure program requirements are met
	Deliverables <ul style="list-style-type: none"> Supplemental SSBG Program-Level Risk Assessment document A list of all documentation collected and assessed during this phase

Figure 10: Program-Level Risk Assessment Activities & Deliverables

Once PwC has concluded both the Supplemental SSBG State Agency Risk Assessment and the County-Level Risk Assessment documents, PwC will begin to analyze each State SSBG program identified by the State, the result of which will be a Supplemental SSBG Program-Level Risk Assessment document.

The intent of the program-level risk assessment is to identify potential vulnerabilities for both compliance and transparency purposes. The program-level services must include an assessment of the degree to which the county or the State agency, as the case may be, is complying with the rules, regulations, policies, mandates, etc., germane to the Supplemental SSBG program. The Supplemental SSBG program includes program areas that are not a part of the traditional SSBG, including: educational transportation services under certain conditions, temporary child care facilities or the support the rebuilding of child care facilities, assistance to families in accessing available child care, and mental health services to caregivers and young children in child care settings. PwC is well aware that these variances can

dictate needs to modify existing programs, processes, and policies that are in place for traditional SSBG. These variances also often lead to downstream issues with eligibility determinations.

In addition, the program-level risk assessment will include, but not be limited to, an inventory of program services being provided or planned for, clients being served or targeted for service, service delivery mechanisms, documentation, recordkeeping, reporting, and funding flow.

New Jersey has identified three (3) pools of programs that must be studied:

1. Programs with Supplemental SSBG funds less than \$2 million;
2. Programs with Supplemental SSBG funds of \$2 million up to \$10 million; and,
3. Programs with Supplemental SSBG funds equal to or greater than \$10 million. The depth of the program review will be determined by the pool the program falls in.

The breakdown of requested activities for each of the programs is listed below. PwC has experience working with ACF and helping recipient agencies work to prepare for an improper payments audit, and we are well aware that programs over \$10 million are considered high-risk, hence the need for additional controls and focus. In addition to the greater than \$10 million high-risk category, PwC will highlight other program areas that may also be considered high-risk, regardless of the dollar amount.

	Program Pool 1 (< \$2M)	Program Pool 2 (\$2m up to \$10M)	Program Pool 3 (\$10M and above)
Risk assessment, internal controls and identify loss prevention strategies	X	X	X
Promotion of best practices	X	X	X
Fraud and misconduct prevention	X	X	X
Identification of appropriate compliance systems and controls as required by State and Federal governing guidelines, regulations and law		X	X
Development of policies and procedures to ensure program requirements are met, including prevention of benefits duplication, and measures to detect and prevent fraud, waste, abuse and mismanagement of funds; compliance with Federal and State laws, and regulations as applicable			X
Disseminate information regarding the anti-fraud hotline maintained by the NJ Office of the State Comptroller	X	X	X

Figure 11: State Program Breakdown

Deliverable: PwC will provide four printed copies, as well as an exact and complete PDF version of the Supplemental SSBG Program-Level Risk Assessment document to DHS. In addition, we will present our findings from the Supplemental SSBG Program-Level Risk Assessment in the bi-weekly Status meeting with State Contract Manager for each of DHS, DCF and DOH.

Requirements 3.5, 3.6, 3.7

At the end of the project, PwC will provide a debriefing session to go over the concluding observations and

Engagement Wrap-up	
Key Activities	<p>Weeks 6-7</p> <ul style="list-style-type: none"> Develop weekly status report documentation to share with DHS on engagement progress against deliverables, risks and issues Participate in bi-weekly status update meetings/conference calls with the State Contract Manager for each of DHS, DCF, and DOH throughout the engagement (Weeks 1-6) Develop final report to present at final engagement debriefing session with Governor's Office of Recovery and Rebuilding, DHS, DOH and DCF Conduct Debriefing Session (Monday following Week 6) Provide, to DHS, four complete physical copies, as well as an exact and complete PDF version of each documented deliverable.
Deliverables	<ul style="list-style-type: none"> Weekly engagement status reports Final engagement debrief meeting materials Final copies (physical and PDF) of all engagement deliverable documents

recommendations to a representative from each of the Governor's Office of Recovery and Rebuilding, DHS, DOH and DCF. In addition to the debriefing session, PwC will establish sessions after each of the Requirements deliverables.

PwC has created a schedule for the program, and has built into the schedule a bi-weekly status meeting to update the State Contract Manager for each of DHS, DCF and DOH on the current activities within the program, as well as use the meeting to assist in the development of timely resolutions of issues or concerns raised during the contract engagement.

For all deliverables, PwC will provide to DHS, four (4) complete physical copies, as well as an exact and complete PDF version of each documented deliverable.

Figure 12: Engagement Wrap-up Activities & Deliverables

Project schedule

Below you will find our proposed schedule outlining the key tasks and deliverables. Please note that we have adhered to the requirements set forth in the RFQ to maintain the tasks as separate streams of work. However, we would recommend – given the aggressive time schedule – that the tasks occur concurrently so that there is enough time to collect data, set up interviews, and review each program component adequately. Our proposed schedule is below:

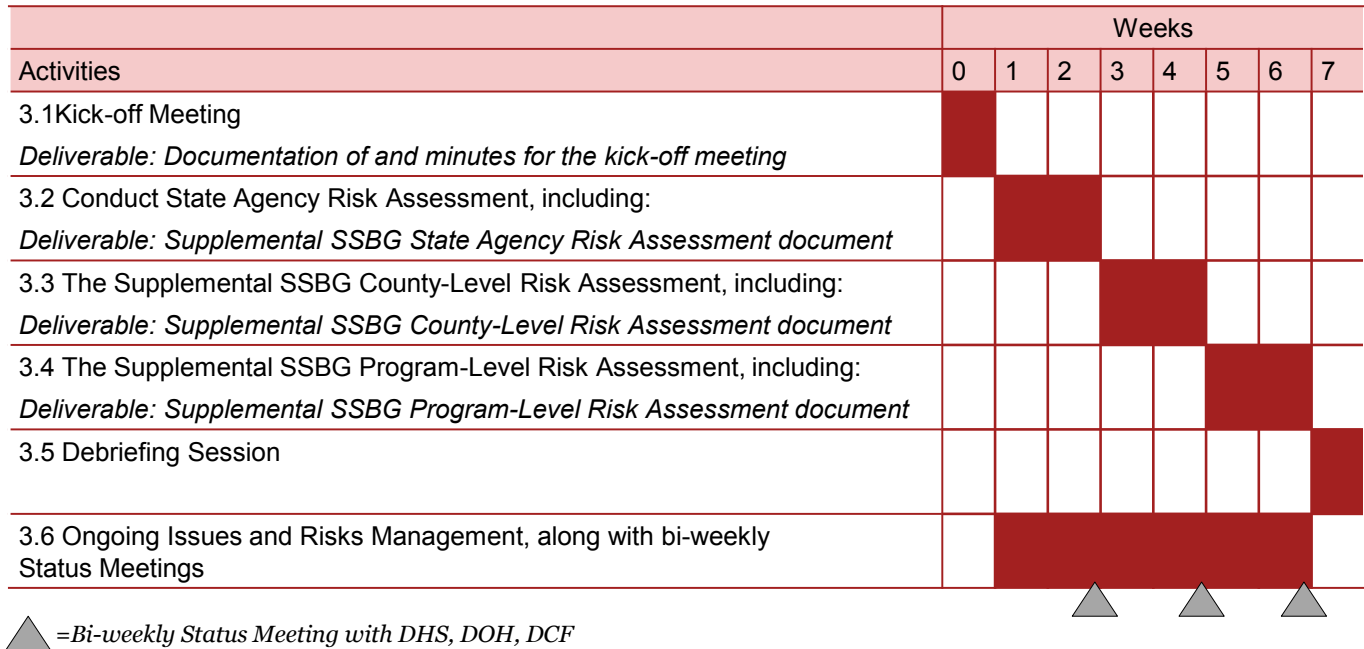


Figure 13: Proposed Project Schedule

As articulated earlier, in order to “hit the ground running”, we recommend a “Week 0” which is when most of the project set up will occur. During this week, we will develop materials for the kick-off meeting, hold the kick-off discussion, receive and review background documentation for Task 3.2 (along with whatever is available for Tasks 3.3. and 3.4), and schedule interviews that will take place in the subsequent weeks. In our experience, it is useful to set up this preliminary week to make sure time devoted to conducting risk assessments is not affected by conducting administrative project set-up tasks.

Qualifications

Qualifications

We believe our team is uniquely qualified to perform this engagement, not only because of the strong resources that we are bringing to bear, but also based on **our firm's qualifications**, having successfully performed commensurate work for other government clients. We have deep experience providing program management, quality assurance and integrity monitoring for several disaster recovery efforts, including Sandy-related block funding. Below you will find a selection of **project descriptions that showcase our firm's experience and qualifications** for this RFQ in terms of our experience with Sandy-related programs and other federal disaster recovery programs, as well as our experience working with other health and human services agencies.

Select Project Experience:

New York State Social Services Block Grant – Superstorm Sandy Integrity Monitoring

Services Provided: Continuous Quality Improvement & Quality Assurance, Procedures & Systems, Quality Improvement Strategies, Internal Controls, Audits of internal processes, procedures, systems, Standard Operating Procedures

Project description

PwC was engaged to assist the State of New York, and its Health and Human Services Agencies assure that adequate Integrity Monitoring is **built into the Superstorm Sandy's Social Services Block Grant (SSBG) funds** distribution program. The effort is to ensure that funds Integrity does not become an issue disrupting New York State ability to fulfill the five broad goals of the Social Services Block Grant:

1. To provide economic self-support;
2. To promote self-sufficiency;
3. To prevent or remedy neglect, abuse, or exploitation of children and adults;
4. To provide for community-based care, home-based care, or other forms of less intensive care; and
5. To provide institutional care when other forms of care are not appropriate.

The first phase of work pertained to identifying and developing the appropriate controls to monitor the system. The second phase of work pertains to the Integrity Monitoring efforts to be conducted throughout the entire lifecycle of the program.

The PwC team:

- Conducted a program readiness assessment, identifying gaps in SSBG program, specifically around policy, process and procedural documents; and worked with OCFS and other State agencies to develop the appropriate documentation as needed
- Conducted an assessment on Government and State Requirements, and tied them to the program to assure all requirements were addressed throughout the program
- Identified key controls for the program, both internal and external, and developed the procedures for the external controls
- Provided audit readiness guidance to OCFS, specifically around improper payments

PwC is currently finishing up Phase 1 of the work and transitioning into an Integrity Monitoring role as applications are being received and reviewed by the State.

New York State – Superstorm Sandy Program Recovery Office - Integrity Monitoring

Project description

Following Superstorm Sandy, New York State engaged PwC on several fronts as it planned and managed its disaster response. Initially, the State engaged PwC to verify its estimates of storm damage for inclusion in its request for Federal Supplemental Funding. PwC reviewed estimates of damages covering housing, transportation, healthcare, the environment and other areas and helped the state refine and harden these numbers. Additionally, PwC helped to facilitate conversations with HUD and other agencies in which damage estimates were reviewed.

Following the successful submission of the Federal Supplemental Funding request, PwC was engaged by the State **to provide program management and integrity monitoring over all of the State's disaster response, specifically** including the CDBG-DR Housing Recovery, SSBG Social Services recovery, HMGP Hazard Mitigation efforts, Transportation, and Environment funding streams. With respect to Housing and Small Business Recovery, PwC **has assisted the State's Homes and Community Renewal office in administering the CDBG-DR program**, helping to design processes, evaluate resources and technology tools and provide integrity monitoring and quality assurance services. Similar efforts exist across all other workstreams as well.

FEMA State of New Jersey – Superstorm Sandy Communications & Reporting

Project description

PwC provided nationwide professional support services to FEMA's Public Assistance (PA) Program in response to disasters declared by the President. This support was provided through our prime contractor, CH2M Hill-CCPRs, contract with FEMA. PwC professionals have a successful history of providing value-added, custom-tailored solutions to the complex PA policy issues faced by FEMA. From the 2001 September 11th terrorist attacks, through the 2005 hurricane events, 2008 Iowa flooding, and 2012 Superstorm Sandy, PwC management consultants have been on the front lines with FEMA PA executives, providing grant management support, quality assurance, reporting, financial analysis, and support for correspondence and appeals.

Major accomplishments under this contract include:

FEMA- Disaster 4086- NJ Superstorm Sandy

PwC assisted FEMA as part of the Public Assistance Technical Assistance Contract (PA TAC) at the New Jersey Joint Field Office (JFO) with the mission of supporting the FEMA PA leadership with readily accessible program and management expertise by serving in a communications and reporting role. This scalable and adaptable expertise enabled management to efficiently and effectively advance Federal recovery operations in New Jersey. While the role included communications and reporting, PA leadership requested the PwC resource to develop tools and resources to monitor staff productivity, perform special projects by completing program closeout reports, specifically the Sheltering and Temporary Essential Power (STEP) final program report, track, identify, and provide **updates on PA's strategic objectives, which included completing all Requests for Public Assistance (RPAs), provide** support to the Port Authority of NY/NJ (PANYNJ), capture all damages in Project Worksheets (PWs), and provide weekly updates to FEMA Headquarters in the PA Situation report (SITREP) and Incident Action Plan (IAP). In this role, PwC provided support and responded to requests from all levels of management in the PA group and were **able to address issues through identifying and leveraging subject matter expertise and FEMA's data tools including** EMMIE, Dashboard, and Enterprise Data Warehouse. PwC also supported more specific roles within PA Operations including Data Management, Quality Assurance/Quality Control, and Policy.

PwC supported the New Jersey recovery efforts in the role of a Correspondence Specialist in the PA Program Communications branch. This position served as a conduit between the PA field teams, PA policy, and the TRO leadership in addressing and responding to formal PA requests and communications specifically responsible for responding to the State's requests on policy guidance and program acceptance, such as the Private Property Debris Removal (PPDR) Program. In addition to drafting the responses, PwC established and documented correspondence procedures including the review and submittal of correspondence signed by the Federal Coordinating Officer. This endeavor was critical to FEMA's accurate, timely, and appropriate management of the PA Program.

DHS FEMA Office of the Chief Financial Officer - FEMA IPIA Assessment of FY08 Disbursements

Project description

PwC performed a risk assessment of all FEMA programs' disbursements in FY08 to determine whether they were susceptible to significant improper payments as defined by the IPIA, the OMB Circular A-123, Appendix C, and the DHS IPIA Implementation Guide. The risk assessment provided an objective opinion of FEMA's overall risk environment and identified potential high risk programs for further testing. Of the FEMA grant programs reviewed, the Assistance to Firefighters Grant Program (AFG), Homeland Security Grant Program (HSGP), Public Assistance (PA), and National Flood Insurance Program (NFIP) programs were identified as high risk and deemed susceptible to significant improper payments based on statistical sampling performed as part of the assessment. As a result, in FY09, the FEMA OCFO performed IPIA assessments of these programs and contracted PwC to provide support. Additionally, the Individuals and Households Program (IHP), and Disaster Relief Fund (DRF) Vendor Payments (VP) were identified for FY09 testing because the error rates determined in previous IPIA assessments were above OMB's threshold of 2.5% and \$10 million, therefore they were still deemed high risk programs.

DHS FEMA Office of the Chief Financial Officer - FEMA IPIA Assessment of FY08 Disbursements and Quality Control

Project description

PwC has provided support to conduct IPIA Testing to FEMA's Office of Chief Financial Officer (OCFO) since 2006, when several reports from external entities such as GAO required that FEMA evaluate its payment processes through IPIA. PwC's support has evolved and initially included testing of two programs, Vendor Payments and Individuals and Households Program (IHP). Under a task order in which PwC supported the assessment of eight programs, PwC helped the client to develop a Project Management Office to coordinate hundreds of stakeholders, across different Programs, federal, state and local agencies, with different Program requirements and in disparate locations throughout the United States. PwC leveraged its previous work to understand FEMA's gaps and as-is environment and focused on communications management, stakeholder management, training, quality control plans, and schedules to ensure that all testing conducted by federal employees was completed on time and on budget. PwC used a variety of project management tools to transfer knowledge to federal employees and to develop a process in which a federal Program Manager operated the IPIA Assessment Program with reduced contractor support, ultimately saving taxpayer dollars.

PwC helped FEMA OCFO to successfully complete IPIA assessments of all programs ahead of schedule and within budget. Each program's report identified specific issues and provided actionable recommendations for FEMA OCFO, various programs, and Grantees (where applicable) to improve policies, processes, systems, internal controls, and training. FEMA program personnel increased their awareness of IPIA requirements, received training on IPIA assessment execution, and improved their understanding of the areas of risk associated with various Grantee payment processes. In addition, lessons learned were documented including best practices and recommendations which can be leveraged for future assessments. Finally, knowledge on executing IPIA across FEMA's high risk programs was transferred to FEMA OCFO Risk and Compliance staff as well as tester and management from the participating programs.

PwC also implemented a quality control process to maintain consistency in the testing process. The quality control process included an on-site reviewer who was responsible for performing quality control measures on each test. The results of these quality control reviews were communicated to the testers in real-time to enhance testing consistency and proactively address testing complications as they arose. In addition, PwC maintained an oversight queue in the data collection tool that allowed PwC to review special cases and discuss cases as necessary with appropriate program managers. Once these cases were discussed, determinations were documented appropriately and briefed to internal senior management as required. PwC served as a liaison between OCFO and program personnel and provided real-time reporting and progress monitoring on all IPIA assessments to track progress and monitor risks and issues. PwC also established a FEMA OCFO quality control review of sample tests from the various program testing initiatives. This review benefited the overall assessment because it applied a consistent quality standard across all of the testing efforts.

FEMA Hazard Mitigation Technical Assistance Program (HMTAP)/Hazard Mitigation Assistance (HMA) Policy and Guidance Support

Project description

FEMA HMTAP/HMA faced a changing and unpredictable policy development environment and required assistance responding to policy issues, preparing for legislative changes, and improving existing/developing new HMA policies, related materials and tools.

In order to assist FEMA HMTAP/HMA in tackling these challenges, PwC provided a variety of tools and provided a range of technical assistance program support. **PwC's support included the development of a guidance document** that provided a comprehensive list of all HMA policies, as well as a searchable, publicly available database of all HMA helpline responses. Both deliverables provided concise, user-friendly tools to respond to HMA policy issues and requests. PwC also provided grants support to HMTAP/HMA, including the development of a process for providing technical assistance to communities that lack technical capabilities, while maintaining the competitive nature of the grant program. The revised process also included the revision of eGrants questions to closely resemble those asked during the Engineering/BCA NTR and improve capabilities to allow the FEMA regional offices to track and close-out grants. Finally, PwC supported HMA/HMTAP in improving technical guidance for determining recurrence intervals for floods on engaged sites using existing USGS methodologies.

As a result of the legislative, rulemaking, policy, and guidance support provided by PwC, FEMA HMTAP/HMA was able to successfully navigate the ever changing policy environment, understand and respond to policy issues, and develop and distribute improved policy materials and tools.

U.S. Department of Housing and Urban Development – Administrative Funds Control Review

Project description

In response to changes in Federal regulations, the Department of Housing and Urban Development asked PwC to document and recommend improvements to the funds control processes, assess risk of improper payments and determine error rate for their high risk programs, and perform audit recovery services related to procurements under the FAR.

PwC analyzed and documented the fund control processes for approximately 170 individually funded activities, conducted independent reviews and testing of processes, assessed risk, designed and performed audit recovery services, developed process flow charts for all funding activities, created erroneous payment methodologies and reports, and documented a methodology for recovering auditing programs on HUD contract activity. **PwC's support** resulted in recommendations to improve the funds control processes across HUD, the development and implementation of an Improper Payments Risk Assessment methodology and tool set, and the achievement of a GREEN score on the PMA scorecard for Eliminating Improper Payments.

To successfully manage this project, PwC created and maintained a project and quality control plan, developed a communications plan including bi-weekly project status reports, and regularly monitored resources and performance to ensure optimal project efficiency. The project required seamless integration with subcontractors, the use of numerous project management, data mining, statistical analysis and reporting tools, and efficient and effective project management processes.

U.S. Department of Health and Human Services (HHS) Administration for Children and Families (ACF) – Disaster Case Management Pilot Program

Project description

PwC supported the Department of Health and Human Services (HHS) Administration for Children and Families (ACF) to perform an assessment of the Disaster Case Management (DCM) Pilot Program to determine its effectiveness and to identify ways to further develop and strengthen the DCM Program. The scope of this assessment included:

- Reviewing relevant background documentation, creating a project work plan, and developing a Conceptual Framework to guide the assessment;
- Evaluating the efficiency and effectiveness of the DCM Pilot Program by obtaining feedback from key programmatic stakeholders both at Headquarters (ACF and FEMA) and in the field;
- Developing a performance model to measure the success of the DCM operating model and establish a baseline upon which to determine the value of any proposed changes;
- Performing a gap analysis to identify competencies and areas for improvement in the existing DCM operating model to minimize task duplication, facilitate the incorporation of best practices, and promote standardization of activities; and
- Providing targeted recommendations to further improve and monitor the DCM operating model.

U.S. Department of Homeland Security (DHS) FEMA Public Assistance Technical Assistance Contract

Project description

From the September 11, 2001, terrorist attacks, through the 2005 hurricanes and the 2008 Iowa flooding, PwC management consultants have been on the front lines with FEMA PA executives, providing grant management support, quality assurance, reporting, financial analysis, and support for correspondence and appeals. Through extensive field work experience with Joint Field Offices and Long Term Recovery Offices, PwC understands all elements of the disaster recovery process.

In the aftermath of Hurricanes Katrina and Rita, PwC assisted FEMA as part of the Management Support Group (MSG) at the Louisiana Transitional Recovery Office (LA TRO) with the mission of advising and supporting the FEMA PA leadership with readily accessible program and management expertise. The MSG's responsibilities included communications, reporting, program coordination, issue resolution, organizational troubleshooting, and special projects. PwC responded to requests from all levels of management in the PA group and furnished subject matter experts through periodic on site rotations and occasional remote support. PwC also supported the Appeals Liaison (responsible for coordinating appeal communication) and Deputy Lead Public Assistance Coordinator (PAC) within PA Operations, responsible for coordinating all requests from LA TRO staff for information from the Appeals Team and verifying the accuracy of the responses. Additionally, PwC has supported PA Program Management by assisting the State of Louisiana in preparing grant documents and has supported FEMA Region 6 in responding to disaster correspondence and appeals. PwC also provides support for active disasters in all five Region 6 states.

PwC supported the Gulf Coast recovery with a Correspondence Specialist in the PA Program Communications branch. This Specialist served as a conduit between the PA field teams and the TRO leadership in addressing and responding to formal PA requests and communications specifically responsible for responding to the State's requests for time extensions, alternate and improved projects, and other such correspondence. This complex endeavor was critical to FEMA's accurate, timely, and appropriate management of the PA Program.

In response to the 2008 Floods, PwC supported the FEMA disaster recovery operations in Iowa. The varied roles included a PA Task Force Liaison responsible for coordinating the efforts of the Critical Infrastructure, Levee, Water-Wastewater, and Drainage District Task Forces with the PACs and POs in the field. Additionally, our team

U.S. Department of Homeland Security (DHS) FEMA Public Assistance Technical Assistance Contract

Project description

coordinated with the PAO and Deputy Public Assistance Officer on PA management support in all aspects of PA operations: developing and distributing disaster-specific guidance; volunteering to perform data entry quality control; drafting grant management notifications for headquarters review; and working with the TAC Coordinator with on-boarding and deploying new personnel to the field. Moreover, PwC was heavily involved with Data Entry and QA/QC on Project Worksheets (PWs) entered into NEMIS. The QA/QC function was essential to verifying the accuracy of PWs to expedite the funding obligation to the Applicant and ensure the documentation will support audits of funding and eligibility, and ultimately preparing the PWs for the Closeout process.

PwC also performed a key role in the Reports Team in Iowa by performing data analysis and weekly reporting. PwC developed a tool for FEMA leadership to obtain an immediate and real-time holistic picture of the disaster operations. This was particularly important in the wake of large disasters, which required FEMA Headquarters to confer with the Joint Field Office, the Regional Office, and the Grantee on information regarding the projects.

As a result of PwC's scalable and adaptable expertise, federal, state, and local personnel were able to efficiently and effectively advance recovery operations in both Louisiana and Iowa.

New York State Division of Budget- Department of Homeland Security and Emergency Services - Emergency Management Fiscal Policies and Practices Review

Project description

PwC supported a client in evaluating its emergency fiscal management policies, practices, procedures to identify weaknesses and recommend improvements to its emergency preparation and response approach, with a focus on procurement and asset management. The client requested this study since, shortly after Superstorm Sandy, it had experienced significant challenges in reconciling emergency purchasing and procurement activity with vendor payments and with confirming that assets deployed for the emergency remained **in the client's possession**. PwC worked with senior leadership within the NYS government, including within the Division of Budget and Department of Homeland Security and Emergency Services. PwC interviewed key process owners to identify, collect, and analyze purchasing activity related to the emergency. Our consultants designed and implemented an analytics approach and interviewed key process owners involved in the emergency response to identify spend patterns and procurement and asset management inefficiencies in relation to strategic goals, organizational and technological capabilities, coordination and communication with stakeholders, and emergency needs.

Additionally, PwC developed a questionnaire and conducted interviews with similar agencies to identify best practices and benchmarks for the client to consider in the analysis of its current state emergency fiscal management policies and procedures. PwC used this information to develop a detailed report that provided client leadership with an in-depth **view of what occurred during the emergency and where weaknesses exist in relation to the client's** strategy, organizational structure and staffing levels, processes, sourcing approaches, and technological capability. Our team developed recommendations, designing approaches that consider best practices to address root causes of identified weaknesses, and a roadmap with suggested timeline to implement these recommendations in time for the anticipated hurricane season. PwC built this timeline by prioritizing **efforts based on impact and risk to NYS'** emergency response capability. The client has accepted and adopted the recommendations for execution with PwC **support. PwC's support has enabled the client to identify and prioritize an approach to improving its emergency** fiscal management policies and practices to better prepare for the next emergency and implement a more tightly coordinated, timely, organized response to the public.

US Department of Justice (DOJ) - Office on Violence Against Women Grants Financial, Budget, and Program Support

Project description

The Office on Violence Against Women (OVW), a component of the U.S. Department of Justice, provides national leadership in developing the nation's capacity to reduce violence against women through the implementation of the Violence Against Women Act (VAWA). The primary method for delivering aid to victims and achieving mission objectives is through the issuance of grants to state and local governments and educational and not-for-profit institutions. Since its inception, OVW has awarded nearly \$3 billion in grants and cooperative agreements, and has launched a multifaceted approach to implementing VAWA. PricewaterhouseCoopers LLP (PwC) supports a wide range of the OVW's functional activities, including the following:

Program Support: PwC reviews and organizes the grant award recommendation documents, analyzes current grant procedures (e.g., the closeout process), provides recommendations for improvement, and responds to ad-hoc requests related to the financial reporting of program based data. PwC prepared detailed narratives and flowcharts to document and assess the grant closeout procedures throughout OVW and the Office of Justice Programs (OJP) Office of the Chief Financial Officer. PwC developed multiple risk assessments to assess compliance measures of ARRA grant recipients.

Budget Support: PwC performs daily monitoring of the Budget Unit's internal spreadsheets to confirm current and accurate data is presented. PwC conducts weekly reconciliations of the internal spreadsheets with the Financial Management and Information System (FMIS) 2 and the Grants Management System, which are utilized as the operational systems of the grant program specialists. PwC identifies variances and conducts follow-up to determine the cause of the variance(s) and subsequently develops a recommended solution to the variance(s). PwC conducted an assessment of the OVW grant de-obligation procedures to evaluate the adequacy of the controls and the completeness of the formalized procedures. Subsequently, the re-obligation process has been evaluated as well for confirmation that the procedures are sound to account properly for a de-obligated amount that can then be re-obligated to a separate grantee.

Administrative Operations Support: PwC provides key insight to the development of an internal action plan based on results of a recent workforce analysis. PwC coordinates with other agencies within the DOJ environment to develop consistent approaches to the risks and challenges identified through the analysis. PwC prepared a budget monitoring tool to provide the OVW Administrative Officer the ability to monitor available funds daily. The tool consists of a summarized listing of budget expenditures and includes supporting transaction documents. PwC organized and designed a network shared drive structure for OVW to improve efficiency when tracking, storing, and locating OVW saved materials.

Audit Support: PwC serves in a support role to the OVW Audit Liaison to track open Office of the Inspector General (OIG) and OJP audits of OVW grantees. As assigned, PwC serves in the role of the liaison between the auditor and the grantee to closeout prior findings. PwC collaborates with the grantees and the auditor agencies to resolve the audit findings. PwC prepares formal audit response memorandums for submission by the OVW Director. PwC maintains the audit supporting documentation in the Audit Tracking Database.

National Institutes of Health (NIH) - Enterprise Risk Management Program

Project description

NIH required support for its existing risk management policies and procedures for assessing inherent risk and vulnerability in the systems and processes that support the NIH biomedical research mission. The client engaged PwC to develop a new risk management methodology, pilot test the revised process, use the revised process to conduct a NIH Baseline Risk Assessment, and provide support to NIH staff to implement the NIH Risk Management Program.

Development of the NIH Risk Management Methodology: PwC worked closely with NIH and its Office of Management Assessment (OMA) to develop a risk management framework and methodology customized and tailored for use at NIH. A review of existing NIH risk management tools and materials was conducted and compared to known best practices. A series of interviews with NIH stakeholders were conducted to learn about current risk management activities and to identify potential high risk areas. In addition, the project team looked at a number of other Federal organizations risk management programs to incorporate features and lessons learned from these programs into an NIH solution. Using this information and leveraging our Firm's own experience with ERM and internal controls, we developed a six step methodology for NIH that addressed the requirements of the Federal Manager's Financial Integrity Act (FMFIA) and OMB Circular A-123 while also addressing the concerns and specific needs of the NIH. After completion of these activities, assessable units were established based on the NIH mission, and risk management responsibilities were assigned.

Our team reviewed the proposed methodology with OMA and then worked to identify two pilot organizations within NIH where the methodology could be pilot tested. The team conducted pilot testing activities at the Office of Research Services (ORS) and at the National Institute of Allergy and Infectious Disease (NIAID). By selecting one NIH OD office and one IC the team was able to evaluate differences in the use of the methodology at OD Offices and at ICs. At the conclusion of the pilot test, lessons learned were developed and used to create improved guidance and tools. PwC developed the NIH ERM Guidebook to document detailed guidance supporting the six-step NIH ERM methodology. This document provided a detailed description of how each step of the methodology would be conducted and supported.

Development of an NIH Risk Inventory: After the completion of the pilot test and the development of the NIH ERM Guidebook, PwC and OMA conducted a baseline risk inventory within the NIH Office of the Director (OD). The baseline risk inventory was initiated within the OD Offices in order to work with the organizational units that establish and oversee the implementation of the policies and controls that manage risk across the entire NIH enterprise, including the NIH ICs. Results of this "OD Baseline" were summarized in a report provided to OMA along with lessons learned and recommendations for improvement.

Risk Assessments and Control Testing: To support the assessment of priority risks, PwC developed a detailed risk assessment approach designed to guide NIH through the assessment of high-priority risks. This approach was detailed during training sessions with NIH personnel supporting key risk management roles. PwC also developed tools to support risk assessment and remediation activities. PwC further supported risk assessment activities by leading formal working sessions with risk managers and process owners; documenting and analyzing "as-is" processes, developing process maps and process narratives, selecting samples, conducting controls testing, developing controls test results reports and summaries, promulgating findings and recommendations, and supporting corrective action plan development and other remediation efforts.

Current disaster recovery engagements

Current Engagements, contracts and task orders in which PwC is currently providing services for any type of disaster recovery assistance:

Project name	Contracting entity	Scope of services	Contract term
<i>Superstorm Sandy Recovery Office – Integrity Monitoring</i>	New York State Division of the Budget	<p>PwC was engaged by the State to provide program management and integrity monitoring over all of the State’s disaster response, specifically including the CDBG-DR Housing Recovery, SSBG Social Services recovery, HMGP Hazard Mitigation efforts, Transportation, and Environment funding streams.</p> <p>For each of these funds, PwC has worked with various State agencies to design processes, evaluate resources and technology tools and provide integrity monitoring and quality assurance services.</p>	Feb 2013 – Jun 2014
<i>Superstorm Sandy Stockpile Engagement</i>	New York State Division of the Budget	<p>PwC is supporting the State in its efforts to improve emergency management operations, specifically in asset management, stockpile strategy, procurement and contracting. PwC documented Sandy asset management processes and developed recommendations for strengthening future operations. The team developed stockpile management protocols for the new sites and formalized emergency procurement roles and responsibilities for newly created surge staff teams. The team is also working with the State to grow its current offerings of State contracts for use in response to emergencies.</p>	May – October 2013
<i>New Jersey – Sandy CDBG-DR Small Business Recovery Support</i>	Solix, Inc (contracting directly with Solix, Inc who is currently a subcontractor for the NJ Economic Development Authority)	<p>PwC was engaged (1) to assess the CDBG grant application process and to provide recommendations for improvement and (2) provide assistance with the review of applicant information and the documentation of the application files for final review by the EDA.</p>	Sept 2013 - present

Client reference #1

New York State – Sandy Relief SSBG Integrity Monitoring

Contact information

Contact #1:

██████████
NYS Office of Children & Family Services (OCFS)

Contact #2:

██████████
New York State Executive Chamber

Project Description

PwC was engaged to assist the State of New York, and its Health and Human Services Agencies assure that **adequate Integrity Monitoring is built into the Superstorm Sandy’s Social Services Block Grant (SSBG) funds** distribution program. The PwC team:

- Conducted a program readiness assessment, identifying gaps in SSBG program, specifically around policy, process and procedural documents; and worked with OCFS and other State agencies to develop the appropriate documentation as needed
 - Conducted an assessment on Government and State Requirements, and tied them to the program to assure all requirements were addressed throughout the program
 - Identified key controls for the program, both internal and external, and developed the procedures for the external controls
-

Client reference #2

Federal Emergency Management Agency (FEMA), Improper Payments Elimination and Recovery Act (IPERA) Support

Contact information

Contact #1:

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Contact #2:

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Project description

PwC performed a risk assessment of all FEMA programs' disbursements in FY 2009 (i.e., October 1, 2008 through September 30, 2009) to determine whether they were susceptible to significant improper payments as defined by IPIA, OMB Circular A-123, Appendix C, and the DHS IPIA Implementation Guide. The risk assessment provided an **objective opinion of FEMA's overall risk environment and identified potential high-risk** programs for further testing. Of the FEMA grant programs reviewed, eight programs were identified as high-risk and deemed susceptible to significant improper payments based on statistical sampling performed as part of the assessment. As a result, in FY 2010, the FEMA OCFO performed IPIA assessments of these eight programs which included several grants programs, Public Assistance grant program, Individuals and Households, Port Security Grant Program, Assistance to Firefighters Grants program, and contracted PwC to provide support.

Resumes

Project team & resumes

For this project, we have selected a team of experienced consultants who possess specific and relevant experience supporting Federal and State, and City initiatives related to disaster recovery and risk assessments.

This team has a thorough understanding of the monumental tasks that you face. Our team members have significant experience working within the public sector on disaster recovery initiatives, including all aspects of the SSBG process. With our proposed team, we will be able to jump into the project quickly with little time to get up-to-speed as we have familiarity with the federal requirements of the SSBG grant. You will also find that the intangibles of a quality consultant—personal attention, proactive value-add, fast and accurate responses to questions, frequent and ongoing communication—are the hallmarks of PwC’s approach and commitment.

The team will also include PwC Subject Matter Leads who will assist the team on an as-needed basis by providing guidance and advice on regulations.

Sotiris Pagdadis will serve as the Engagement Partner and act as your point of contact for the engagement and be on call to answer your questions and address your concerns.

B. J. Agugliaro, our Managing Partner for the New Jersey practice will also be engaged throughout this project and is available to you to monitor your satisfaction with our work.

Anaita Kasad will serve as the Project Lead and manage the day-to-day work.

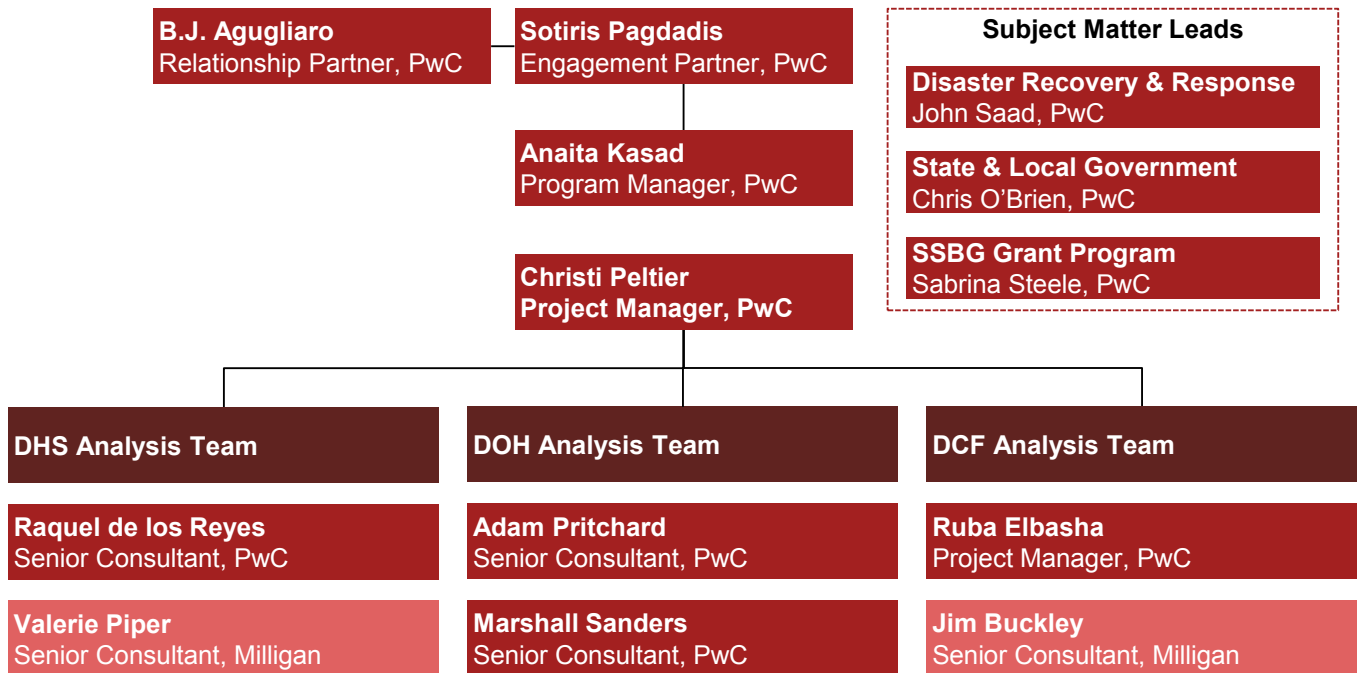


Figure 14: Proposed PwC Team Structure

Resumes for the proposed staff members are detailed below:

B.J. Agugliaro Relationship Partner

Introduction

B. J. has 27 years of experience in PricewaterhouseCoopers' Audit Practice. He has broad-based accounting, auditing, and business advisory experience with some of the Firm's premier clients. B. J. leverages his international industry experience in technology, communications, and industrial product sectors combined with his broad-based technical expertise in accounting, auditing, and business.

B. J. has a strong network of partners within the US firm (including throughout our technology and industrial products practice as well as in our national technical office). Additionally, B. J.'s many multi-national client experiences have resulted in a strong network of overseas contacts in PwC's global practice. He established a successful Executive Roundtable designed to assemble CEOs and CFOs of U.S. registrants living and working in the UK to share topical regulatory developments and emerging issues.

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In addition to direct client responsibilities, B.J. is the Managing Partner for PwC's New Jersey practice, based in Florham Park. B. J. guides firm-wide strategy and operations in the State. He is known for his collaborative approach to building relationships, both in the marketplace and with partners, to anticipate client needs across lines of service and create relevant initiatives and solutions.

Selected clients served

- *L-3 Communications*, Global Engagement Partner (2007 – 2012)
- *Xerox*, Audit Partner for the non-U.S. locations (2001 – 2006)
- *Crane Co*, Global Engagement Partner (2008 – present)
- *Suburban Propane*, Quality Review Partner (2011 – present)
- Other key clients include Fiat, Ferrari, IBM, Kodak, Corning and Siemens

Education

BS, Accounting, Boston College

Sotiris A. Pagdadis, Ph.D.

Engagement Partner

Introduction

Dr. Sotiris Pagdadis is a Principal at PwC with over 25 years of experience consulting with top executives in public and private sector infrastructure management around the globe. He leads State and Local Government Infrastructure projects nationally. Sotiris has helped clients manage the complexities associated with large and complex infrastructure projects, capital development and capital improvements, public-private partnerships, and project financing. **Having developed a risk management framework in the early 1990's he has worked extensively** with the public sector in assessing and managing risks associated with complex projects and programs. His expertise includes: strategic planning, capital project planning, infrastructure assessment, capital project financing, program management, value management, risk management, and operations and technology assessment. Immediately after Hurricane Katrina, Sotiris served on the Disaster Recovery Committee for ACI-NA to assist in the development of a disaster recovery plan for airports across the U.S., as well as the Homeland Security Committee and Emergency Management for ITS America. He also served as part of a panel review for the 1991 World Trade Center bombing rehabilitation. Sotiris currently serves on the Resiliency Committee for the American Red Cross in New York.

Selected project experience

- For the Mumbai Railway Vikas Corporation (June 2012 – March 2013), Sotiris was the project leader for the appraisal of a new railway project in Mumbai. Oversaw the project including; assessment of political risk for the success of the program, funding sources, program management plan and risk management plan, financial feasibility.
- From January 1994 – December 2009, Sotiris was founder and president of the Lambousa Infrastructures Consultancy Group where he pioneered a risk-based management review and project appraisal methodology. He performed risk reviews of mega-infrastructure projects and programs with a cumulative capital cost in excess of \$60 Billion.
- From November 2008 – December 2009, he served as Managing Director of the Transportation Infrastructure Practice at McKenna Long and Aldridge, LLP, focusing on governmental affairs, procurement advocacy, public-private partnerships and privatization.
- From June 2003 – October 2007, he was world-wide vice president of public sector transportation at CA, Inc. There he advised government agencies and private sector clients globally, creating best-of-breed solutions for some of the most prestigious airport and seaport authorities around the world in the areas of asset and portfolio management, services management, and security command and control.

Education

Ph.D, Project Management – MSIS, The University of Texas at Austin, Austin, TX

MS, Engineering - Applied Mechanics, The University of Texas at Austin, Austin, TX

BS, Aerospace Engineering, The University of Texas at Austin, Austin, TX

Anaita Kasad

Program Manager

Introduction

Anaita is a Director in PwC's US State and Local Public Sector practice. She has 13 years of consulting experience and specializes in project management, organizational design, business process reengineering, and data analytics. Anaita's experience includes working public sector, financial services, insurance, and healthcare industries, both in the United States and in Asia. Anaita's recent focus has been serving several New York City and New York State clients with customer experience, operational efficiencies and program management services.

Selected project experience

- Managing the development of an Integrity Monitoring program for Superstorm Sandy funds; including CDBG, HMGP, and SSBG. Managing a team of consultants who are reviewing and identifying gaps in documented policies, processes, roles and responsibilities, creating and designing procedures for all internal and external quality assurance controls to ensure proper funding distribution to eligible applicants, and testing controls to guarantee continuity. (October 2013 – present)
- For the New York City Department of Parks & Recreation (July 2012 – May 2013), Anaita led a team of consultants to evaluate the organizational structure, including infrastructure, training, staffing mix, processes, and supporting technology across the agency's Maintenance and Operations staff. Anaita oversaw the development of a robust staffing model which helped the agency understand staffing needs and articulate their needs for new staff with NYC OMB. Anaita worked with Parks to put forth a series of recommendations around organizational, training, staffing, process, and technology improvements to increase efficiency across Parks staff. She and her team implemented a change to the agency's operating model from district-based to zone-based to allow for shared resources and equipment across maintenance staff.
- For the New York City Housing Authority (NYCHA) (August 2008 – July 2010), Anaita led the analysis and recommendations around developing an improved customer channel strategy, including developing a shared services organizational model, consolidating call centers, and conducting future state staffing analysis. She also provided program management on an agency-wide CRM implementation, including the coordination of functional requirements review, business process analysis, and project plan oversight. She supported the client through contract negotiations with a systems implementation vendor.
- For the State of New York Department of Financial Services (July 2011 – October 2011), Anaita conducted an analysis of their customer interaction processes. She led a team of 5 consultants to analyze and review current processes of managing customer inquiries and complaints, researched best practices across other state agencies and private sector companies, and designed a future state model in which customer inquiries and complaints would be handled in a more efficient and streamlined process. Her recommendations identified over \$3M in annual cost savings opportunities through process efficiencies and resource reallocation.
- For the State of New York (July 2011 – October 2011), Anaita worked with the Department of Budget to consolidate the call center functions of two state agencies onto a single platform. She facilitated discussions with the multiple agencies to finalize service level agreements, manage workforce transition, and develop training guides. Anaita worked with the State to develop an ongoing roadmap on future consolidations including developing tools and templates and key considerations with regard to the governance model of the future state-wide call center model.
- For the NYC Department of Information Technology & Telecommunications (DoITT) (March 2010 – November 2011), Anaita worked with the client to manage the application and implementation for 3 federal AARA grants for \$46 million to increase broadband adoption, awareness and access across the city. She interacted with government agencies and non-profits across the city to develop budgets and program timeline for all three programs. Anaita defined and communicated foundational program management processes across the three programs on federal reporting, status and communications, project plans and budget tracking.

Education

BA Cum Laude, Economics, University of Pennsylvania

Christi Peltier

Project Manager

Introduction

Christi has more than 13 years of experience and is currently a Manager in PwC's State & Local practice. Through PwC's State & Local practice, Christi provides project management, operational readiness, quality assurance, and advisory services to State & Local government clients.

Selected project experience

- Managed the development of an Integrity Monitoring program for Superstorm Sandy funds; including CDBG, HMGP, and SSBG. Efforts included reviewing and identifying gaps in documented policies, processes, roles and responsibilities, creating and designing procedures for all internal and external quality assurance controls to ensure proper funding distribution to eligible applicants, and testing controls to guarantee continuity and determined appropriate technology needed to monitor the end-to-end process. (April 2013 – present)
- For a major public transit agency (January 2011 – August 2012), Christi managed the IV&V and Quality Assurance Team during a Shared Services implementation. The project involved consolidating the back office operations of three separate Agencies under a newly formed organization. As part of this project, the Quality Assurance Team assessed system and operational readiness. Christi also supported the project management office organization by identifying risks and issues and working with the implementation teams to find solutions for them, and worked as liaison across the agencies and the new shared services office. She also led weekly updates about the status of the project to the overall program Governance Committee, to the President of the new organization, and to the Presidents of each of the agencies involved.
- For a major public housing agency (July 2009 – July 2010), Christi and a team of PwC consultants led a program management office (PMO) that oversaw the implementation of new business processes and Siebel Customer Relationship Management (CRM) software to improve the manner in which the housing agency interacts with its residents. The program, which went live in 2011, includes a consolidated call center, improved walk in centers and on-line tools for citizens and residents to apply for public housing, pay rent and log and track maintenance requests.
- For a leading global Internet payments company (May 2009 – August 2009), Christi worked with a cross-functional team to create a strategic planning methodology and framework for a leading global Internet payments company. Through workshops and interviews, Christi help the group develop their mission, vision, goals and objectives, and frame them in a way that they could mobilize the organization to meet the strategic vision.
- For a major life insurance company (April 2009 – May 2009), Christi co-developed the ideation for a micro-site aimed at re-positioning the brand strength for the largest mutual life-insurance company in the United States. The micro-site surpassed the Client's most optimistic traffic predictions by more than 50%.
- For a major credit card company (September 2008 – January 2009), Christi managed the program management office of a large-scale software implementation by managing the scope, schedule and budget of the program.

Education

MBA, University of Michigan, Ross School of Business

BA, Computer Science and Journalism, Indiana University

Raquel de los Reyes

Senior Consultant – DHS Analysis Team

Introduction

Raquel is a Senior Associate in the PwC's State and Local Government Advisory practice. Most recently, she worked with a State government on various projects related to Superstorm Sandy. She has over nine years of experience working for the City of New York. Many of her projects are focused on strategic planning, performance management, process improvement, and organizational design.

Selected project experience

- Participated in an assessment of emergency management policies and practices used in response to Superstorm Sandy as well as a review of Sandy disaster purchases made by the State. Focused primarily on the review of procurement and asset management policies and procedures. This included the identification and evaluation of current policies and procedures against organizational goals and an assessment of risks, gaps, and best practices from other states. Contributed to the development of recommendations and an implementation roadmap to improve emergency management operations at the State. (February – March 2013)
- Managed a team that documented the inventory of assets purchased in response to Superstorm Sandy by a State government and conducted a sample floor to book inventory to review the accuracy of current inventory records. Reviewed the process for deploying, locating, and maintaining assets in its inventory management system and developed recommendations for improving processes and systems in the short and long-term. (March – August 2013)
- Currently, managing a team to analyze and make recommendations on the inventory of emergency management assets and management of stockpiles owned by a State government. Facilitate working sessions with key State staff to determine gaps in existing contracts needed to supplement existing inventory and draft protocol documents for emergency procurement and stockpile management. Work with several State agencies to prepare a long-term vision for processes and tools used to respond to emergencies and disasters. (May 2013 – present)
- At the City of New York, Department of Information Technology and Telecommunications (DoITT) (March 2009 – October 2012), Raquel served in roles that included Chief of Staff to the Commissioner and Senior Director of Policy and Planning. Advised the Commissioner and senior staff on policy positions regarding **agency direction and priorities, including the City's IT consolidation project, CITIServ, as well as on the management of the operating budget, confidential human resources and facilities matters.** Worked with other city agencies to resolve issues during project implementation by working closely with stakeholders at all levels, gaining buy-in, problem solving, and tracking key deliverables. Worked with divisions to identify long and short-term initiatives that fit into the agency's strategic goals and developed indicators that measure performance on key projects. Collected and analyzed indicators for agency operational objectives. Assisted in the development of a citywide IT vendor management program. Spearheaded the creation of the Office of **Professional Development and launched DoITT's employee engagement and recognition programs, including mentorship, peer cross training programs, and monthly individual and team recognition events.** Developed diversity plans for IT staffing.

Education

Master of Urban Planning, New York University
BA, International Relations, The College of William and Mary

Valerie Piper, AICP

Senior Consultant, Milligan – DHS Analysis Team

Introduction

Valerie's areas of expertise include: economic development, grant compliance, land use and transportation policy, and open space. She has provided oversight on projects that receive Pennsylvania Office of the Budget's Redevelopment Assistance Capital Program, Federal Section 108 loan funds, Low Income Housing Tax Credits, and various other state, federal, and local sources. She has worked closely with metropolitan planning organizations, municipalities, and non-profits in policy analysis for strategic planning. Valerie has conducted federal oversight for Federal Transportation Administration grant recipients and evaluated financial soundness of their operating and capital budgets. She is certified by the American Institute of Certified Planners.

Selected project experience

- For the Commonwealth of Pennsylvania, Pennsylvania Office of the Budget (April 2004 – present), Valerie served as the Senior Project Manager on oversight of economic development projects funded through state and federal grants. Milligan provides technical assistance, financial reporting, compliance review, and oversight services for grant-funded projects.
- For the Commonwealth of Pennsylvania, Transportation Funding and Reform Commission (January – November 2006), Valerie reviewed the capital and operating budgets of two Pennsylvania transit agencies. The team prepared summary reports used to compile a complete audit of each system and made recommendations to a state appointed commission regarding the soundness of their operating and capital budgets.
- For the Federal Transit Administration, Transportation Equity in Emergencies (April – October 2006), Valerie analyzed census tract demographic data to identify above average populations of disadvantaged persons in relation to the transit service area. Data generated was used for a Post-Katrina review of the practices of state departments of transportation, metropolitan planning organizations, and transit agencies in 20 metropolitan areas for aiding disadvantaged persons during emergencies.
- For the New Jersey Institute of Technology/Federal Highway Administration, TELUS Economic Land Use Model (TELUM) (January 2002 – April 2004), a mapping and policy analysis tool, the TELUM interface design, was made for planners to forecast household and employment locations up to 30 years into the future. Valerie led a design and implementation team in building a user interface and Geographic Information System application for DRAM/EMPAL. DRAM/EMPAL models to produce regional forecasts of households and employment.

Education

Master in City Planning, University of Pennsylvania, Philadelphia, PA
BS, Management, Slippery Rock University, Slippery Rock, PA
American Institute of Certified Planner (AICP), Number: 020605

Adam Pritchard

Senior Consultant – DOH Analysis Team

Introduction

Adam is a Senior Associate within PwC's Public Sector Practice (PSP) with over six years of consulting experience. During his time at PwC, he has helped design and implement a variety of different solutions for Federal, State, and commercial clients. Focusing the majority of his efforts on the Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA), Adam has helped FEMA clients remediate audit deficiencies identified in its annual audit and increase the auditability of its financial statements.

Selected project experience

- **Team Member, NYS Department of Budget, Integrity Monitoring for Superstorm Sandy HMGP, FTA-ER & FHWA-ER funds** (July 2013 – present): Client requested the development and/or execution of an Integrity Monitoring function across the NYS Superstorm Sandy funds. Worked closely with the State including New York Governor's Office, DHSES, DOT, MTA, and PA NY/NJ, to establish and/or validate Integrity Monitoring across the distribution of Superstorm Sandy funds by (a) assessing and evaluating policies and procedures in regards to Federal and State requirements; (b) assessing, evaluating and developing processes for the programs to administer the funds; (c) assessing, developing, and establishing internal and external controls across the end-to-end programs; and (d) leading and monitoring the execution of the external controls.
- **Team Member, NYS Division of Homeland Security Emergency Services, Office of Emergency Management, Protocol Project** (April 2013 – June 2013): Client requested the development of a framework for (a) assessing and evaluating emergency preparedness levels across New York counties and local jurisdictions; and (b) determining the conditions under counties may require State support and resources to effectively respond to an emergency (County Emergency Preparedness Assessment [CEPA]). Worked closely with the New York Governor's Office and DHSES to design a detailed framework for CEPA. Developed a survey tool to support the data capture and manipulation related to CEPA field visits. Survey tool was designed to streamline field visits by collecting answers to field visit questions and automatically scoring responses numerically – both at the individual question level as well as aggregately across each emergency management capability area.
- **PwC Lead, FEMA Office of the Chief Financial Officer, Risk Management and Compliance, Fleet Card Remediation** (February 2012 – November 2012): Client requested the remediation of several deficiencies in FEMA's Fleet Card Program that were identified in FY11 compliance assessments. Analyzed FY11 compliance assessment documentation (to include Control Evaluation Matrices [CEMs] and accompanying narratives), program manuals, and other documentation to understand as-is processes and the known deficiencies within the Fleet Card Program.
- **Project Lead, FEMA OCFO, RMC, Statement of Budgetary Resources Risk Assessment Phase II** (September 2012 – December 2012): Led a risk assessment to provide a detailed quantitative and qualitative analysis of the risks threatening the auditability of one of FEMA's financial statements, the SBR. Performed extensive research around risk assessment 'best-practices' and utilized internal network of SMEs to add structure and value to risk assessment. Research included review of the Commission of Sponsoring Organizations (COSO) Framework and Federal Audit Manual (FAM).

Education

BS, Economics, University of Virginia

Certificate in Strategy and Performance Management (Georgetown University)

Marshall Sanders

Senior Consultant – DOH Analysis Team

Introduction

Marshall has 10 years of Homeland Security experience and currently serves as a Senior Associate in the Washington Federal Practice at PwC. Marshall currently serves on the FEMA account team and has provided financial and grants management support to the FEMA Office of the Chief Financial Officer (OCFO) and program **management, communications, and reporting support to FEMA's Public Assistance Program**. Marshall is knowledgeable on Public Assistance (PA) guidelines serving on disaster deployments to New Jersey and Louisiana administering the Public Assistance Grant Program in response to Hurricane Sandy and Hurricane Katrina/Rita. On these deployments, Marshall most recently served as a reports specialist in New Jersey and a Public Assistance Coordinator (PAC) administering Public Assistance grants in Louisiana.

Selected project experience

- **FEMA, Office of the Chief Financial Officer, Risk Management and Compliance, Improper Payments Elimination and Recovery Act (IPERA)** (June 2013 – present): Marshall is currently leading the planning, development and implementation of the FY14 IPERA Risk Assessment to determine the high risk programs to be assessed during the FY14 IPERA assessment. Responsibilities include developing a project schedule, conducting interviews with key stakeholders, determining an overall level of risk for key areas determined by DHS, and incorporating the risk scores into a comprehensive risk matrix. In addition, Marshall is responsible for providing key program management expertise to conduct planning for the FY14 IPERA assessment for **FEMA's high risk programs identified in the Risk Assessment**.
- **FEMA, Public Assistance Technical Assistance Program, Hurricane Sandy** (January 2013 – June 2013): Marshall was most recently deployed on the FEMA Public Assistance Technical Assistance Contract (PATAC) in response to Hurricane Sandy in New Jersey. Serving in the Public Assistance Communications and Reporting team, Marshall prepared ad hoc reports to management to report on program staff productivity in the completion of grant applications. The report served as a management tool for the coordination of staffing resources and assists in projecting the timeline of completion of the Program. In the role as a communications specialist, he provided official responses to congressional and media inquiries on project status, Applicant eligibility inquiries, and guidance on Program policies, laws, and regulations. Marshall performed special projects for PA management including writing the Sheltering and Temporary Essential Power (STEP) final **program. Marshall also reported on, tracked, and provided FEMA with updates on PA's strategic objectives** which included completing all Requests for Public Assistance (RPAs) and reported on progress at the Port Authority of NY/NJ (PANYNJ). Marshall also compiled the weekly updates for the PA Situation report (SITREP) and Incident Action Plan (IAP).
- **FEMA, Improper Payments Information Act** (January 2012 – December 2012): Marshall supported FEMA's Office of Chief Financial Officer (OCFO) to conduct Improper Payments Information Act of 2002 (IPIA) Assessments of Fiscal Year (FY) 10, 11, and 12 disbursements for FEMA Grant programs. Marshall has provided program management support through each phase of the testing process including planning, test plan development, establishing a documentation protocol including documentation collection, testing support, training, and results reporting ultimately assisting FEMA OCFO maintain compliance with the rules and requirements outlined by OMB, the OIG, and DHS.
- **FEMA, Grants Monitoring Initiative** (May 2012 – December 2012): Marshall supported FEMA's Office of the Chief Financial Officer to develop a to-be process to improve the FEMA-wide grants monitoring process which includes recommendations on process improvements, implementation of best practices identified through analysis of FEMA Regions and benchmarking agencies, and recommend the implementation of future tools to improve the overall effectiveness of FEMA's financial monitoring plans. Marshall's role includes taking a deeper dive and analysis of FEMA's monitoring activities including Site Visits and Desk Reviews, FEMA's overall grant selection and assessment process, and FEMA's process for resolving issues, findings, and corrective action plans.

Education

BA, Economics and Spanish, Clemson University

Ruba Elbasha

Project Manager – DCF Analysis Team

Introduction

Ruba is a Manager in PwC's Public Sector Practice and has eight years of experience supporting Federal and State agencies in the areas of financial management, audit readiness, and program and process management. Her experience includes OMB Circular A-123 Compliance, financial and budgetary data analysis and reconciliations, budget execution and monitoring support, Improper Payments Elimination and Recovery Act (IPERA)/Information Act (IPIA) compliance, program management office advisory and oversight support, business process reengineering support, audit readiness and remediation support, internal controls assessment and implementation support, and regulatory compliance support.

Selected project experience

- **Managing efforts to conduct a user fee review of a program office within FEMA's National Preparedness Directorate**, with a focus on OMB Circular A-25 compliance, internal controls, and SOP effectiveness. (May 2013 – present)
- Managed efforts to conduct tests of design and tests of operating effectiveness over internal controls around the payment management process at several DHS components. Assisted with planning for internal control assessment scope and approach utilizing an implemented risk-based approach. (March 2012 – February 2013)
- **Managed efforts to review internal controls, process, and technology around New York State's disaster response and recovery approaches**, with a focus on procurement and asset management. (February 2013 – May 2013)
- Served as the manager on a team charged with providing accounting, operational, and program management support to a federal client for its reimbursable agreement program. Developed and implemented a methodology to analyze accounting data and supporting documentation for over 2,000 reimbursable agreements to remediate aged accounts receivable and unfilled customer orders for a federal client. (April 2009 – December 2011)
- Served as a manager on an Improper Payments Information Act assessment over federal grants provided to airports under the Airport Improvement Program at the Federal Aviation Administration. (August 2009 – September 2009)

Education

MBA, The George Washington University

BS, Finance, University of Maryland

Jim Buckley

Senior Consultant, Milligan – DCF Analysis Team

Introduction

Jim has more than 35 years of transit industry expertise as related to research, project management, fleet operations, equipment infrastructure, and safety and security. He performs transportation compliance reviews, security assessments, and emergency preparedness plans. He served as a deputy administrator and operations and maintenance manager of major regional transit authorities. Jim is a Certified FEMA Disaster Relief Inspector.

Selected project experience

- For the US Department of Transportation, Federal Transit Administration (2007 – present), Jim serves as the **Lead Reviewer of Triennial Reviews of FTA grantees' compliance with USDOT, FTA and federal** requirements.
- For the US Department of Transportation, Federal Transit Administration (June 2008 – present), Jim served as the Lead Reviewer and technical liaison for this engagement to analyze capital project funding and review **MTA's internal controls**. He led the development of a comprehensive process and procedures manual for the Capital Programming Division to strengthen internal controls over the federal funding process.
- **Assisted the FTA's Lower Manhattan Recovery Office (LMRO), which was established** to administer \$4.5 billion in federal funds towards transportation infrastructure improvements needed as a result of the 9/11 disasters. The LMRO office required assistance during peak demand times, such as the grant amendments and budget revisions, for the World Trade Center Port Authority Trans-Hudson (PATH) and Fulton Street grants. Specifically assistance was targeted for:
 - Quality Assurance for budget revisions, electronic submissions
 - Monitoring grant status and required grantee submissions
 - **Communication with FTA's Project Management Oversight Consultants (PMOC) consultants**
 - Technical team training on grants management. (2006)
- Managed performance of voluntary Security Assessments and security perception surveys of transit grantees. (2001)
- Reviewed snow emergency plans of transit systems impacted by the Blizzard of 1996. Directed case studies of MBTA, CTA, Metro North, and Long Island Rail Road. (1996)
- Maryland Transit Administration (MTA), Deputy Administrator, Baltimore, MD: Responsible for the daily executive management of the MTA., which was comprised of 480 management staff, 80 engineers, 2,100 union employees, 850 buses, 100 metro rail cars, 53 light rail cars, 44 diesel and electronic locomotives, 110 commuter rail cars, 94 support vehicles, 44 transit stations, four bus divisions, two rail divisions, and the **MARC Commuter Rail System. Also served as the MTA's Director of Operations and the Director of Maintenance.** (1983-1996)

Education

BS, Industrial Management, Villanova University, Villanova, PA

John Saad

Subject Matter Lead – Disaster Recovery & Response

Introduction

John has more than 17 years of experience and is a Partner in PwC's Advisory Line of Service where he leads the firm's account with the Federal Emergency Management Agency (FEMA) and Customs and Border Protection Agency within the US Department of Homeland Security. John has a team of over 40 staff engaged on projects throughout FEMA and CBP in support of a number of programs including the monitoring and assessment of FEMA's multi-billion post disaster grant programs for improper payments in conjunction with the Improper Payment Recovery and Elimination Act (IPERA), the alignment of mission spend to budgets, as well as program reviews and the implementation of enterprise risk management programs.

Selected project experience

- For the U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) Federal Insurance and Mitigation Administration (FIMA) Risk Insurance Division (RI) PMO (March 2011 – March 2013): John led a team that implemented a phased PMO support approach that integrated effective program and project management and supported the documentation of numerous key processes through SOPs, reference guides, and process maps, including Change Control, On-boarding and Off-boarding, Process Improvement, Executive Dashboard Reporting, Correspondence Management, and RID Debt Collection. Supported the Division in implementing improvements to the documented processes by developing business cases for the change control board, supporting IPTs.
- For DHS, FEMA, Individuals and Household Program (IHP) (July 2007 – February 2009), John led a project to remediate the current recoup and collection processes and procedures. John's team used a three track approach, which includes policy, data, and process analysis. These analyses were used by FEMA management to provide options for debt collection that comply with governing laws and regulations, obtaining a current operating picture of recoup data, and providing recommendations for a more streamlined, robust, and policy-driven process.
- For DHS, FEMA, Program Analysis & Evaluation Division (PA&E) Baseline, Program Directorate (GPD) (June 2009 – May 2010), John served as the engagement executive in support of FEMA's Office of Program Analysis, Program Analysis and Evaluation a comprehensive program review of GPD. Gathered headquarter and regional grant management lifecycle data and compared GPD's operation to 8 other federal grant making entities, developing a detailed quantitative and qualitative analysis that has been delivered to FEMA Senior Leadership and the Office of Management and Budget.
- For DHS, FEMA, Office of the Chief Financial Officer (OCFO) (April 2009 – October 2009), John led a team that supported numerous tasks, including: accounts payable accrual, policies and procedures, financial statement support, knowledge retention, entity level controls, NFIP reconciliation, undelivered orders, internal use software, audit readiness, A-123 planning, audit liaison, map monitoring, and improper payment information act support.
- For the U.S. Department of Justice (2011 – 2012), John assembled and managed a team of over 30 **professionals for the economic valuation of personal injury claims submitted to the DOJ's September 11th Victim Compensation Fund and worked with the Special Master's Office and DOJ attorneys to develop the processes used to effectively train new staff, organize work flow, and adjudicate over 3,000 personal injury claims over a 15-month period.**

Education

MBA, Finance & Strategy, University of Maryland

BS, Finance, University of Maryland

Chris O'Brien

Subject Matter Lead – State & Local Government

Introduction

Chris leads PwC's State and Local Government Advisory Practice in the US. He has more than 20 years of experience helping companies and governments develop innovative strategies to achieve improvements in performance. He has worked with health care, retail and energy companies, but his primary focus has been serving dozens of US State and Local government clients as they seek to enhance service to citizens, reduce costs, increase efficiency and implement process improvements by enabling technology. Prior to joining PwC, Chris served as the Chief Information Officer for the City of Chicago, where he oversaw several large scale technology programs, such as the City's Enterprise Resource Planning (ERP), 311 customer service center and eCommerce platform implementations.

Selected project experience

- In the aftermath of Superstorm Sandy (November 2012 – December 2012), Chris supported Governor Cuomo and the State of New York in estimating the cost of the damage and the amount required for mitigation efforts to prevent future loss stemming from natural disasters related to climate change. Chris worked at the local and State level to vet the approach taken in tallying the figures and supported the Governor in his meeting with the State's Congressional delegation to present the total request in funding, \$32.8 billion in repair and restoration costs and \$9.1 billion in mitigation and prevention costs: approximately \$42 billion in aid.
- For the State of New York (April 2013 – present), Chris is leading an effort to create controls and monitor the **integrity of the State's \$30 billion in disaster** recovery funding following Superstorm Sandy. This effort involves designing processes across health care, transportation, housing, disaster mitigation and small business portions of the recovery effort.
- For the New York City Department of Parks and Recreation (July 2012 – May 2013), Chris led an effort to design a new operating model to meet the rising demands for open spaces during a time of declining resources. Chris and his team conducted a detailed analysis of how field work is performed, identifying several inefficiencies that affected the utilization of park employees. The team also created a staffing model that allowed the department to determine the optimal staffing level for each park given its features. The resulting effort allowed parks to gain the equivalent of 400 new workers through efficiencies and new hiring.
- For the State of New York (February 2012 – May 2012), Chris led a team to analyze operations state-wide, assessing expenditures on back-office functions (finance, HR and procurement) and front-office functions (customer relationship management). The analysis laid the foundation for a new operational strategy for the state that includes the development of a shared services organization for business and customer services.
- For New York City's Metropolitan Transportation Authority (September 2009 – August 2012), Chris led an IT assessment of the applications, infrastructure and service delivery for this \$11B organization. The fact base and inventory allowed IT consolidation and application rationalization that will yield more than \$20M in annual savings.
- For the City of New York (September 2011 – December 2011), Chris led a team responsible for creating a long-term economic development vision and strategy for Staten Island. The work involved categorizing all of the assets of Staten Island, identifying high-growth sectors of the economy and creating a match between assets and sectors. The team interviewed dozens of City officials, academics and economic development thinkers to craft a plan that would yield "game changing" results for the City and Staten Island.

Education

MBA, J. L. Kellogg Graduate School of Management, Northwestern University

BA, Political Science, Catholic University of America in Washington, D.C.

Sabrina Steele

Subject Matter Lead – SSBG Grant Program

Introduction

Sabrina is a Senior Associate in PwC's Public Sector practice with a focus on risk mitigation and the prevention of fraud, waste, and abuse. She has over four years of federal consulting experience and has experience implementing OMB Circular A-123 Managements Responsibility for Internal Control requirements, as well as experience in the Social Services Block Grant (SSBG), the American Reinvestment and Recovery Act (ARRA) reporting, training development, knowledge retention, and project management.

Selected project experience

- ***New York State Department of Budget, Integrity Monitoring for Superstorm Sandy SSBG fund*** (August 2013 – present): Currently serve as the SSBG fund lead for seven health and human services state agencies to establish and validate Integrity Monitoring across the distribution of Superstorm Sandy funds by (a) assessing / developing / evaluating policies and procedures in regards to federal and state requirements; (b) assessing / developing / evaluating processes for the programs to administer the funds; (c) assessing / developing / establishing internal and external controls across the end-to-end programs; and (d) leading and monitoring the execution of the external controls. In addition, provided audit-readiness guidance and recommendations in compliance with federal regulations.
- ***General Services Administration (GSA) OCFO, IPERA Risk Assessment and Ongoing Compliance*** (April 2012 – August 2013): In 2013, served as the project lead for the follow-up testing and corrective action plan effectiveness review of programs high in risk for improper payments. In 2012, conducted a risk assessment with the OCFO to assess payments made to federal contractors and vendors in FY2011. The risk assessment reviewed payments made from 12 GSA programs to determine whether any payments proceeded were deemed as improper by OMB Circular A-123 Appendix C. The programs included in this assessment were payments made from the following budget activities: major repairs and alterations/new construction; minor repairs and alterations; rental of space; purchase cards; global supply service; building operations; assisted acquisition services; acquisition services fund overhead; integrated technology services; travel, motor vehicle and card services; and general management and administration.
- ***GSA OCFO, Purchase Card Program Continuous Monitoring*** (November 2012 – February 2013): Supported the continuous monitoring of the GSA Purchase Card Program engagement – a result of the high risk determination of improper payments risk assessment. Tasks include the assessment and gap analysis of the roles and responsibilities of three different program offices involved with the execution of the purchase card program, recommendations to create a streamlined purchase card review process, and training development for payment sampling procedures.
- ***GSA Office of Design and Construction, Contract Audit Review*** (October 2012 – December 2012): Led regional site visits and reviewed ARRA funded contract modifications for the Public Buildings Service to identify contacts determined to have improper obligations and undefinitized funds that would soon be lost due to provisions of the ARRA. Tasks included training team members to review construction contracts and determine undefinitized funds, creation of a contract modification review template, development of a contract modification review guidance, and the review of contract modifications to determine amounts obligated, amounts expensed, and amounts remaining.
- ***General Services Administration (GSA), OCFO, Data Analytics: Supported the development of the report, Internal Controls Over Financial Reporting*** (June 2012 – September 2012): Assessment of Obligations and Expenditures. This report summarized the findings of a data analytics project which assessed GSA's expenditure types, and compared them to GSA's federal budget. The report provided recommendations to the OCFO for improvements to the execution and internal controls of the budget execution process.

Education

BS, Finance, Accounting Concentration, Virginia Tech, Blacksburg, VA

Pricing and budget

Pricing and budget

As requested in the RFO, we provide below a detailed cost schedule outlining the labor mix required and costs required to complete each of the required tasks and deliverables. The hourly rates listed in the cost proposal below are the agreed-upon hourly rates from our Master Services Agreement with the State of New Jersey (Contract for Auditing & Other Related Services for Disaster Recovery (Hurricane Sandy) #A84754).

Staff Name	Labor Category Title	Hourly Rate	Task 3.1 – Kick Off	Task 3.2 – State Agency Risk Assessment	Task 3.3 – County Level Risk Assessment	Task 3.4 – Program Level Risk Assessment	Task 3.5 – Debrief Session	Task 3.6 – Status Reporting	Task 3.7 – Physical Copies of Final Reports	Total Hours	Total Costs
S. Pagdadis	Partner	\$395	4	10	10	10	2	6		42	\$16,590
A. Kasad	Program Manager	\$340	8	32	32	31	5	12		120	\$40,800
C. Peltier	Project Manager	\$300	8	32	32	31	5	12		120	\$36,000
R. Elbasha	Project Manager	\$300	2	78	78	79	3			240	\$72,000
R. de los Reyes	Senior Consultant	\$195	1	79	79	79	2			240	\$46,800
A. Pritchard	Senior Consultant	\$195	4	77	77	78	2		2	240	\$46,800
M. Sanders	Senior Consultant	\$195	4	78	78	78	2			240	\$46,800
V. Piper	Senior Consultant	\$195		66	66	66	2			200	\$39,000
J. Buckley	Senior Consultant	\$195		66	66	66	2			200	\$39,000
J. Saad	Subject Matter Expert	\$380	2				3			5	\$1,900
C. O'Brien	Subject Matter Expert	\$380	2				3			5	\$1,900
S. Steele	Subject Matter Expert	\$380	2	10	8	8	2			30	\$11,400
TOTAL			37	528	526	526	33	30	2	\$1,682	\$398,990

