PFM
The PFM Group
Public Financial Management, Inc.
PFM Asset Management LLC
PFM Advisors

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April 22, 2013

Gary Terwilliger, Procurement Specialist
State of New Jersey
Department of the Treasury
Division of Purchase and Property
Trenton, NJ 08625-0230

VIA EMAIL

Dear Mr. Terwilliger:

On behalf of Public Financial Management, Inc. and our proposal subcontractor partners, Solix Inc., Testware Associates, Broad Data Services, The Casey Group, and Bryant Staffing, it is my pleasure to present you with this Best and Final Offer (BAFO) proposal for business process consulting services related to Superstorm Sandy Recovery. Based on the broad experience of our firms, our extensive knowledge of State and Federal programs, and our significant presence in New Jersey, we are certain that we can deliver high-confidence, high-value results for the State, its citizens and businesses.

As directed, we are resubmitting our Price Schedule (attached) with revised prices and have marked it "BAFO" with our company name and date. We have taken this process very seriously, as we understand the importance of this project to the State of New Jersey, its citizens and businesses. We have modified our price proposal with an understanding that we must be able to attract and retain qualified individuals to ensure its success.

We would note that while we have reduced our hourly rates, we have maintained the original proposal's maximum annual not to exceed fee at a combined $12,000,000. We are committed to vigilance in billing – our goal is to help the State get every dollar possible into assistance for New Jersey citizens and businesses impacted by Superstorm Sandy. At the same time, we understand that time is of the essence, and there are significant unknown factors associated with getting a new program up and running. We are confident that the reduction in hourly rates included in our BAFO will reduce the overall program costs for the State with no degradation in service quality.

As directed, the entire price schedule has been completed and resubmitted. Our revised BAFO prices are, across the board, reduced from our original proposal.

Our revised BAFO prices maintain all the commitments stated in our original proposal and meet all of the requirements specified in the RFP and addenda. No other aspect of the proposal has been changed.

As with our original proposal, we believe that the PFM team provides an exceptional mix of knowledge, capacity and abilities that can generate high-impact, positive results for the State of New Jersey. We are gratified by the opportunity to present this BAFO, and look forward to further dialogue with you.

Sincerely,

Public Financial Management

John Cape
Managing Director

NEW JERSEY ECONOMIC DEVELOPMENT AUTHORITY

BUSINESS PROCESS OUTSOURCING CONSULTING SERVICES - SUPERSTORM SANDY BUSINESS RECOVERY GRANT PROGRAM

HOURLY RATES

All Bidders MUST submit a detail of labor titles/positions to be used in performing the requirements of this RFQ. The Bidders must indicate an Hourly Rate for each labor title/position.

	POSITIONS/TITLES to be ASSIGNED to PERFORM the SCOPE OF WORK	HOURLY RATE YEAR 1	HOURLY RATE YEAR 2	In House Staff	Subcontracted Staff
				Proposer shall indicate whether each position/title will be provided with In-House or Subcontracted Staff **Check One that Applies**	
1	Claims Representative - Contractor site	$64.62	$65.97		X
2	Claims Representative - Government site	$47.58	$48.94		X
3	Initial Reviewer - Contractor site	$75.30	$76.98		X
4	Initial Reviewer - Government site	$58.27	$59.95		X
5	Final/Specialist Reviewer/Supervisor - Contractor site	$93.32	$95.54		X
6	Final/Specialist Reviewer/Specialist - Government site	$76.29	$78.51		X
7	Project Manager	$125.02	$128.19		X
8	Systems Subject Matter Expert	$167.19	$171.62		X
9	Business Subject Matter Expert	$150.36	$154.29		X
10	Program Manager	$172.02	$176.59		X
11	Managing Director	$274.03	$280.07	X	
12	Senior Managing Consultant	$249.13	$254.61	X	
13	Consultant	$209.25	$213.86	X	
14					
15					
16					
17					

MAXIMUM ANNUAL NOT TO EXCEED FEE

The Bidder MUST provide the Maximum Annual Not To Exceed Fee on line 18 of this price sheet.

		YEAR 1	YEAR 2
18	*MAXIMUM ANNUAL NOT TO EXCEED FEE:*	*$9,000,000*	*$3,000,000*

BUSINESS RECOVERY PROPOSED ANNUAL BUDGET

The Bidder MUST provide its proposed budget to facilitate satisfying the requirements of this RFQ (see Section 4.2.5: Price Schedule/Sheet). Line 19 of this price sheet must reflect the total proposed budget. A seperate spreadsheet with supporting detail, in MS Excel format, backing into the proposed budget must be provided by the bidder with this price sheet. Failure to provide all required pricing may result in the Quotation being deemed non-responsive.

		YEAR 1	YEAR 2
19	*TOTAL ANNUAL PROPOSED BUDGET:*	*$225,000,000*	*$75,000,000*

EQUIPMENT USAGE CHARGES

The Bidder MUST provide equipment usage charges on line 20 of this price sheet and must reflect the total cost for equipment usage to meet the requirements of this RFQ.

		YEAR 1	YEAR 2
20	*TOTAL EQUIPMENT USAGE CHARGES:*	*$51,133*	*$29,247*

TRAVEL EXPENSES AND REIMBUREMENTS

The Bidder MUST provide the not to exceed travel expenses and reimburements on line 21 of this price sheet. The Bidder shall reference section 3.10: Travel Expenses and Reimburements for requirements and guidelines.

		YEAR 1	YEAR 2
21	*TOTAL NOT TO EXCEED TRAVEL EXPENSES & REIMBUREMENTS:*	*$288,505*	*$196,011*

RDQ for Business Process Outsourcing
Superstorm Sandy Recovery

Budget Category		Year 1		Year 2		Total Contract
Application Processing	$	5,592,290	$	1,903,903	$	7,496,194
Travel Expenses and Reimbursements	$	288,505	$	196,011	$	484,516
Equipment Usage	$	51,133	$	29,247	$	80,379
Account Management	$	575,879	$	318,430	$	894,308
IT Development and Operations	$	858,129	$	369,755	$	1,227,884
Annual Proposed Fee	$	**7,365,936**	$	**2,817,346**	$	**10,183,282**
Efficiency Assessment Fee	$	562,500	$	187,500	$	750,000
Proposed Funds to be Disbursed	$	217,071,564	$	71,995,154	$	289,066,718
Fund Amount	$	**225,000,000**	$	**75,000,000**	$	**300,000,000**

New Jersey Department of the Treasury

Division of Purchase and Property

Request for Quotation

Business Process Consulting Services
Superstorm Sandy Recovery

Volume 1

April 11, 2013

The PFM Group
Public Financial Management, Inc.
PFM Asset Management LLC
PFM Advisors

SOLIX
Transparent Solutions, Visible Results

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Table of Contents – Volume 1

April 11, 2013

Gary Terwilliger, Procurement Specialist
State of New Jersey
Department of the Treasury
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Trenton, NJ 08625-0230

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As you will see in the following pages, PFM is a unique organization, led by former government managers who remain committed to high quality management and service delivery. The PFM team is led by two former State Budget Directors who, collectively, have over half a century of State government experience. As a result, the team brings a depth of expertise across a broad range of state programs and services. This includes experience with service delivery, financial management, process improvement and federal compliance. It has included work with other governments grappling with the impact of major natural disasters, including the city of New Orleans in the weeks and months after Hurricane Katrina and the State of New York after Superstorm Sandy.

We are particularly pleased to be joined in this proposal by Solix, Inc., a highly respected New Jersey-based firm with a reputation for delivering business services and solutions that meet the needs and expectations of governments across the country in highly technical areas related to eligibility-based services. PFM will further augment their resources with the addition of four certified NJ small businesses, Testware Associates, Broad Data Services, The Casey Group, and Bryant Staffing.

Each of the firms included in this proposal brings New Jersey insight and experience that will be valuable for this challenging and critical recovery project. Taken together, we believe the PFM team provides an exceptional mix of knowledge, capacity and abilities that can generate high-impact, positive results for the State of New Jersey. We are gratified by the opportunity to present this proposal, and look forward to further dialogue with you.

Sincerely,

Public Financial Management

John Cape
Managing Director

II. Section 2 – Technical Quotation

Section 2 – Technical Quotation

Management Overview

The PFM team proposes to provide comprehensive business process consulting services to the New Jersey Economic Development Authority (NJEDA) for the Superstorm Sandy Recovery Business Grant Program ("Sandy Recovery"). We are putting forth a team that combines the best in public program and grant management expertise to ensure delivery of the highest quality services to the State of New Jersey.

We are dedicated to providing operational excellence and high quality client service in support of the Sandy Recovery effort.   Delivery of complex qualification services required to support the Sandy Recovery initiatives is what we do best. As importantly, many of our team members are citizens of New Jersey and were personally and significantly impacted by the devastation of Superstorm Sandy. Accordingly, we will perform our role with compassion and understanding.

The team is led by Public Financial Management, Inc., (PFM). Founded in 1972, PFM is the nation's top ranked independent financial and management advisory firm to state and local governments. The State of New Jersey is a long-time PFM client, and PFM is currently qualified under a State of New Jersey master contract for revenue enhancements from federal and other programs. PFM's corporate headquarters are in Philadelphia, Pennsylvania and also numbers among its 35 offices a location in Princeton, New Jersey.   PFM is a General Services Administration (GSA) qualified Financial and Business Solutions (FABS) Schedule 520-22 vendor.

The PFM team includes Solix, a shareholder-owned, independent stock corporation with its corporate headquarters in Parsippany, New Jersey. Founded in 2000, Solix is a business process outsourcing firm with comprehensive expertise in eligibility determination and complex program administration services.

In addition to our strong ties to New Jersey, our entire team and supporting operations are 100 percent U.S.-based. This domestic commitment is important to us and our clients.

The PFM team's core capabilities include:

- Providing program management and grant application services where applicant qualification/eligibility determination is a key component;
- Rapidly designing and implementing comprehensive solutions to efficiently administer complex processes with a focus on customer satisfaction;
- Employing skilled and experienced personnel to work with clients to ensure achievement of policy and operational goals;
- Providing end-to-end customer communications, including outreach, initial contact, education, process support, and follow-up;
- Deploying proven, proprietary web-based systems and platforms to securely collect, process, and protect program information; and
- Ensuring program integrity through process controls and reviews to minimize the potential for waste, fraud, and abuse.

Section 2 – Technical Quotation

The team has designed, implemented and continues to manage a wide spectrum of complex governmental and quasi-governmental public programs at both the Federal and State levels. We have a deep bench and breadth of experience that allow us to deliver a comprehensive and scalable solution to the NJEDA on Day One. In addition, the team brings extensive experience working in – as well as with – state government. We will put this experience to use in identifying the project definition of success as well as the risks that must be understood and mitigated to ensure successful outcomes.

Our Guarantee: Operational Services and Support Readiness on Day One

Staffing & Training	Claims, Eligibility & Closing
✓ Staffing Plan ✓ Organizational Structure ✓ Process Training ✓ Systems Training ✓ Employee Certification ✓ Employee Evaluation System	✓ Grant Eligibility ✓ Outreach and Scheduling ✓ Application Process ✓ Review Process ✓ Data Entry ✓ Closing Process ✓ Post Closing Process ✓ Disbursement Process

Project Management	IT Processes
✓ Project Plan & Management ✓ Risk Management ✓ Program Timelines ✓ Issues Management	✓ Grant Management Systems ✓ Business Requirements ✓ Web Application System ✓ User Acceptance Training ✓ Protective Document Storage ✓ Security & Privacy Measures ✓ Data Retention

Quality Assurance	Procedures
✓ Program Integrity Reviews ✓ Audit Support ✓ Monitoring & Reporting ✓ Root Cause Analysis ✓ Issue Escalation Process ✓ Stakeholder Complaint Inquiry	✓ Procedure Reviews & Updates ✓ Script Distribution & Review ✓ Issue Research ✓ Issue Escalation Process ✓ NJEDA Rules Matrix ✓ Change Notice Management

Reporting	Customer Service
✓ Measures & Monitoring Process ✓ Business Intelligence Dashboard ✓ DRGR Interface ✓ NJEDA Reporting Process	✓ Applicant Support ✓ Case Managers ✓ Expert Assistance ✓ Fast Response Time

Key features of the team's proven grant and program administration solutions include customer-friendly application forms and process assistance; knowledgeable and certified eligibility reviewers; proven software platforms, including Solix's GrantEase® and Solix's Eligibility Administration Platform (EAP); comprehensive internal controls to ensure standardized results and minimize the potential for waste, fraud and abuse; as well as a deep bench of trained professionals – all of which permit speed to market and scalability. In addition, the PFM team has extensive experience with federal program compliance and reporting, which will help ensure that federal rules and regulations are understood and followed at all points in the project – from initiation and implementation through close-out and reporting.

Section 2 – Technical Quotation

We will design, implement, staff and manage a full-service grant administration solution in accordance with the State's specifications. The following graphic highlights the major components of our proposed solution for the NJEDA, with each step described in greater detail in the technical proposal.

Solution Overview

Graphic Illustration of Solution Overview
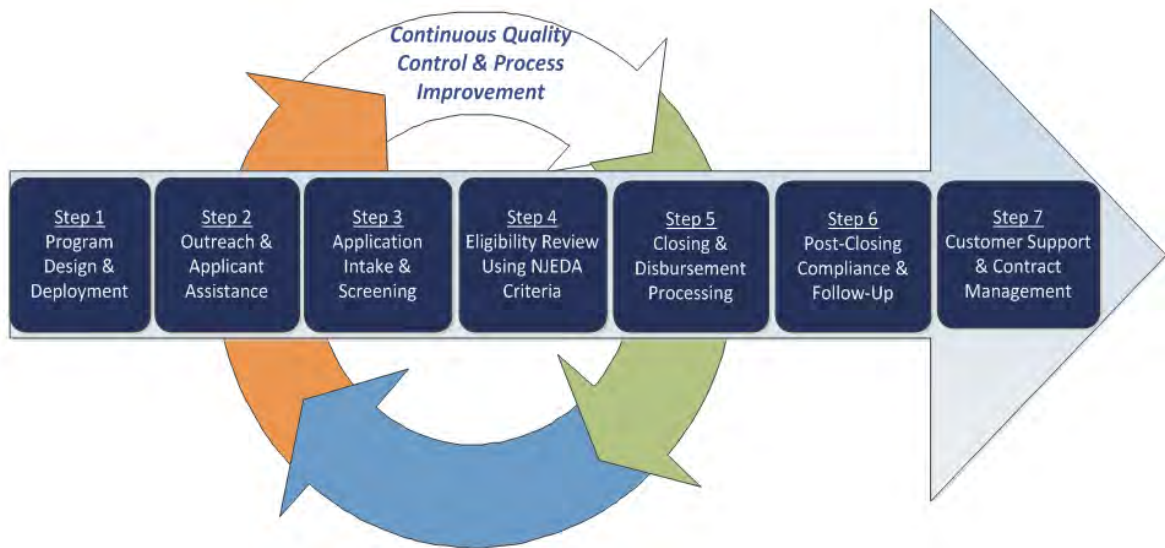
Given our extensive relevant experience, we are confident that the team is uniquely equipped to provide the NJEDA and the citizens of New Jersey who have suffered from the devastation of Superstorm Sandy with immediate and tangible value and benefits by:

- Designing and implementing an end-to-end solution utilizing documented workflows and procedures to support both paper and electronic, user-friendly grant application processes.
- Fielding a scalable team of skilled experienced professionals, including Claims Representatives and Closing and Disbursement Processors, who will proactively communicate with and assist applicants in all aspects of the process.
- Performing application intake no more than 30 days after the Initial Organizational Meeting following a process design that will allow for a seamless migration to higher levels of automation.
- Conducting eligibility reviews in accordance with all applicable Federal, State and NJEDA statutes, rules, and guidance.
- Initiating, closing and adhering to Federal and State procedures to disburse grant funds.
- Conducting post-closing analysis, compliance reviews, and delivering required reports detailing grant program activity.
- Achieving NJEDA objectives in monitoring and evaluating program effectiveness, delivering on all contractual requirements including the maintenance and safeguard of program documents and data, and supporting New Jersey businesses through ongoing communication and follow-up.

Section 2 – Technical Quotation

We look forward to contributing to the success of the NJEDA initiatives to assist New Jersey's small businesses in recovering from Superstorm Sandy and stimulating economic revitalization.

STEP 1 - PROGRAM DESIGN AND DEPLOYMENT
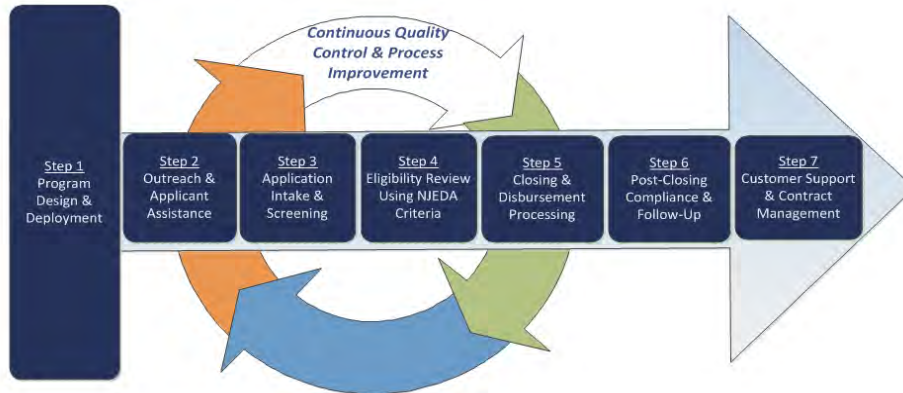
Our solution is designed to fully support NJEDA Program goals and requirements in an effective and efficient manner so that small businesses receive needed support in a timely and fully compliant fashion. Our experience supports the critical aspects of the program including:

- Speed to launch.
- Managing application intake and processing, including the anticipated initial spike in volume.
- Deploying appropriate numbers of qualified and trained experts to provide customer assistance, conduct eligibility reviews and issue funding decisions.
- Designing comprehensive internal controls and separation of duties to prevent waste, fraud and abuse.
- Coaching and monitoring the performance of representatives and reviewers to ensure consistent and compliant outcomes.
- Utilizing industry-specific expertise to provide technical analyses such as working capital calculations, financial analyses and loan and insurance reviews.

Building on our extensive experience in public benefit and grant program administration, we will make recommendations to the NJEDA regarding program and process design parameters, including final development of artifacts such as applications, review instruments, and closing documents. We will establish and utilize system-based tools to document program-specific procedures and eligibility requirements. Based on the approved requirements, we will formalize procedures for training purposes and incorporate the procedures into our internal process design. To the extent that decision points can be automated, we will configure our system tools to guide reviewers through common decision points and ensure that common criteria are satisfied. We will also build in controls to ensure that specific field entries are not permitted to fall outside tolerance ranges (e.g., alpha entries in numeric fields, grants exceeding maximum allowed amounts, etc.).

Deploying a Scalable Team of Skilled Professionals
A flexible and scalable approach for intaking, processing, reviewing and closing Sandy Recovery grant applications begins with putting the right people in place. The functions associated with application processing will require the ability to effectively manage surges in workload. In particular, Solix has a critical mass of highly qualified, New Jersey-based customer service and review staff that are ready to support the NJEDA immediately upon contract award. To handle the expected volumes of applications, we will draw on our proven ability to rapidly develop effective training programs and performance monitoring systems to seamlessly integrate additional resources as needed.

Section 2 – Technical Quotation

Given our size and flat organizational structures, we have a unique ability to provide large company capacity coupled with the flexibility and responsiveness of a smaller company. We have extensive experience determining the staff and resources needed for large-scale projects, and we are skilled at quickly adjusting resource levels, on both planned and unplanned bases, while ensuring compliance with Service Level Agreements (SLAs).

> During 2012, Solix rapidly and seamlessly scaled operations for a client to manage an increase in application reviews from 1 million+ to more than 4 million.

The PFM team will provide timely and flexible responses to peaks in work volumes. Our ability to quickly augment with experienced staff is particularly important for handling increased activity levels that often accompany significant program-related changes, business cycles, or one-time events. The stability of our New Jersey-based workforce allows us to retain experience in more than one discipline. As a result, the team is able to respond quickly to support program stakeholders during peak times while maintaining integrity and high quality customer service in all phases of our management processes.

In general, we derive the composition and size of project teams based on a customer-approved project plan and schedule of deliverables, analyzing project tasks against required expertise and skill levels to determine the level and volume of effort required during specific contract periods. More specifically, our success has been driven by our ability to align our priorities with the objectives and goals of our clients. To ensure the successful launch of the Sandy Recovery, we will apply our proven approaches to the tasks in executing the multi-stage review process tailored to NJEDA requirements.

Training and Procedures

Building on the foundation of past successes, we will similarly develop core training materials for all assigned staff to provide a fundamental understanding of the Sandy Recovery program, its statutory purposes, and associated NJEDA objectives and priorities. In addition, we will develop supplemental materials that will be geared to each specific role: screening, initial review, final/specialist review, quality control (QC), and closing/disbursement processes and procedures. We will also build on reviewer training materials used in our normal business practices, such as conflict-of-interest avoidance and proper treatment of confidential and personal information.

Drawing upon our expertise with grant programs, we will review anticipated procedural steps that may require emphasis for initial training. We will develop and distribute "training tips" for staff to address non-procedural common concerns. Additionally, any procedural changes will be documented and communicated as appropriate through review notes, which are centrally maintained and provide reviewers with timely access to consistent and current guidance. External communications to grant applicants will be codified in procedures to be used by reviewers to ensure compliance with procedures. The materials will also outline a process to manage changes required through timely updates to the procedures supplemented by training tips with illustrative examples, review notes with delineated procedural changes, and revised applicant contact templates.

For program staff performing eligibility screening, experience shows that classroom training is the most effective tool used by the team supervisor to ensure consistent understanding of policies and implementation of procedures. The classroom training will incorporate instruction on the use of automated tools within our eligibility platform to capture review steps, actions, and evaluations. We will also devote significant attention to awareness of potential signs of waste, fraud, and abuse. Testing and/or certification will be included as a component of the training to ensure thorough understanding of all Sandy Recovery program procedures.

> Solix training modules and procedures have been so effective that many of our customers have sent their newly hired staff to participate in our classes.

Section 2 – Technical Quotation

Workflow and Process Development

The team's program administration approach is based on a framework of strong internal controls designed to conform to best practices. Written procedures guide the performance of all tasks, and all staff are instructed in and required to strictly follow documented work processes. Flows are adjusted based on customer-requested changes or identified efficiencies or improvements.

The following graphic depicts a high-level process workflow for various operational aspects of the Sandy Recovery program, and highlights specific steps that include program integrity controls.

High-Level Process Workflow for Sandy Recovery Program
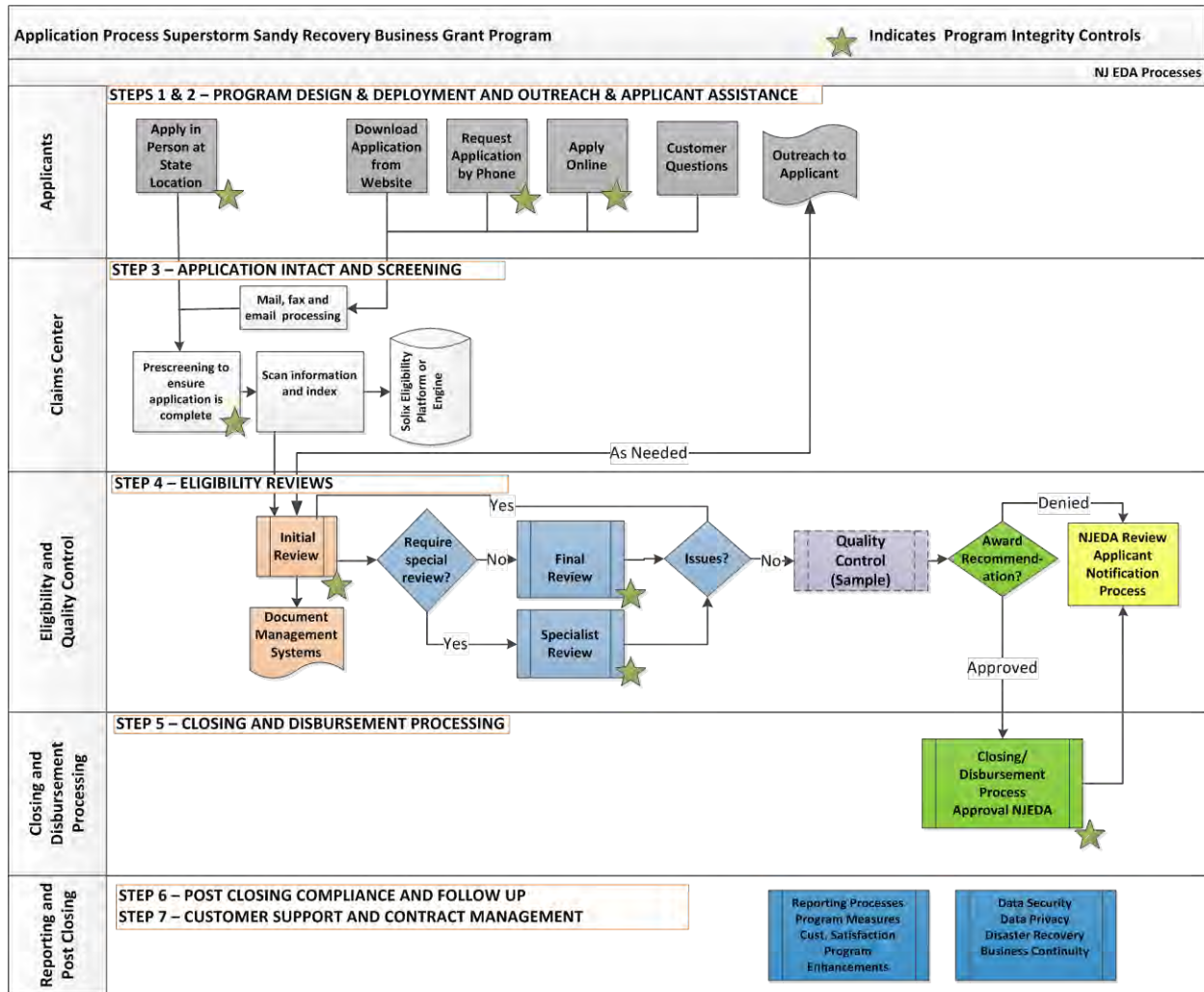
We employ a continuous improvement model for all program operations. We consider ourselves to be partners with our clients, and we act as an extension of their staffs rather than simply carrying out a vendor-customer relationship. Our team is empowered to recommend process improvements to enhance quality, efficiency, and stakeholder service. Management evaluates recommendations for impact, feasibility, practicality and adherence to program rules, allowing for:

- Maximization of resources by implementing the most effective enhancements.
- Consideration of alternative approaches and identifying efficiencies.

Section 2 – Technical Quotation

- Assessment of internal controls and management control systems.
- Evaluation of performance measurements for effectiveness.

Adhering to our formal process workflow approach with a focus on best practices will allow us to support the NJEDA by deploying a solution that can accelerate the recovery of small businesses severely impacted by Superstorm Sandy. All members of our team are proponents of best practices approaches to projects. For the NJEDA, this will include formation of a Best Practices Team that will help ensure that operational procedures are consistently followed and are closely aligned to maximize efficiency and effectiveness. By using this approach, we ensure that learnings are shared.

Both PFM and Solix are committed to building upon the internal capacity of the existing New Jersey state staff to carry on the value added by our team. Accordingly, our approach will be designed to do the required work, achieve results and share knowledge with the State. Our Best Practices Team will be available to Sandy Recovery staff to assist and advise program management regarding rapid development of effective workflows, processes, and procedures.

We will approach our design and implementation to achieve the following objectives, which we expect to expand in order to accommodate all NJEDA goals and directives.

- Maximize the ability of New Jersey grantees and NJEDA program managers to focus on the success of their sponsored Sandy Recovery projects.
- Cleary communicate applicable Federal and State regulations through user-friendly and compliant processes.
- Design and build in appropriate means for capturing commitment funds and budget information as well as progress against impact measures to facilitate reporting and analysis.
- Minimize the administrative burden on grantees and NJEDA personnel throughout the award period.

Data Compatibility with Disaster Recovery Grant Reporting (DRGR) System
We understand that the NJEDA will be accountable for managing the Sandy Recovery Business Grant Program within the DRGR as a subgrantee of the NJDCA (New Jersey Department of Commnity Affairs) for the Housing and Urban Development (HUD)-approved Action Plan. This will primarily entail:

- Populating project activities related to this program along with associated budgets and performance measures.
- Creating and approving vouchers to draw funds.
- Reporting program-level monitoring activities, auditing, and technical assistance.
- Documenting compliance findings and concerns.

As part of our detailed work plan development upon engagement, the PFM team will work with the NJEDA (as well as NJDCA staff and representatives of the HUD Office of Community of Planning and Development as appropriate) to prepare a plan for ensuring that all required program-related DRGR data is supplied on a timely basis. As desired, this may include operating within assigned DRGR user roles to provide data entry on behalf of grantees. We will also be prepared to supply necessary DRGR data via CSV (.csv), Excel file (.xls), or real-time web services.

The PFM team is adept at integrating with a variety of systems that run the gamut of age and functionality in the data world. We regularly integrate with both State and Federal systems as well as our customers and their vendors and subcontractors. These integration points vary from fixed file format layouts to real-time web services that synchronize all parties' systems. Based on data sensitivity, such as inclusion of

personal identifying information (PII), we will recommend and use encryption techniques for sending and receiving information using methods that include but are not limited to:

- Hypertext Transfer Protocol Secure (HTTPS)
- Secure File Transfer Protocol (SFTP)
- File Transfer Protocol Secure (FTPS)
- Hypertext Preprocessor (PHP)
- Digitally Signed Certificates

STEP 2 – OUTREACH AND APPLICANT ASSISTANCE
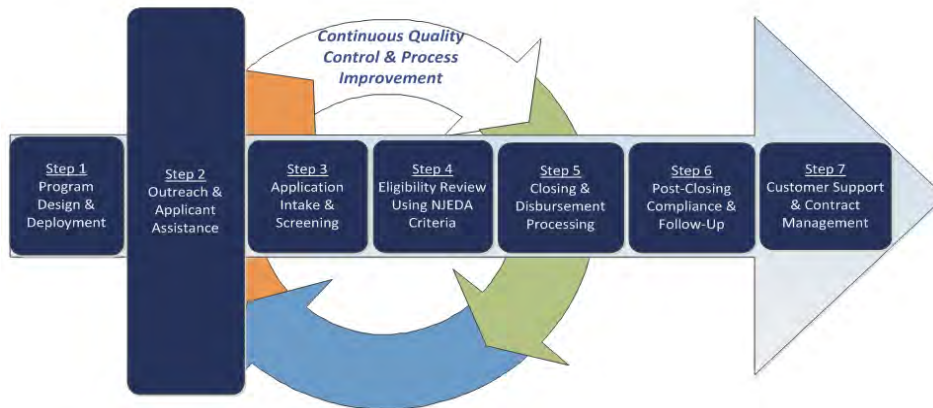
Program applicants will be provided with several options for communicating with the PFM team and gaining a thorough understanding of application and eligibility requirements. Typical assistance will include explaining application instructions and eligibility criteria, including Community Development Block Grant (CDBG) policies, reporting and documentation requirements; ensuring completeness of information and supporting documentation; and conducting initial screening of submitted information.

NJEDA Small Business Sandy Recovery Website
Our initial outreach to applicants will be accomplished by deploying the NJEDA Small Business Sandy Recovery website (Sandy Recovery website), which *we will commit to launching within five days following our Initial Organizational Meeting with the NJEDA*.

The website will provide timely and relevant information to New Jersey businesses that seek to understand program requirements and status. By launching the website even prior to the 30-day initiation of operations, we will be able to communicate basic information and key dates to applicants to inform them of upcoming activities and time lines. While the team will deliver a quickly deployed source of basic information as a tool for applicants, the website will be regularly updated and will increase in sophistication over the life of the program. After launching the initial information website, the PFM team will deploy enhancements and features in accordance with the time frames detailed in our project plan as provided in the Appendix.

Section 2 – Technical Quotation

NJEDA Branded Website to Quickly and Easily Collect Applicant Information

Simple, NJ EDA-branded login

Customized online application

Property damage assessment & dollar amount requested
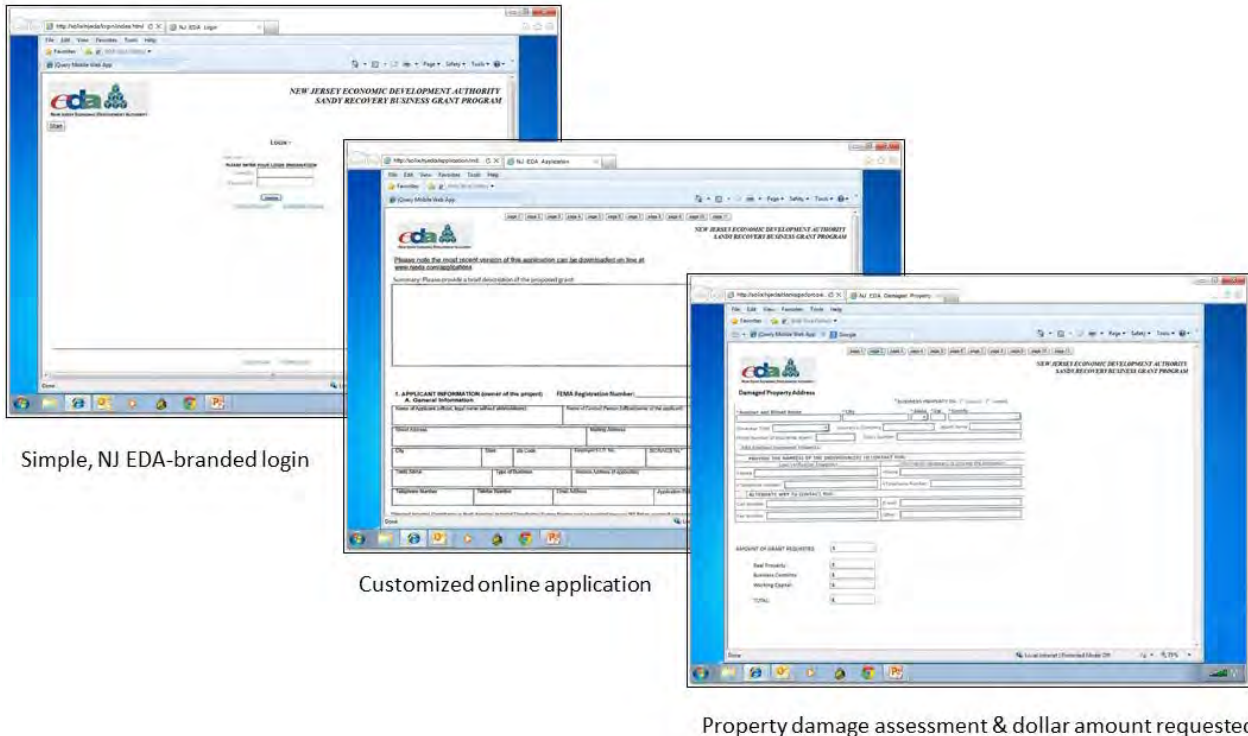
The PFM team will coordinate with the NJEDA to establish a link from the NJEDA website to the Sandy Recovery website, which will be hosted in Parsippany, New Jersey. The main landing page for the site will serve as the navigation point. On the landing page, we will present a brief description of the program and website links will be added to allow visitors to access the following features.

- **Program Description** – provided program details will allow visitors to gain a comprehensive understanding of the program objectives, application process and eligibility requirements.

- **Frequently Asked Questions (FAQs)** – the most commonly-asked questions along with appropriate answers will be provided. This section of the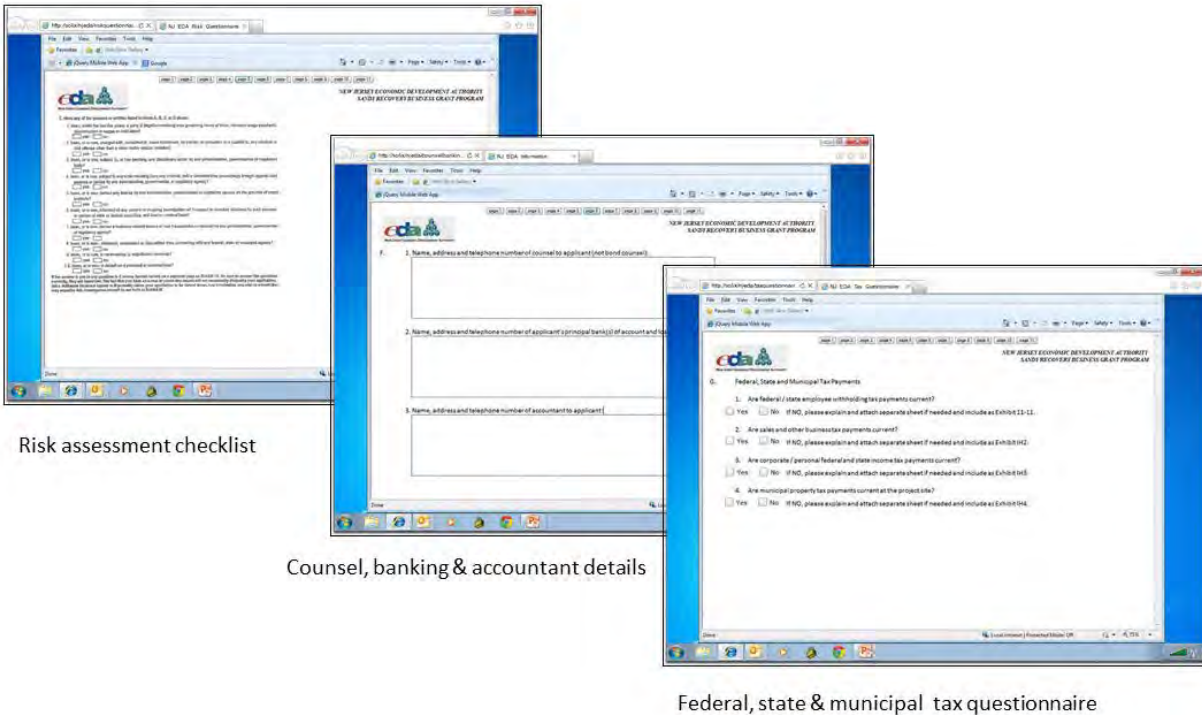 website will be updated throughout the life of the program based on new and recurring issues identified by representatives (e.g., call center or field representatives), management or stakeholders.

- "**Verify My Location Eligibility**" – this feature will allow a visitor to verify that the ZIP code for their business location falls within an eligible area for program benefits.

- "**Apply Online**" – this will allow an applicant to complete the necessary steps to submit an application online. During this process, a secure connection will be established through which all confidential and/or personal information entered into the system will be protected. The applicant will be prompted to create unique userid/password credentials to allow for secure log-in. These unique credentials will be required for subsequent access to application information, such as checking on the status of an application. The web application will enforce all business rules related to the fields on the application form (e.g., alpha/numeric, acceptable number ranges, etc.) and will provide direct error messages to help guide an applicant through the process. Upon successful completion of the online process, the applicant will be provided with a confirmation number that will uniquely identify their application throughout the entire eligibility review and disbursement processes, as applicable. The applicant will also have the ability to upload required

supporting documents, which will flow directly into the review queue with the application, eliminating delays that would arise from a separate documentation submission process (such as U.S. mail).

Step by Step, Online Process Customized to NJ EDA Program Criteria

Risk assessment checklist

Counsel, banking & accountant details

Federal, state & municipal tax questionnaire

- ▪ "**Check Status**" – this feature can be used by an applicant who has created log-in credentials to access the site. After entering the correct userid/password combination, the website will display the current status of the application review process. This will provide applicants with a convenient means to check on the status of a submission at any time that fits their schedule.
- ▪ **Appointment Scheduling** – applicants will be able to schedule in-person appointments with Claims Representatives through the website.
- ▪ **Access to Applications and Forms** - all program forms will be available for download in PDF format, following approval by the NJEDA of all layout and content. The PFM team will also support NJEDA efforts in ensuring that web content such as Privacy Policies and Terms and Conditions are appropriately presented.

Call Center Operations

Our Claims Representatives (CRs) and Closing and Disbursement Processors (CDPs) will respond to routine applicant inquiries, including application and eligibility questions, and inquiries related to the status of pending applications and payments. Utilizing Solix's proprietary eligibility platforms, authorized staff will be able to securely access customer accounts and provide current information. We will train staff in all relevant aspects of the Sandy Recovery program, and will provide New Jersey small businesses with timely and quality assistance about the process and related requirements. We are uniquely adept at addressing needs to serve diverse populations, including the limited-English proficient population.

CR responses to Sandy Recovery program inquiries will be made and documented in accordance with NJEDA directives. Call center hours will be 8:00 a.m. to 11:00 p.m. Eastern Time, Monday through

Section 2 – Technical Quotation

Saturday. We will provide staffing for two full shifts, six days a week, and will provide appropriate supervisory and language skills to fully cover all hours of operation. We understand that during the initial start-up, work outside of normal business hours may be necessary and we commit to working on Sundays as needed. We have extensive experience in adjusting call center operations to manage both anticipated and unexpected spikes in volume, and we will coordinate staff and resources to meet the needs of the State.

The PFM team will provide CRs and CDPs, and their supervisors, with up-to-date answers to FAQs through our eligibility platform, allowing for timely and consistent responses to customer inquiries. CRs and CDPs will also use our platform to record customer call notes and to categorize the purpose (e.g., an informational query or a complaint) and outcome of each call.

Call Center Technology Tools

Our team will provide all required business equipment, including laptop computers, scanners/FAX machines and copiers, as applicable, for each location. The CRs will have "stand-alone" functionality to intake all information and documents locally, providing a one-stop experience for applicants that bring all required documentation. When supporting documents are uploaded on-site, an image will be created and imported into our eligibility software platform. CRs will also be given individual, role-based secure access to our eligibility platform allowing them to enter application data. CRs will be able to perform a variety of functions such as searching for a customer or application, providing application status, or communicating follow-up requests.

We will meet or exceed all performance requirements, adhering to the metrics detailed in the RFQ. This includes:

- Answering all incoming calls within four rings;
- Allowing callers to leave a voice mail message if a call cannot be answered within four rings. When leaving a message on voice mail, callers will receive an announcement that they can expect a return phone call within three hours; or by 10:00 a.m. on the next business day if calling after 3:00 p.m.; and
- Checking voice mail every hour.

In-Person Assistance

Applicants who prefer in-person or live interactions can visit the State-designated centers (i.e., Tinton Falls, Trenton, and the Workforce Investment Board offices in the nine affected counties). Additionally, the PFM team has offices in Parsippany, Princeton, Brick, and Somerville, New Jersey, and Philadelphia, Pennsylvania and New York, New York, that will provide back office operations and could serve additional uses if needed.

The map to the right identifies State-designated facilities that will support Sandy Recovery processing as well as the PFM team's presence in the state. The blue triangles show the nine most-affected counties as identified by HUD and in which we will deploy CRs at designated Workforce Investment Board (WIB) offices; the orange boxes identify the Trenton and Tinton Falls Claims and Disbursements facilities; and the red stars identify the PFM team's physical presence in New Jersey. This picture clearly illustrates a comprehensive presence and reach to the businesses in need of assistance. We will provide CRs, CDPs and corresponding supervisors at the State-designated facilities to perform application claims and disbursement processing. The CRs will focus on providing process guidance and technical assistance to applicants on program regulation and documentation requirements. To ensure a
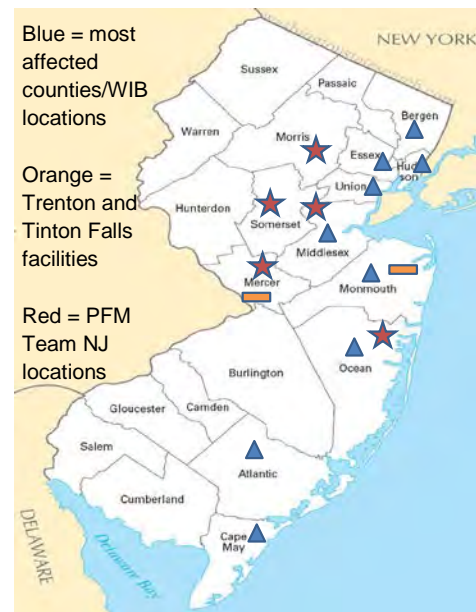
Section 2 – Technical Quotation

customer-centric approach, the PFM team will leverage the knowledge we have gained in managing millions of similar customer interactions annually.

Scheduling Appointments

Applicants will be given multiple avenues for scheduling in-person appointments. The Program website will include an appointment scheduling feature, and applicants will be able to contact the call center to schedule an appointment in advance. We will provide adequate staffing and oversight to ensure that applicants with scheduled appointments are able to meet with a CR within 30 minutes of their arrival on site. In accordance with the requirements, we will report on this metric and, as with all processes, seek to identify opportunities for improvements based on interactions with applicants.

STEP 3 – APPLICATION INTAKE AND SCREENING

Application Intake

Understanding the need to accommodate those businesses that suffered devastating damage as a result of Superstorm Sandy, we will make teams available to assist impacted businesses in completing applications and assisting them through the process. Application intake services will be available at the Tinton Falls facility Monday through Saturday, and at the designated WIB offices several days per week. We will adjust our staffing and presence at dispersed locations based on the volume of appointments and applicant requests for in-person assistance. Businesses may also submit completed grant applications via the Program website or by sending paper applications through U.S. mail or delivery services. Our design will accommodate numerous application methods and options to assist businesses in the manner that best suits their needs and preferences.

Application Intake Methods
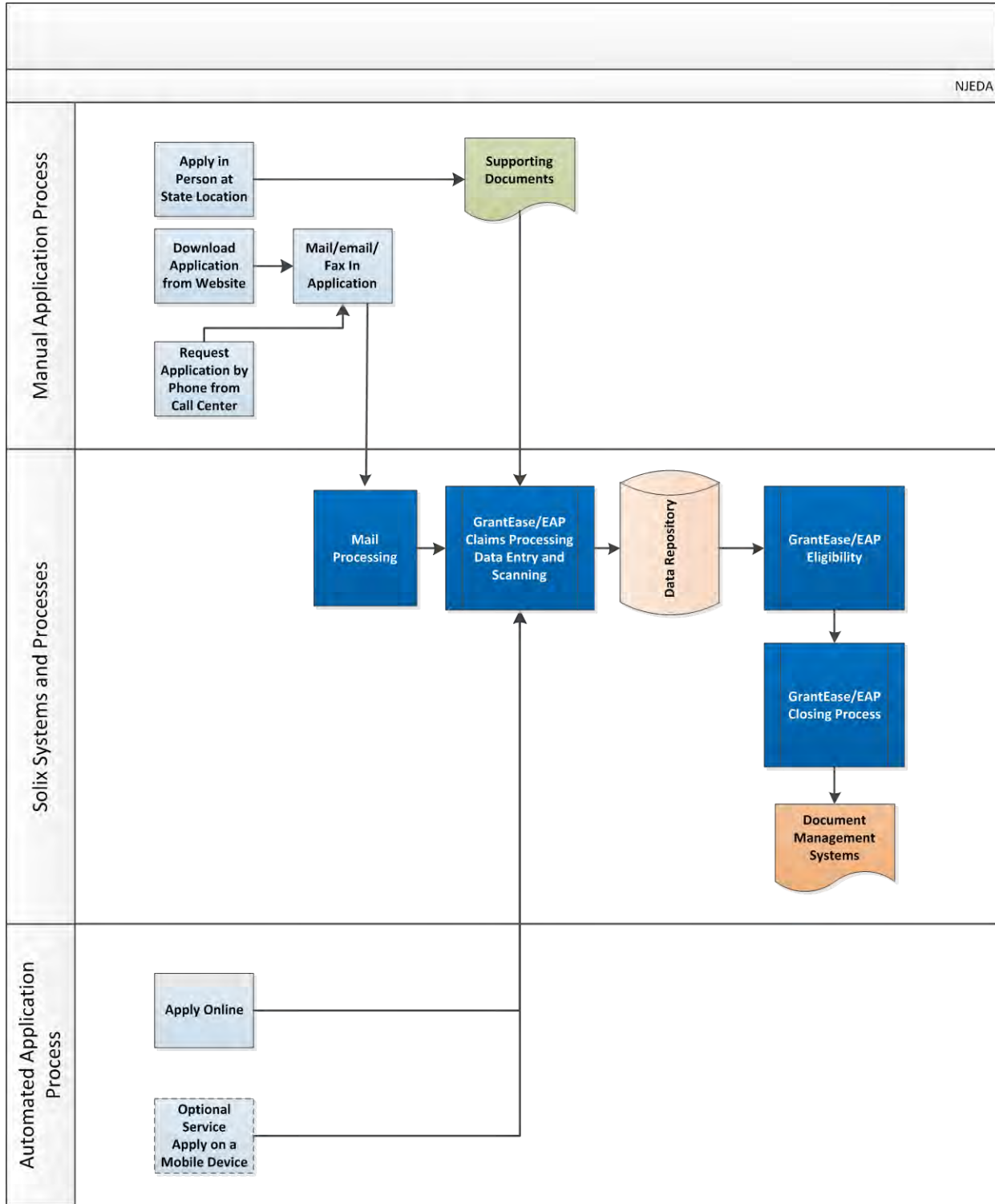
Section 2 – Technical Quotation

Claims Supervisor and Claims Processing Team

As further described in Section 3, we will provide experienced on-site Claims Supervisors to lead the team of CRs during all hours of operations. The Claims Supervisors will provide all operational, financial and administrative oversight related to the day-to-day operations of the Sandy Recovery program. The Closing Supervisors will be the single point of contact (point person) for managing the State's account. The Closing Supervisors will ensure that deadlines are met and outcomes achieved for claims-related issues. With NJEDA approval, we will ensure comprehensive coverage by assigning two qualified Claims Supervisors, each working a 7.5 hour shift and performing all of the required duties, to provide the NJEDA with full coverage for the entire 15-hours of operation daily. Further, we have identified a fully qualified Back-Up Claims Supervisor who will be able to step in and provide equal levels of knowledge and service as needed.

CRs will assist applicants in understanding program requirements and processes in-person or via telephone; perform prescreening of applications for completeness while applicants are on-site; provide technical assistance to program participants on CDBG programs and policies; explain submission/documentation requirements; and resolve routine application dilemmas (such as missing information.)

Prescreening will include ensuring that the small business meets the minimum requirements to apply for a grant. Such requirements could include:

- The businesses or nonprofits sustained a minimum of $5,000 in damage.
- The small business has a minimum of $25,000 and a maximum of $5,000,000 in annual revenue.
- Businesses have applied to the Small Business Administration for one or both of the applicable disaster-related loan products until the respective application deadlines pass.
- Businesses are located in one of sixty-one (61) municipalities that experienced the highest levels of impact from the storm (i.e., "red zones") or one of fifty-three (53) municipalities experiencing very significant impact from the storm (i.e., "orange zones").
- The grant amount requested does not exceed the maximum award of $50,000, with actual award based on the NJEDA underwriting and feasibility standards.

Prior to issuing prescreening checklists to CRs, we will work with the NJEDA to determine if any applicant pooling will support expedited reviews. For example, the NJEDA may desire to group applications by ZIP code, county, grant amount requested, or type of business. Any such additional criteria will be incorporated into prescreening as appropriate. A sample CR Prescreening Checklist is shown below.

Claims Representative Sample Prescreening Checklist

NJEDA Program Criteria (Minimum Requirements)	
Physical location of entity suffering loss: Is the entity in a red or orange zone?	✔
Revenue requirements of entity: Annual revenue is less than $ 5 million	✔
Copies of 3 years Tax Returns (Federal/ State)	✔
Current Sales and Business Tax	✔
Current Federal/State Employee Withholding	✔
Current Municipal property tax payment at location	✔
Ownership Information including 10K, proxy statement, 501 (c)(3)	✔
Review of answers to litigation, bankruptcy, suspension, etc.	✔
Documentation of loss is received/ physical	✔
Documentation of loss received inventory	✔
Documentation to support working capital claim	✔
Documentation of insurance claim filing is received	✔
Documentation of SBA loan filing is received	✔
Employee information (people employed, jobs, locations)	✔
General Information (Name, Address, Employer Tax ID, SIC/NAICS, Date incorporated, website, phone, banking information, accountant)	✔

Multiple CR tools will facilitate applicant success and consistent interactions, including FAQs, communication scripts, documented escalation policies and system-based controls to prevent data entry or clerical errors. We will also conduct initial and ongoing training for our CRs to ensure that current procedures are understood and followed. At least one staff member will be fluent in reading, writing and speaking English and Spanish at the Tinton Falls and Trenton facilities during all business operating hours, as well as at the dispersed WIB offices, to assist Spanish-speaking applicants.

STEP 4 – ELIGIBILITY REVIEWS USING NJEDA CRITERIA
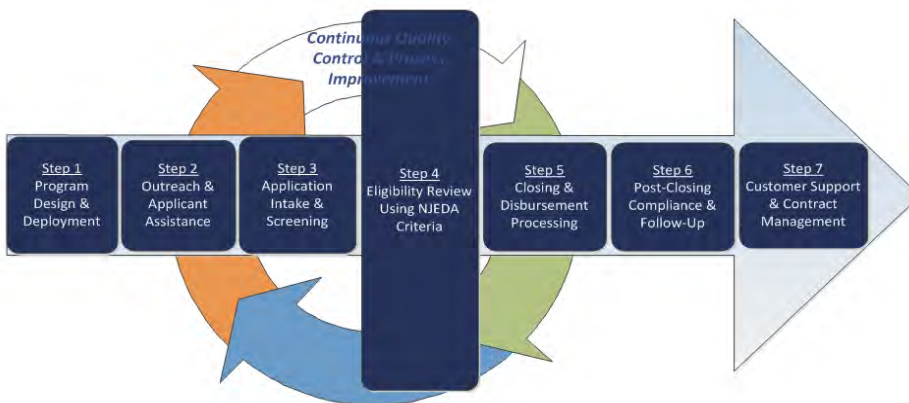
Section 2 – Technical Quotation

The CRs will adhere to the Sandy Recovery program eligibility requirements while managing volume fluctuations that are typical of deadline-intensive grant application processes. Our experts will focus on understanding the needs of applicants and helping them effectively utilize the CDBG grants and other sources available to small businesses. We will manage and monitor the application process for each small business to simplify the process and ensure high levels of customer satisfaction. Woven throughout all phases of our proven approach are formal QC procedures, including QC sampling after reviews are completed.

Initial Review

A central strategy will be to translate NJEDA-approved evaluation criteria into an objective, rule-based system for efficient and consistent review decisions. Reviews will be conducted by qualified CRs appropriately trained for their assigned level of review.

As already detailed, all applications will be prescreened for completeness. When an applicant submits information on-site, CRs will conduct this prescreening while the applicant is present to provide a positive customer experience and to quickly identify obvious omissions or needed documentation. If a customer submits an application online or via another remote method to our back office, CRs will perform the prescreening prior to beginning the initial review.

Once prescreening is completed, the CR will conduct an initial review to determine if the applicant meets eligibility requirements. We will provide CRs with a number of system and process tools to support claims processing. These tools and checklists will be tailored to NJEDA-defined eligibility criteria and will ensure consistency in reviews performed by multiple staff members and serve as vehicles for rolling up data for analysis or to identify non-compliance.

> **Two-Stage Eligibility Review Process**
>
> *Based on our experience with a broad range of public benefit grant programs, and in order to satisfy the stringent accuracy criteria required by the NJEDA, we propose to implement the following formal two-step eligibility review process:*
>
> - *Initial Review (Stage 1)*
> - *Final/Special Review (Stage 2)*

CRs will utilize Solix's GrantEase/EAP proprietary software to access the review tools and to consult program guidelines and application review instructions, determine whether eligibility criteria are satisfied, identify any gaps or inconsistencies in information, develop follow-up questions or data requests and document their comments or findings regarding the status of open issues. All CR inputs, actions and decisions will be tracked and saved throughout and after the review process to ensure that the NJEDA has thorough documentation on applications, dollar amounts requested, customer interactions, decisions, rationale for actions and current status.

The outcome of the initial review will determine the forward path for the application. If the CR verifies that the review is complete, the application will move into final review. If it is not yet complete, the CR will follow up with the applicant to obtain additional information or clarifications. If special expertise is required, such as a high-level financial or loan documentation review, the application will be forwarded for special review.

Final/Special Review

Final and special reviewers are CRs who have extensive experience or specialized expertise that allows them to perform secondary reviews of the initial work performed or, in the case of the specialists, to also conduct higher-level technical analysis. In both cases, they are senior level staff with the experience and knowledge to review the work of initial reviewers and identify potential errors or anomalies. The final and special reviewers will access the applications through our eligibility platform and will have access to all of the information, documents, notes and initial reviewer comments to support their secondary reviews.

CDP review and analysis will incorporate standard and accepted financial and credit analysis techniques when assessing the overall financial condition of an award. The financial feasibility and viability of

projects will be evaluated with a focus on factors such as the applicant's stability, solvency, liquidity, leverage, and profitability. Relevant financial statements and information will be reviewed, including, as appropriate, income statements, balance sheets, and statements of cash flows. When relevant, past performance will be used to calculate key ratios and to extrapolate data to project future performance.

Special reviews will be focused on issues that include working capital, financial statements (P&L, balance sheet, income statement, cash flow statement) and loan documentation analyses. While Solix will primarily handle the day-to-day aspects of the grant application process, PFM will provide subject matter expertise in reviewing financial information provided by applicants. As the nation's leading independent financial advisor to state and local governments, PFM professionals are regularly called upon by state government clients to review complex financial information, transactions and public private partnerships and advise on adherence to financial and regulatory guidelines. This may include additional review of financial statements augmented, as appropriate, by analysis of business-related measures that could include sales and operating ratios, EBITDA margin, discounted cash flow, etc. The PFM professionals will assist Solix staff engaged in the process with this analysis on a case-by-case basis.

QC Reviews (Sampling)

To ensure that we meet or exceed the NJEDA's desired quality objectives, QC reviews will be conducted on a targeted sample of applications. The pool of QC-reviewed applications that comprise the target population is made up of three primary categories:

- **Random** – A percentage of initial reviews will be subjected to QC reviews. A random sampling will be conducted of all completed initial reviews. History has shown that a random sampling of approximately 3 percent of applications for review provides statistically significant coverage, but the ultimate approach used will incorporate input from the NJEDA and Program-specific experience.

- **Parameter-Based** – Applications that meet certain preset parameters will receive a QC review. Such parameters may include the applicant's business revenue, the dollar value of the grant requested, or the difference between funds requested and funds received from other sources.

- **Decision Issuance** – After all levels of review have been completed, an eligibility decision will be rendered. The pool of applications for which decisions have been issued will receive QC reviews.

QC reports will outline areas for additional review or further coaching of CRs. Supervisors will be responsible for reviewing the results of these reports with CRs and providing additional training as necessary.

Coordinating, Tracking and Monitoring Submissions

During the application review cycle, there will be a relatively constant stream of review assignments, evaluations, and individual and review-stage-level summary reports to maintain. Working with the NJEDA and stakeholders, the PFM team will bring order to this workflow with proven, proactive processes for managing the flow of applications throughout the process. We will employ checklists, procedure guides and training materials that are tailored to meet the final, NJEDA-approved workflows and reporting requirements. Building on our existing application review expertise and known oversight and documentation steps, we will quickly customize business processes and develop systems to ensure that accurate tracking, accountability and controls are in place and functioning. As each application is received and moves through successive stages of the evaluation process, we will document the steps completed, the current phase, assigned personnel and issues identified.

Solix's eligibility administration platforms allow for the coordination and efficient routing of applications among reviewers and, as appropriate, subject matter experts at successive stages of evaluation, with careful attention to both production and quality. We will track the status of each individual application,

including its current stage of evaluation against the prescribed path for its type, as well as its current evaluation recommendation (e.g. pass, questionable, fail), and maintain data links to key information such as a record of participating reviewers and findings, generated reports, customer communications, etc.

We will monitor the overall workflow to ensure that applications are moving effectively through the various stages, efficiencies are maximized, milestones are being timely met and the quality of the output at each phase is meeting our joint standards and expectations.

Refinement of the Application Review Process

The PFM team has a unique blend of experience in a range of grant and eligibility review processes. This includes serial processing of very high application volumes involving eligibility determination and complex reviews.

For the NJEDA, examples of typical process improvements could include modifications to application forms and instructions, adjustments to evaluation tools, refinement of reviewer training and instruction, reporting enhancements, revised policies and procedures and design efficiencies.

Our core processes include comprehensive internal controls and access to Certified Fraud Examiners (CFEs) skilled in the prevention and detection of waste, fraud and abuse. Our team has extensive knowledge of corporate security and fraud prevention, as well as broad-based knowledge of program rules, procedures and participant trends. Solix has assisted the Federal Communication Commission (FCC), the Universal Service Administrative Company (USAC), and law enforcement in detection, analyses, and recommendations for potential legal action and procedural updates to minimize the potential for waste, fraud and abuse. We have the requisite skills and experience to quickly become knowledgeable of Sandy Recovery program trends and to identify needs for specialized review teams or additional safeguards that may be warranted.

> **Broadband Telehealth Coaching Program**
>
> *For a $400 million FCC program, Solix recommended the creation of a team of coaches to guide applicants through the entire process. This combined elements of the existing process with new system reporting dashboards and best practices from other programs Solix has administered to maximize applicant success as they designed and deployed their broadband networks.*

Compliance and program integrity procedures will be used to further test the efficacy of our processes and overall program design. Timely eligibility reviews and disbursement of funds are often high priorities for regulatory agencies; corresponding application processes are often designed to ensure that decisions and awards are made quickly while incorporating additional compliance measures at the end of the process. As one example, geocoding analytics could be designed to map an applicant's location to a targeted recovery zone based on ZIP code or geographic data such as county boundaries. Sandy Recovery application and eligibility review processes can be enhanced with similar measures or controls as program trends justify such actions.

The NJEDA will be notified of unsuccessful applications, categorized appropriately. Through collaboration with the NJEDA, efficient hand-off methods will be designed to ensure timely communication of alternatives and options to small businesses that are denied eligibility and to allow for the opportunity to apply for alternative products or services.

Section 2 – Technical Quotation

STEP 5 – CLOSING AND DISBURSEMENT PROCESSING

Closing/Disbursement Supervisor and Closing/Disbursement Processors
The PFM team will provide experienced on-site Closing/Disbursement Supervisors to lead the CDPs during all hours of operations at the Trenton facility. The Closing Supervisors will provide all operational, financial and administrative oversight related to the day-to-day operations. The Closing Supervisors will be the single point of contact (point person) for managing the State's account. The Closing Supervisors will ensure that deadlines are met and outcomes achieved for claims-related issues. With NJEDA approval, we will ensure comprehensive coverage by providing two Closing Supervisors, each working a 7.5 hour shift and performing all of the required duties, to provide the NJEDA with full coverage for the entire 15-hours of operation daily. Further, we have identified a fully qualified Back-Up Closing Supervisor who will be able to step in and provide equal levels of knowledge and service as needed.

CDPs will, among other things, assist applicants in understanding Federal CDBG program requirements. After final review and recommendation of an award, CDPs will conduct final reviews and closings, certify grants, and disburse funds in accordance with NJEDA-approved procedures.

Closing
After NJEDA final review and approval of an award recommendation, an application will be moved forward to closing, and CDPs will coordinate the necessary transactions through the NJEDA to process associated payments.

At the time of closing, the applicant will be asked to certify that there have been no changes to pertinent application information from the time of application through closing. Potential impacting changes may include:

- Receipt of insurance proceeds.
- Receipt of SBA loan proceeds.
- Receipt of other offsetting funds.

If there is a relevant change in financial position or application information, the award amount may be adjusted prior to disbursement in accordance with NJEDA guidelines.

As explained in the preceding section on final/Special Review, PFM will assist CDPs as needed with necessary financial analysis. As with special reviews, PFM will assist in instances where a relevant change in financial position warrants additional subject matter expertise. As the nation's leading independent financial advisor to state and local governments, PFM professionals are regularly called upon by state government clients to review complex financial transactions, most recently for the States of Ohio and Pennsylvania. This may include additional review of financial statements augmented, as

Section 2 – Technical Quotation

appropriate by analysis of business-related measures that could include sales and operating ratios, EBITDA margin, discounted cash flow, business activity statements, etc.

After obtaining any final closing documents and signature of the awardee for the grant, we will arrange for or present payment to the small business.

Disbursement

The PFM team manages disbursement processing on behalf of numerous State and Federal agencies. We tailor our solutions to best interact with our clients, whether it is delivering an end-to-end process or providing integral components that seamlessly interface with agency systems. To support Sandy Recovery initiatives, we will develop documented procedures to ensure that all disbursements are processed accurately and on time, and with the proper levels of controls and separation of duties.

Solix possesses extensive experience in administering government programs that require application processing, fiscal agent duties, or both. Solix currently provides services to 12 states and territories, performing the billing, collecting and disbursement of an average of approximately $700 million annually, and Solix has managed many of these programs from inception. Solix's fiscal management expertise includes financial reporting, treasury management and comprehensive accounting functions, including audit support.

Solix Fiscal Agent Services for State Programs

STATE	PROGRAM	ANNUAL DISBURSEMENTS
Arizona	Universal Service Fund	$1 million
Connecticut	Telecommunications Relay Service	$2 million
Colorado	High Cost Support Mechanism	$57 million
Florida	State Employees Charitable Campaign	$2 million
Hawaii	Telecommunications Relay Service	$1 million
Hawaii	Supporting Employment Empowerment (SEE) Program	$1 million
Indiana	Universal Service Fund	$12 million
Nevada	Fund to Maintain the Availability of Telephone Service	$1 million
New Mexico	Universal Service Fund	$24 million
Oklahoma	Universal Service Fund	$29 million
Oregon	Universal Service Fund	$36 million
Pennsylvania	Universal Service Fund	$34 million
Puerto Rico	Universal Service Fund	$10 million
Texas	Universal Service Fund	$445 million

Section 2 – Technical Quotation

Total programmatic payments disbursed by Solix during 2012, including both cash disbursements and invoices processed for disbursement by partners exceeded $3 billion. In 2012, funds held in an agency capacity by Solix exceeded $141 million. Solix's disbursement processes, encompassed by our overall approach to eligibility program administration, are based on a framework of strong internal controls designed to conform to government and industry best practices. Stringent processes and controls will ensure that we meet the NJEDA performance metric of an error rate no greater than one-half of one percent (0.50%) in operational and administrative processing and, with regard to financial controls, zero tolerance for errors.

After the closing process is complete, the PFM team will disburse funds from a State NJEDA-controlled account during or immediately following the closing meeting with the small business. The NJEDA will draw down funds through DRGR in advance of grant closing and will provide a means of disbursing funds to approved recipients. We are experienced in disbursing funds in various formats and our CDPs will have the requisite knowledge to process two-party checks, ACH payments and wire transfers.

STEP 6 – POST-CLOSING COMPLIANCE AND FOLLOW-UP

Post-Closing Compliance and Follow-Up

Post-closing compliance and QC processes will be designed to maximize effectiveness and minimize errors; this reduces the number of appeals or complaints filed by applicants. We will ensure that responsible staff understand and adhere to NJEDA-approved operating procedures.

Typical post-closing compliance activity will include ensuring satisfaction of grant agreement requirements. We will monitor and evaluate ongoing requirements placed on grantees, including maintaining business operations for any mandatory time period, providing proof of required insurance coverage and ensuring submission of outstanding or follow-up supporting documentation or reports. We will also track and report on all related activities to the NJEDA.

The team's work with numerous regulatory agencies has resulted in a deep bench capable of performing our entire range of QC and compliance services. Our experienced team is empowered to recommend process modifications to improve quality, efficiency and stakeholder service. Prior to presenting such ideas to our clients, management evaluates the recommendations for impact, feasibility, practicality and adherence to program rules and guidance.

If issues arise, root cause analysis procedures will be used to determine the source of a pattern of errors, if any, and how to best prevent future errors.

> In 2011 Solix's California LifeLine contract required an application review error rate of no more than one percent (1.0%). Solix's actual error rate was less than one-half of one percent (0.50%), and this was accomplished while processing more than 3.5 million applications, with 99 percent of escalation issues resolved within 3 business days.

Section 2 – Technical Quotation

This approach results in error rates that are often significantly lower than formal customer requirements.

Adherence to documented procedures and continual feedback loops drive consistency, objectivity and transparency. As external verification, our processes and solutions have been verified externally through numerous successful SOC-1, SAS-70, financial, and managerial audits, as well as process integrity and efficiency reviews by clients.

Open and forthright communications with customers are used in all interactions, including issue escalation and resolution. We create and maintain administrative issues logs to flag, monitor and track issue resolution. Administrative issues logs include the date when an issue was raised, the name of the person who raised the issue, a description, the date of resolution and a description of the resolution. This approach has helped Solix to successfully identify issues and ensure swift and consistent resolution. Even with the extremely high volumes described above for the California LifeLine program during 2011:

- 85 percent of issues were resolved on the same day they were received.
- 96 percent of issues were resolved within one business day from receipt.
- 99 percent of issues were resolved within three business days from receipt.

Formal post-closing processes based on best practices will be utilized and combined with our breadth of experience. Post-closing analyses will include processed final progress reports, financial and proof of submissions reports, determined unspent funds, and provided payment or collection recommendations, if applicable, submitted to the NJEDA. We will track the details for all closed grants within our eligibility platform to allow for comprehensive tracking, analysis and reporting.

STEP 7 – CUSTOMER SUPPORT AND CONTRACT MANAGEMENT
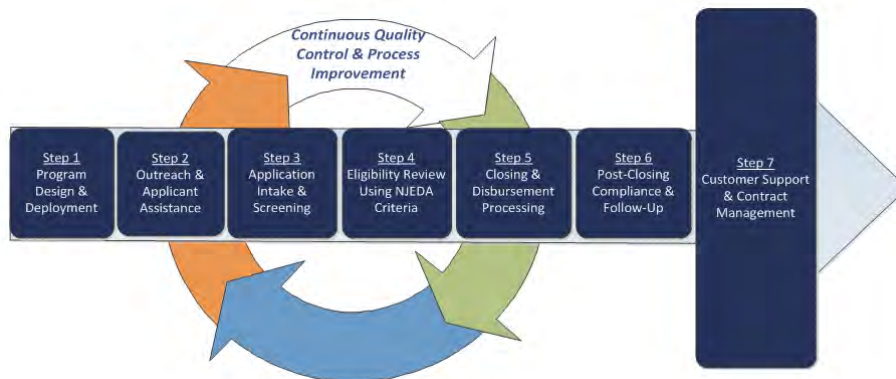
Customer Support and Contract Management

As discussed in more detail in Section 3.5, PFM structures its projects to enhance the opportunities for client communication and involvement. PFM provides an Engagement Director, who as a Managing Director is a Partner in the firm and has the legal authority to ensure that any and all resources necessary for the success of a project are provided. PFM also provides a Project Manager, who is, in this case, a co-leader of the firm's State Management and Budget Consulting practice. The Project Manager ensures that all PFM and subcontractor resources are fully engaged in all aspects of the project and that it meets deadlines for successful completion of deliverables.

PFM tailors its project plan to include:

- **Continuous Feedback.** PFM project managers provide regular updates (written as well as teleconference, generally on a weekly or bi-weekly basis) to the State on project progress,

scheduling and issues to be resolved. PFM also provides regular opportunities for the State and its leaders and staff to vet recommendations and analysis, to help ensure that findings and recommendations are credible and actionable.

- **Clear Milestones.** PFM projects use key project events to ensure client involvement, project understanding and feedback.
- **Project Guarantee.** PFM is committed to its work with governments and stands behind its work. We will dedicate the time and resources necessary to get the State the in-scope results it seeks – period.

Because PFM's senior project leaders are all experienced former government officials, PFM teams can 'hit the ground running.' In most cases, projects do not require long lead time, and **PFM has often been brought into projects where time was of the essence**. Because PFM has a broad bench, **project teams can be quickly formed and put to work**. As examples:

- PFM was retained by the Commonwealth of Virginia to analyze a privatization option proposed by Governor Robert McDonnell. Because the legislature had a hard deadline for when the analysis could be completed, the PFM project team, led by John Cape and Randall Bauer, had three weeks to prepare its draft report. In that time, PFM organized a six person project team, was **on the ground in two days** conducting interviews and site visits, built multiple financial models to determine how the system would function, benchmarked surrounding states and issued a written 76 page report with detailed financial analysis and findings – **on time and on budget**.

- PFM was hired by the State of Minnesota on August 21, 2009, to help assure that State Departments could successfully complete their initial American Recovery and Reinvestment Act (ARRA) reporting, due on October 10, 2009. **That day**, the PFM team, headed by John Cape, Randall Bauer and Virginia Rutledge had a team organizational conference call. **Three days later**, a PFM team was on the ground in St. Paul doing a project kick-off, conducting initial interviews and developing a project plan. In the following weeks, the PFM team returned on multiple occasions to do department interviews and assessments, develop and execute a training plan and put in place an internal checklist of activities. Through these efforts and close collaboration with the State, all Minnesota departments were able to successfully complete their reporting. PFM completed the project **on time and under budget**.

- The Commonwealth of Pennsylvania sought to increase its capacity to analyze alternate methods of providing state school aid funding, particularly via a 'weighted student funding' (WSF) approach. PFM was retained on December 12, 2011 to develop funding modelsfor the state's multi-billion dollar state school aid program that would support that analysis, as well as to provide background research on the use of WSF in other states. Because the Department of Education and the Governor's Budget Office wanted to use the model to analyze WSF funding options in the ongoing legislative session, it was necessary to have an operational version of the model by mid-January, with a fully working version by mid-February. To accomplish this, a PFM team, led by John Cape and Randall Bauer, met on multiple occasions with Department leadership and staff to develop requirements, necessary reports and system functionality. PFM then **built and demonstrated the model for subject matter experts in week three** and worked with them to enhance functionality through multiple iterations of the model. PFM met every project milestone and completed the project **on time and under budget.**

The PFM team also understands that customer support is a hallmark of project success. In fact, PFM has been retained by state clients to develop customer support systems for their state agencies and departments, most recently with the Nebraska Department of Administrative Services. For this engagement, PFM and Solix have, as previously explained, developed an action plan that will meet or exceed state benchmarks for customer service.

Section 2 – Technical Quotation

To continually assess customer support and satisfaction, the PFM team will use multiple methods for obtaining customer feedback. In past projects, these have included paper, electronic or web-based surveys, telephone surveys at the end of received calls and surveys and questionnaires provided at the end of appointments. Surveys are constructed using both Likert and open-ended questions. This combination provides both broad-based information on performance as well as an opportunity to raise specific issues that the project team may seek to address. In the project team's experience, a broad combination of outlets and opportunities for feedback yields the best results.

Evaluating Progress and Effectiveness to Maximize Efficiencies and Customer Satisfaction
Both PFM and Solix have a long history of managing projects associated with state government program management. Both firms have a shared 'value added' perspective in that our work with public entities strengthens their overall operations and capacity. We have a unique perspective regarding objectives versus results in determining effectiveness, and how a program "fits in" with related programs. Effectiveness evaluations will be provided to the NJEDA as part of monitoring and evaluating the Sandy Recovery grant program.

We will provide:

- Comparisons of objectives to results.
- Analysis of alternative methods for efficiencies and economies.
- Assessments of program compliance and the strength of management system controls.
- Assessments of customer satisfaction.
- Evaluations of the effectiveness of performance measurements.

We are skilled in developing efficient processes; interviewing program stakeholders; monitoring and correcting errors; designing forms, instructions and associated templates; preparing user-friendly application instructions and grant manuals; delivering training; and evaluating reviewer productivity and accuracy.

> *After administering the review process for our organization's grant program for several years, I was reluctant to relinquish responsibilities to an outside organization. Solix has consistently demonstrated a quality process combined with significant capabilities in accurately matching highly qualified reviewers to a broad range of proposals that has exceeded my expectations! Our grant program has benefited greatly from our partnership with Solix"*

- **Keith A. Gary, Ph.D., Director of Program Development, Kansas City Area Life Sciences Institute**

> *The quality of PFM's work is excellent. It was necessary for them to understand our current structure and processes, and they really dug in to inform themselves. They also took great pains to interview not only the commissioners and staff but several outside entities that deal with us on a regular basis. We made it plain to them up front that we were not afraid of criticism, and they have not shirked in being (tactfully) critical, but constructively so. They have performed their work with alacrity, on time and on budget.*

- **James Cawley, Chair, Pennsylvania Public Utility Commission**

Monitoring and Reporting
The PFM team will closely monitor the Hurricane Sandy Recovery Small Business Program fund grant balances against obligations and expenditures, promptly alerting the NJEDA to any anomalies or concerns. We will provide to the NJEDA required monthly, quarterly and annual reports, including financial statements and ad-hoc managerial reports upon request. We will also prepare and provide an annual presentation to the NJEDA, which will include detailed analyses of payments by program and

Section 2 – Technical Quotation

grantee. We will further provide all required information for Federal DRGR quarterly performance reporting.

We recognize that in addition to well-organized management approaches and personnel, efficient reporting tools are critical to the success of Sandy Recovery program. The NJEDA needs ready access the status of program activities via reporting tools capable of providing the right information at the right time.

We have extensive experience in building dynamic reporting capabilities. The PFM team will provide all reports required by the NJEDA and will develop effective means for authorized NJEDA staff to access associated reporting tools and dashboards. A sample Business Intelligence (BI) dashboard is shown below.

Sample Dashboard
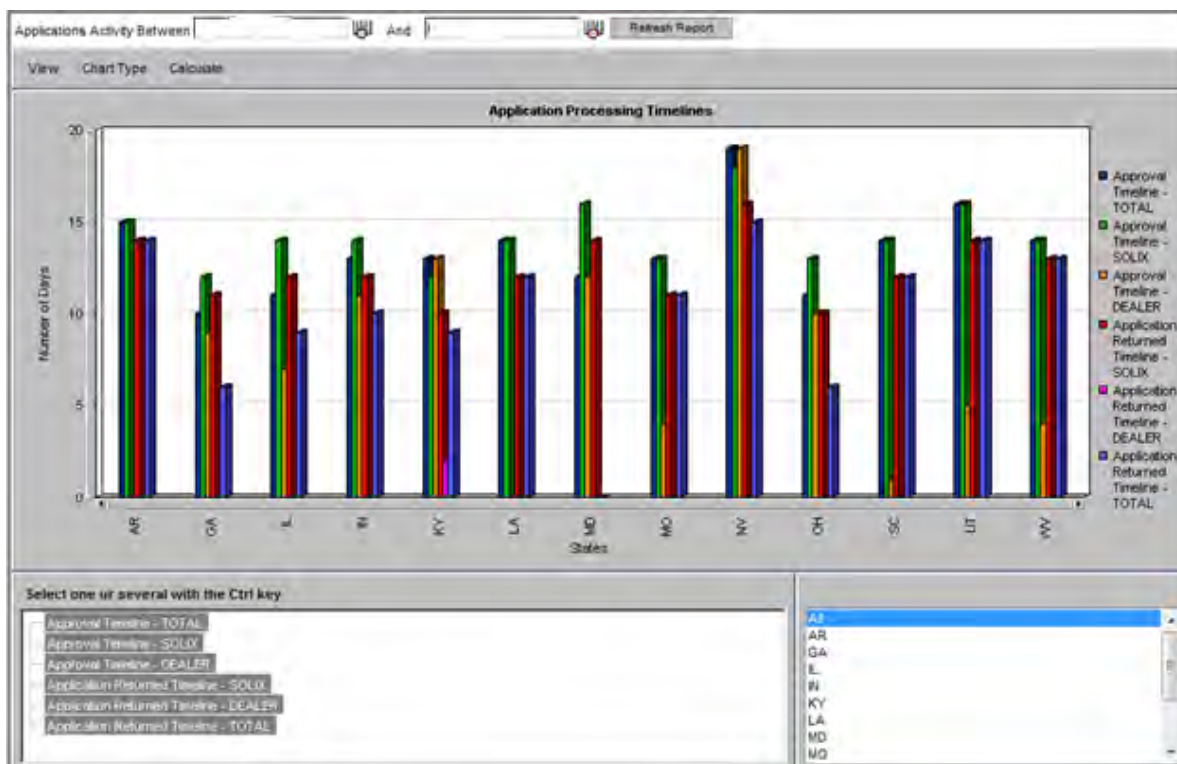
Required Reports and Documents (HUD and State)
We will develop and submit to the State Contract Manager, all reports and documents required to document the services provided to support the State's Action Plan and CDBG regulations. The reports will be provided monthly, no later than the fifth (5th) business day of the following month. Reports will include an Excel summary of the Program, including funds expended during the previous month and a year-to-date total.[1]

Performance assessment is critical to us and our customers, and we work collaboratively to establish mutually acceptable SLAs and performance measurement processes for all contracts. As an example, PFM was retained by one state customer to develop key performance indicators (KPIs) for its seven divisions. PFM worked with each division to identify and assess current performance measures and align

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[1] Please see Appendix for an example of a recent quarterly report delivered to a current customer, the Florida Department of Health, for its Florida Biomedical Research Programs (Administration and Technical Services).

Section 2 – Technical Quotation

KPIs with the Department's mission and key activities. As another example, for one customer, Solix prepares a monthly Performance Metric Report (PMR). Solix reviews the PMR with the customer's management team as well as all relevant members of Solix leadership and management. Measurements are rated against agreed-upon targets, which consist of 20 specific measurements, including call center activity, program operations, application reviews, invoicing, and appeals covering a rolling three funding years. In many instances, incentives and penalties are incorporated into the assessment process.

The PFM team has considerable experience in providing a number of reports summarizing funds expended. An example of a report that assesses performance of our financial transaction processes is Solix's "Wave Close Report." This report, so named because it relates to a run, or wave, of funding commitment letters, is carefully reviewed by management to ensure consistency in the review process. The Wave Close Reports include information such as requested funding, approved funding, modifications, and reviewer name, and serve as a system-generated quality check to identify non-recurring conditions that would prevent the issuance of a funding decision. Independent calculations of the wave process are performed using a series of database queries compared to a control job to ensure accuracy in the total number of applications to be committed as well as total dollar amounts. All Wave Close Reports require General Manager-level, client senior management, and senior level Finance signatures to independently confirm accuracy of the commitment run parameters. After a commitment is run, both Solix and the client confirm that the actual figures match the amounts in the pre-wave report. Another example is an application that PFM created for a state client to track federal funding commitments under the Workforce Investment Act, which provided similar levels of functionality and reporting.

The PFM team will assist the NJEDA in implementing effective and comprehensive monitoring tools to ensure that Sandy Recovery initiatives are achieving stated goals and objectives. We regularly provide monthly and annual financial statements to regulatory agencies to allow for timely oversight and analysis. We are also subjected to numerous external audits and reviews to verify the accuracy and effectiveness of our operating and financial systems, processes, and controls.

At the micro level, it is necessary to have real-time access to the current status of grants in order to provide assistance to the grantee organization, the State, and stakeholders, and to quickly and effectively process grant deliverables and record dispositions. At the macro level, it is vital to quickly identify and track performance exceptions and issues requiring intervention, and to quickly communicate such information.

On a statewide level, we anticipate that performance measurement and program evaluation efforts will be informed by data collection and analysis of metrics, such as the number of jobs created and the number and types of community resources. There will likely be a need to classify grants by category. Having efficient processes in place to collect relevant grant data and apply appropriate classifications, and responsive systems to organize and report on that data are fundamental program requirements that we understand and will deliver.

Records Management and Electronic Archiving
The PFM team will retain Sandy Recovery program records, documents and communications in accordance with the terms of our contract with the NJEDA and State and Federal regulations.

All data, records and program-related materials are and will remain the property of the State. In accordance with these requirements and our corporate records retention policy, we will maintain information so that it will be accessible in a format and for a length of time as contractually required. We will notify the State prior to the destruction of program data or materials, providing the State with an opportunity to take custody. Our comprehensive and tested Business Continuity Plans (BCPs) address availability and disaster recovery of all systems as well as data loss prevention.

Section 2 – Technical Quotation

All contract-related deliverables and related records will be maintained for at least five years after the date of our final payment, with the understanding that record retention beyond this point may be required by the State. After the contract ends, all the data related to this contract will be downloaded to a server. The system will be maintained offline to prevent external access. In case of any audit-related requests, the data will be readily available within a mutually agreed-upon turnaround time. In accordance with the State's needs and preferences, we can maintain data backups or this can be handled by the State.

Notwithstanding the foregoing, Solix's proprietary platforms (and all associated hardware and software), and any improvements thereto, shall remain the sole and exclusive property of Solix.

Protective Storage of Daily or Disaster-related Documents and Reports
We are committed to the practice of reducing the holding time of confidential and personal information before and after processing. We require that paper documents, including applications, be scanned and stored electronically upon receipt, and that the originals be destroyed in a secure manner as authorized by our clients. Our fulfillment and scanning staff delete successfully printed documents from its staging servers once they have been mailed. Similarly, scanning operations delete images of documents after they have been successfully uploaded to the system.

To ensure proper electronic storage and security, Solix maintains a geographically dispersed disaster recovery data center in Atlanta, GA, that is equipped to fully recover customer data and program tools. Additionally, Solix may use Amazon Web Services (AWS) to augment its computing environment. In the event of an emergency, Solix will execute business continuity procedures for all staff and operational processes, including but not limited to:

- Relocating staff to alternate facilities (Solix, a member of the Morris County, New Jersey Disaster Preparedness Database, has access to alternate facilities through arrangements coordinated by the Morris County Chamber of Commerce).
- Activating our communications protocol for contacting emergency personnel, and customers and stakeholders.
- Activating leadership and staff emergency roles.

Data Security and Privacy
The PFM team is dedicated to protecting the privacy and security of confidential information that we manage or have under our control. We will apply an appropriate level of protection to State information in hardcopy and electronic form. We understand the critical aspects of physical, logical, systems and data security. The team has robust and well-established corporate privacy policies in place. We complement our practices in these security domains with security and privacy awareness training, individually signed confidentiality and non-disclosure agreements, desktop audits and other mechanisms to ensure the human element of security. Solix will ensure appropriate internal controls are designed and implemented to protect information under its control from manipulation, sabotage, theft, or breach of confidentiality.

The system will consist of redundant web and database servers, for high-availability, using Microsoft Windows 2008 Operating System along with Microsoft IIS (7.5 or latest version) and Microsoft SQL Server, respectively. Our hardware configurations are designed and deployed to handle high performance web/data intensive applications and allow for rapid deployment of server instances for additional capacity. We further perform nightly backups to a disk back-up appliance. The disk back-up appliance will encrypt the backed up data for maximum security and then replicates to an equivalent remote disk back-up system at Solix's disaster recovery data site over a Virtual Private Network (VPN).

Section 2 – Technical Quotation

Data Loss Prevention

DATA SECURITY PROCEDURE	BENEFIT
Whole Drive Encryption of Every Laptop	Protects data if a laptop is lost or stolen.
Prevention of Copying via USB	Prevent the copy of data to USB tokens or USB hard drives and CD/DVDs, which is a major source of data loss from workstations today.
Remote Hosting Technology Configuration	Remote hosting servers are configured to prevent remote workstations from copying data and files.
Use of HTTPS	HTTPS provides encrypted communications and secure identification of a network web server to, for example, secure data used by Customer Care Advisors.
VPN	Secure VPNs use cryptographic tunneling protocols to provide confidentiality by blocking intercepts and packet sniffing, allowing sender authentication to block identity spoofing, and provide message integrity by preventing message alteration. Primary and secondary VPNs will be used between the State data centers and the Solix data center in our Mercerville primary operating facility.
Transmission of Data via SFTP	SFTP will secure data as it travels through the Internet.
Microsoft SQL Server's TDE	TDE encrypts data regardless of the data classification, thus greatly reducing the possibility of a security breach. TDE will secure the database at the physical media level.
File Encryption	Solix employs encryption tools to send and receive sensitive information.
Disk Back-up and Off-Site Replication	Nightly backups are performed to a disk back-up appliance, which encrypts the back-up data for maximum security and replicates the data to an equivalent back-up system at the Solix disaster recovery site.
Real-Time Replication to Solix's Disaster Recovery Site	The real-time replication of data prevents loss of data entered as a result of midday catastrophic events.
Verification/Chain of Custody	Engineers review and analyze daily reports for accuracy, completion, and data anomalies of backed up data. Backups that are not successfully completed are corrected and run immediately, and replication processes that fail are immediately corrected and resumed.
Thorough Restore Testing	The restore of backups are tested to different target locations to ensure that they are successful to each location. Backups of the back-up tapes are also tested at the disaster recovery site during DR tests. Solix also conducts periodic validation tests of the replication routines, and conducts a full system restoration during scheduled annual disaster recovery test.
Physical Controls	Solix employs approved access, via policy and staff identification badges, to the data center, document storage areas, scanning room, mail room, disaster recovery site, and operations and finance areas requiring restricted access.

Data Storage

The PFM team will store, process and maintain all data provided by the State or gathered on behalf of the Sandy Recovery program, solely in accordance with the project plan and system topology approved by the NJEDA Contract Manager. We will obtain in advance the State Contract Manager's written approval for any State data that needs to be processed on or transferred to any device or storage medium including portable media, smart devices, and/or USB devices. The PFM team will ensure that policies, procedures and controls are in place to restrict the processing and transfer of information to mobile devices, including laptops and smart devices, and media without proper authorization.

Section 2 – Technical Quotation

Encrypted drives will be installed in all laptops to protect data should a laptop be lost or stolen. All local workstations are configured to prevent the copying of data to USB tokens or USB hard drives and CD/DVDs.

In addition, all project members will review and sign confidentiality agreements requiring proper handling of information. Information security policies will be reinforced periodically by updates and awareness training. Anyone found violating confidentiality agreements or policies is subject to disciplinary action, up to and including termination.

End of Agreement Data Handling
We recognize the importance of proper handling of media in order to prevent unauthorized disclosure of information. Upon termination, the PFM team will destroy all State data, with State Contract Manager's approval, and in accordance with the State's Information Disposal and Media Sanitation policy, 09-10-NJOIT. The PFM team will certify in writing that the actions have been completed. The PFM team will complete the actions within 30 days of termination or within 7 days of the request by an agent of the State, whichever is first.

Solix currently has in place a comprehensive *Disposal of Devices and Media Policy* that conforms to the NIST "Special Publication 800-53 Security Controls for Federal Information Systems and Organizations", Section "MP-6 Media Sanitization" and NIST 800-88 "Guidelines for Media Sanitization" which provides generally accepted guidelines for government agencies and other industries. Solix sanitization methods include clearing by Department of Defense (DOD) overwriting at a minimum, up to and including shredding. The sanitization techniques are based on the type of data stored on the device or media. Working with the State, we will determine the best form of sanitization for the State's data.

State-Provided Facilities

The PFM team acknowledges and understands that the State will be providing facilities for applicant support services at two NJEDA facilities: the Tinton Falls, Monmouth County facility and the Trenton facility.

These facilities will house up to thirty-seven (37) contractor employees between CRs, call center, CDPs and supervisory staff. Further details of the PFM team's proposed plan to address application intake, facilities utilization and facilities management are discussed in the Application Intake section of the Management Overview.

We understand that these facilities will be provided with electricity, telephone, Internet connectivity, furniture, and parking by the State. We will use these facilities solely to provide operational support services to the Sandy Recovery program. As discussed fully in the IT Support Services section of the Management Overview, we will provide all necessary business equipment and technology tools to support Sandy Recovery operations.

In addition, as indicated in Modification #1 to the RFQ, we will have CRs accessible in all nine impacted counties (as identified by HUD) several days a week. We understand that the State will provide field office locations through the State's network of WIB offices.

Data

As discussed fully in the IT Support Services and Data Compatibility sections of the Management Overview, the PFM team will provide data in a compatible format, and that data will be accessible from on-site locations as well as in a secure remote access environment that will be in strict compliance with the State's data confidentiality and security requirements.

Section 2 – Technical Quotation

Contractor Project Management

The PFM team will be led by Engagement Director John Cape, a Managing Director in PFM's Management and Budget Consulting practice. John will have primary responsibility for ensuring that sufficient resources, including key personnel, are dedicated to the project by PFM and its subcontractors to ensure its success. The project Guidance Team will also include Randall Bauer as the overall Project Manager. With John, Randall co-leads PFM's State Management and Budget consulting practice. Randall will coordinate day-to-day activities among PFM and its subcontractors and also be a point of contact with the State on regular project reporting.

The project Guidance Team will also include senior representatives of Solix's daily project operations team, its most senior Claims Supervisors and its most senior Closing/Disbursement Supervisor. They will be responsible for communicating day-to-day operations issues to PFM, staffing and/or other needs for PFM and with subcontractors, and area-specific communication with the State related to day-to-day program operations.

Solix will provide experienced on-site Claims Supervisors to lead the CRs during all hours of operations at the Trenton facility. The Claims Supervisors will provide all operational, financial and administrative oversight related to the day-to-day operations. The Claims Supervisors will be the single point of contact (point person) for managing the State's account, ensuring that deadlines are met and outcomes achieved for claims-related issues. With NJEDA approval, we will ensure comprehensive coverage by providing two Claims Supervisors, each working a 7.5 hour shift and performing all of the required duties, to provide the NJEDA with full coverage for the entire 15-hours of operation daily. Further, we have identified a fully qualified Back-Up Claims Supervisor who will be able to step in and provide equal levels of knowledge and service as needed.

Solix will also provide experienced on-site Closing/Disbursement Supervisors to lead the CDPs during all hours of operations at the Trenton facility. The Closing Supervisors will provide all operational, financial and administrative oversight related to the day-to-day operations. The Closing Supervisors will be the single point of contact (point person) for managing the State's account, ensuring that deadlines are met and outcomes achieved for claims-related issues. With NJEDA approval, we will ensure comprehensive coverage by providing two Closing Supervisors, each working a 7.5 hour shift and performing all of the required duties, to provide the NJEDA with full coverage for the entire 15-hours of operation daily. Further, we have identified a fully qualified Back-Up Closing Supervisor who will be able to step in and provide equal levels of knowledge and service as needed.

Communications – Reporting/Team Teleconference Meetings

The PFM team will provide all required reports described below in a mutually agreed-upon time frame, no later than the fifth business day of the following month. The written reports will summarize the funds expended during the prior month and a total for the year-to-date expenditures. This report will be in Microsoft Excel format to be defined and provided by the NJEDA prior to the first reporting period.

Other specific reports required by the State Action Plan and CDBG regulations will also be provided by the PFM team as described elsewhere in this proposal.

Initial Organization Meeting

As described in full in the Contract Schedule, the PFM team agrees to the State's conditions and requirements regarding the Initial Organizational Meeting, which will be held within two business days of contract execution. Our staff, along with subcontractor staff, will attend this meeting in-person in Trenton as requested by the State. The purpose of this meeting will be to gain a more clear understanding of expectations, timeframes, and deadlines, and to address any unknowns or other issues. We look forward to this opportunity to collaborate with the State's representatives on the launch of the Sandy Recovery program.

Section 2 – Technical Quotation

Attendance at Meetings

The PFM team will attend and participate in the weekly meetings described in the RFP to be held at the State's facilities in Trenton, New Jersey and at other locations throughout the State of New Jersey as required. We understand these meetings will be approximately one hour in duration and may require presentations including written or audiovisual supplements.

Senior leadership from the Guidance Team will be in attendance at these meetings in-person or via teleconference, as determined by the NJEDA, along with any key staff whose role and expertise related to the specific issues on the meeting agenda. These meetings will be structured in a manner to facilitate the discussion of project timelines, challenges, issues, new developments and resolutions to existing issues. Within three days after each such meeting, all action items will be addressed and implemented as discussed during the meeting unless mutual agreement otherwise is reached. We understand that the NJEDA will retain sole discretion over the priority of all action items and the need to implement action items within the three day time period.

Availability of Services

The PFM team's staff will be available to support Sandy Recovery program operations during the business hours defined by the state as 8:00 a.m. – 11:00 p.m. Monday through Saturday, excluding State holidays. Two full shifts will be provided for all six days in each work week. If the NJEDA determines that work is required on Sunday to meet the needs of business applicants, we will accommodate this requirement by staggering normal staffing schedules, given that no additional compensation will be provided relative to Sunday work schedules.

We are prepared to work the hours required to achieve the deadlines required to meet the initial start-up schedule and ensure that within thirty days of the Initial Organizational Meeting, the Sandy Recovery program will be operational.

Expenses and Reimbursements

The PFM team acknowledges and understands the State's proposed travel expenses and reimbursement schedule will match that of the GSA published rules and rates including disaster specific amendments. Reimbursable expenses will be limited to the following:

- Coach class air fare purchased at the lowest reasonably available rate and baggage fees, to include Consultant Deployment and Demobilization Travel;
- Meals limited to the maximum current GSA per diem rate (receipts not required but will be supplied if FEMA or other funding agencies require same);
- Lodging limited to the maximum current GSA per diem rate to include GSA- or FEMA approved lodging waivers;
- Rotation airfare for Consultant employees or approved Sub-consultants will be reimbursed based on the Consultant travel policy which limits each individual to a maximum of one (1) extended weekend trip every two (2) weeks, with up to one (1) trip every quarter being a trip that can extend up to a week in duration; coach class air fare purchased at the lowest reasonably available rate plus baggage fees. Additional rotations or extensions of rotation duration may also be allowed outside of this rotation policy if deemed cost effective or for client-recognized holidays, as long as they are approved by the State Contract Manager;
- Mileage for Consultant privately owned vehicles at the current New Jersey rate of 31 cents per mile; and
- Car rental, only as approved by State Contract Manager, at rates equal to or lower than the State's rental car contract, M0064, located at: http://www.state.nj.us/treasury/purchase/noa/contracts/m0064_12-r-22550.shtml

Section 2 – Technical Quotation

We agree that travel expense and reimbursements will only be made up to the not to exceed limit submitted with the cost proposal. All other travel and reimbursements will be at our expense.

Other Direct Costs

The PFM team understands and acknowledges the other direct costs listed in the RFQ, and herein incorporated by reference, will be listed and provided to the State Contract Manager prior to purchase or lease. The State Contract Manager will review that list and will have the ability to approve or deny each item requested. Additionally, we understand that the approval of the DCA Finance Manager may be required. Related to all other direct cost purchase or lease arrangements, we will obtain price quotations from a minimum of three sources, which is in alignment with our customary procurement practices.

Performance Metrics

The ability to monitor the activity of the organization is a basic premise at both PFM and Solix. Performance Assessment is critical to us and all of our customers, and we work collaboratively to establish mutually acceptable SLAs and performance management processes for all of our contracts.

As previously described, for one customer, Solix prepares a monthly PMR. The PMR is reviewed with the customer's management team as well as all relevant members of Solix leadership and management. Measurements are rated against agreed-upon targets, which consist of 20 specific measurements including call center activity, program operations, application reviews, invoicing, and appeals covering a rolling three funding years.   In many instances, incentives and penalties are incorporated into the assessment process.

Sample Performance Metric Review
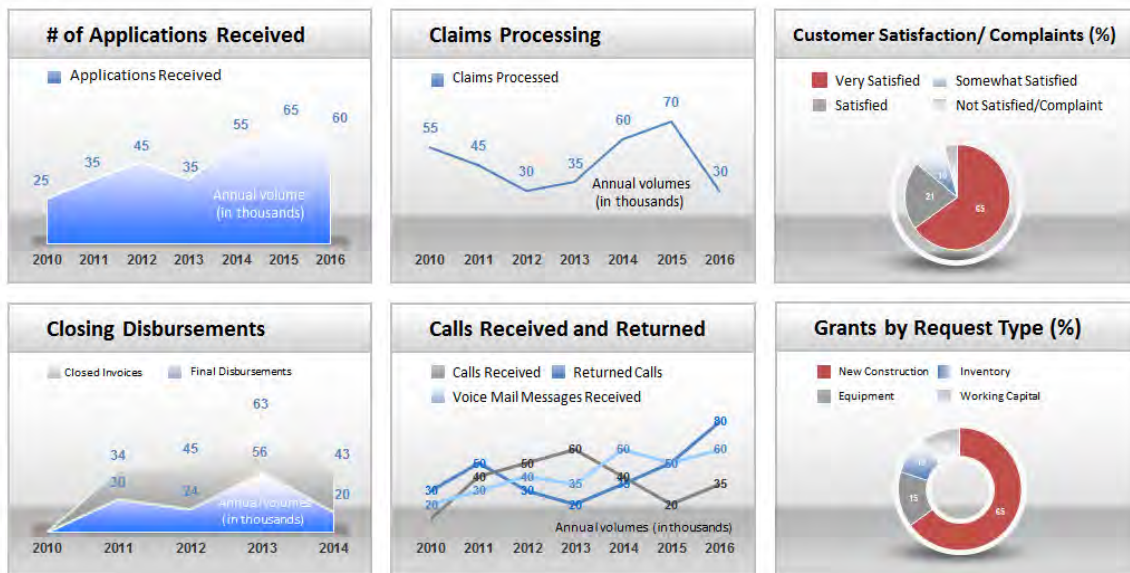
For the NJEDA, we will develop a reporting mechanism (for the State Contract Manager's approval). We commit to meeting the stated performance metrics 99% of the time.   As indicated throughout the technical quotation, we will provide application processing services to meet or exceed the following metrics:

Section 2 – Technical Quotation

Approach to Exceed Identified Metrics

REQUIREMENT	PFM TEAM APPROACH
Call center: • Answer all incoming calls within four rings (or caller will be able to leave a voice mail message). • Voice mail message will indicate that the applicant may expect a return phone call within three hours or by 10am next business day, if calling after 3pm.	Our CRs will answer all calls within four rings, to the extent possible. Other calls will be directed to voicemail, which will clearly indicate the time frame that the applicant can expect regarding a call-back.
Call center voice mail: • Check voice mail every hour. • Applicants will receive a return phone call within three hours or by 10am next business day, if calling after 3pm.	Our CRs will diligently check their voice mail every hour. At a minimum, they will respond to callers within three hours or by 10am if the call was received after 3pm. They will handle the caller's request or at a minimum, provide information and an expected timeframe for resolution, as well as next steps and follow-up information.
Claims processing: • Ability to schedule appointments to assist with requests for in-person assistance with application completion. Applicant to meet with Contractor's representative within thirty (30) minutes of the applicant's arrival on site; and • If a business does not qualify for a grant, Contractor's staff will refer to NJEDA staff to determine if an EDA product is available to them.	Applicants will have the ability to schedule appointments by phone or with online scheduling. Applicants will be able to meet with one of our claims reps within thirty minutes of arrival on site at the Tinton Falls or other program locations. Each applicant will be assigned a rep as his or her single point of contact to guide the applicant through the grant application process. Supervisors will verify and escalate to the Program Manager any business applicants that do not appear to qualify for a grant, who will refer such instances to the NJEDA staff.
Closing disbursements: • The Contractor's performance in servicing the contract will be subject to audit by various entities internal and external to the State. An audit performed by one of these entities shall yield no more than one-half of one percent (.5%) error rate in operational and administrative processing and handling of applications, including document retention; and • Regarding financial controls, a zero-tolerance error rate is required.	We are accustomed to undergoing audits by State and Federal agencies related to our work on government programs. Our error rates are normally significantly lower than what our customers require.
Applicant Complaints: • Applicant complaints will not exceed one percent of the total applications received each week from businesses regarding substandard customer service levels or inaccuracy.	On a recent customer satisfaction survey done with customers who launched new programs in 2012, customers were asked about their satisfaction with the support, management and implementation of the technical aspects of their program. Ninety percent of customers (90%) replied "extremely satisfied."

Section 2 – Technical Quotation

Contract Management

On a project level, PFM uses a range of project management tools and techniques to keep work moving forward on time and on budget. Both the Engagement Director and Project Manager receive bi-weekly project reports detailing hours worked by all team members assigned to the project, and are authorized to commit resources toward meeting client goals. Between these senior leaders, and across all levels of our teams, our corporate culture promotes regular, open, and active communication and coordination.

PFM also provides regular written project reports, generally on a weekly or bi-weekly basis, depending on the client's needs. These reports detail the activities undertaken in the reporting period as well as forward scheduled activities and an updated project calendar. The report also details project benchmarks and performance during the reporting period. It also identifies any issues in need of resolution, the risk associated with these issues and the appropriate party or parties for decision-making, and a deadline for disposition.

PFM also, again as the client desires, will schedule regular conference calls or face-to-face project updates with appropriate State personnel. These updates will review the detailed project plan and actual performance, provide updates on budget actual versus plan and review performance measures and any planned or undertaken actions to improve performance and/or mitigate risk.

It is our belief that this multi-faceted approach to reporting will provide an unsurpassable degree of oversight and review – as well as seamless communication and transparency for the State.

Contract Schedule

Sandy Business Recovery Grant Program Project Plan
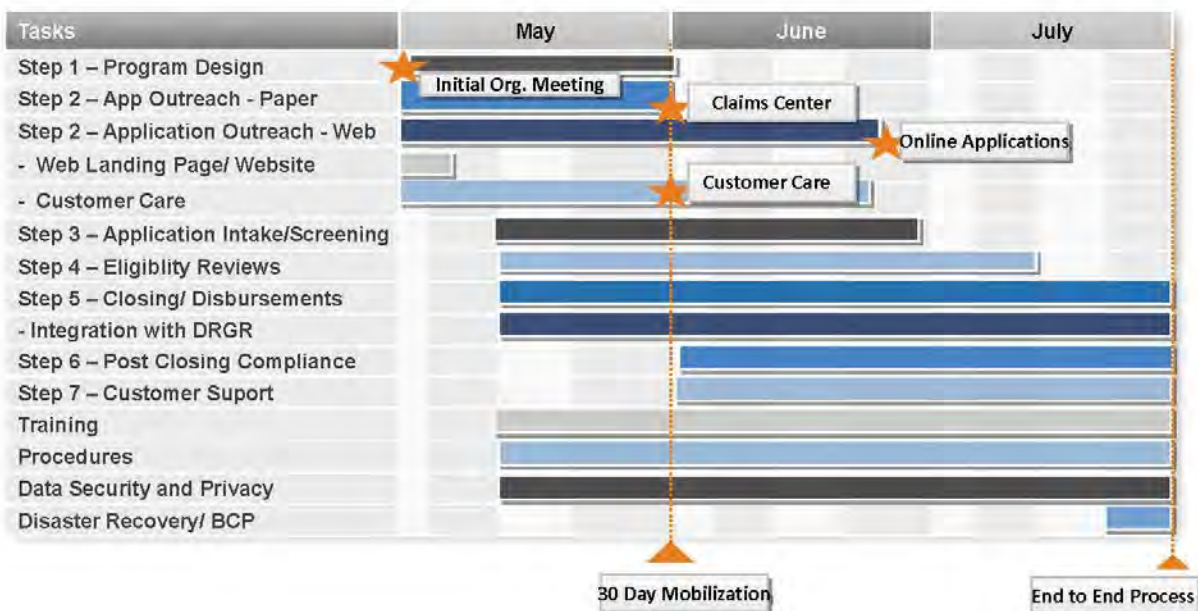
The PFM team will utilize a Gantt chart to schedule and control project tasks. In our subsequent version of the project plan, we will assign tasks to individuals who will be held accountable to the project team to ensure completion of their assigned task(s). We have found that Gantt charts are effective tools for communicating with stakeholders as well as the project team as they provide a clear status of each task

Section 2 – Technical Quotation

associated with the project and thus the overall project status. The table below summarizes key deliverables related to each step of our solution.

Key Deliverables

STEP	PROJECT PLAN STEP NAME	KEY DELIVERABLES
Initiation Phase	30 day Mobilization Period	See Mobilization and Implementation Plan
1	Program Design and Deployment	• End-to-end process flows • High-level policies and inventory of policies • Assemble and deploy team
2	Outreach and Applicant Assistance	• Online/web-based application system • Call center tools/FAQ • In-person tools/FAQ
3	Application Intake and Screening	• Application system • Screening checklists • FAQ, escalation and communication tools
4	Eligibility Review	• Eligibility and QC policies • Resource requirements • Eligibility/QC system
5	Closing and Disbursement	• Quantify resources needed • Develop training • Schedule and deploy training • Configure and implement closing technology
6	Post-closing Compliance and Follow-up	• Customer satisfaction process • Next phase planning for program enhancements • Escalation procedures
7	Customer Support and Contract Management	• Reports • Lessons learned presentation • Reporting documentation • DR/BCP and data security and privacy results

Section 2 – Technical Quotation

Mobilization and Implementation Plan

Our approach brings the NJEDA many tangible benefits, including our proven project methodology, toolkits and organizational breadth allowing us to mobilize and support the NJEDA immediately, with capacity to scale to meet application volume fluctuations. We have a broad and deep pool of resources, with subject matter expertise to fully support the NJEDA Sandy Recovery program.

As an example, Solix's ability to launch successful programs in short time frames was recently acknowledged for our design and implementation of the Connect2Compete program, which was awarded the 2012 Project of the Year by the Project Management Institute of New Jersey.

> *Out of the many submissions, your project not only showed an in-depth knowledge of executing project management skills but it was quite clear during the interview there was great collaboration among your leadership team.*

- **Louis A. Vazquez, PMINJ Project of the Year Director**

The following mobilization and implementation plan details the steps that the PFM team will take to design, staff and implement the manual and automated solutions, along with all supporting processes, to launch and manage the operations of the NJEDA grant program.

Project Management Approach and Tools

The PFM team follows industry best practices in establishing Project Management and Requirements Plans that help ensure successful completion of program goals. The essence of our plan is to provide the NJEDA with a comprehensive view of how the work will be done, who will do it, what resources will be required and how we will mitigate risk and ensure quality.

The topics addressed in our project plan include:

- Start-up Plan
- Program Organization/ Stakeholders
- Work Breakdown Structure (WBS)
- Resource Planning and Staffing
- Communication and Coordination
- Tools, Methodologies, and Techniques
- Deliverables Schedule
- Data Security
- Training
- Risk Management
- Quality Control
- Performance Metrics

Section 2 – Technical Quotation

> *As our contracting partner in the management and administration of the James & Esther King Biomedical Research Program and the Bankhead-Coley Cancer Research Program, Solix has done an excellent job of providing a comprehensive set of services. Drawing upon their consulting expertise, we have collaborated with Solix in crafting a wide variety of grant mechanisms and Calls for Applications. Their strong project management skills have helped us pace our efforts, focus our attention on the highest priority issues, and meet deadlines. Their competency in peer review management and their access to such a large number of high quality reviewers have enabled the Department of Health and the Florida Biomedical Research Advisory Council to make confident funding and grant continuation and extension decisions. Our programs have earned a reputation among our grantees and researchers throughout Florida for holding high but fairly-enforced standards, due in large part to Solix's grant management capabilities and outstanding customer service.*

- **Sherrie Hajek, Program Manager, Florida Biomedical Research Program, Florida Department of Health**

The PFM team will participate in the Initial Organizational Meeting to quickly gather the launch requirements and gain a deeper understanding of the performance expectations, timelines and success factors for the Sandy Recovery grant program. We will also participate in weekly meetings with key staff. We understand that due to the critical nature of the program, action items identified and agreed to by both parties will be addressed and implemented within three days, or as mutually agreed. The NJEDA will determine the priority and the need to implement action items.

To ensure that the project is progressing according to plan, we will also conduct daily/weekly internal project meetings as needed. To assist the NJEDA in successfully administering the distribution of disaster relief funds, we are prepared to provide a wide range of services and flexible solutions suitable for all stages of the life cycle of the program. Solix's clients find our project management approach to be extremely flexible, especially for programs that are critical to the public and have short lead times. Solix's effectiveness in this regard is evidenced by the following quote:

> *Solix was our project and operational backbone to deliver what we had promised to our partners and the public and we were moving at an unprecedented pace in unchartered areas. The timeline for project completion was very tight. I would say, 'We are building the plane while flying it!' Luckily, Solix had the skills to utilize the project management 'map' to build a flight worthy plane! The effective management of the project allowed Solix to demonstrate that they not only have a deep knowledge in program development, implementation and administration, but they are project management experts. Solix went above what we were expecting and we were very grateful and appreciative for this level of support.*

- **Sonja Murray, Executive Vice President of Connect2Compete**

Project management tools and technologies will be used to support program management. These will include a NJEDA launch portal to manage key dates, project plans, a document repository, and a centralized issues list. We also use webinars/teleconferencing and recorded meetings for those who may not be able to attend to ensure consistent communication. For project scheduling, we generally use Microsoft Project software. We have found that simulations of the customer experience through flow charts, PowerPoint presentations, or system demos are critical to defining requirements in short periods of time. These tools will be incorporated into our approach and will provide tangible value to the NJEDA during project launch.

Contract Scheduling
We will create a project plan using Microsoft Project to manage multiple project phases and to allow for readiness within 30 days, with additional systems and functionality subsequently rolled out.

Section 2 – Technical Quotation

Sandy Business Recovery Grant Implementation Plan
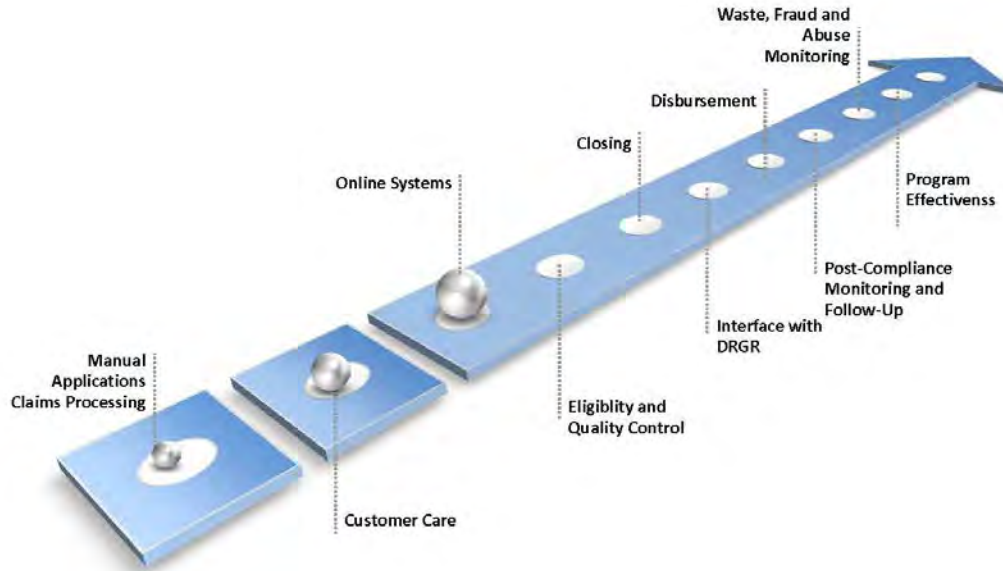
Our project plan will include the ability to take in applications within the first 30 days, as well as to handle customer care via calls or on-site. The following highlights the major project components by week, for Weeks 1 – 4 (i.e., the 30-day mobilization period).

Week 1 – Kick-off and Requirements Planning
- Kick-off
- Internal Organization Meeting
- Define Roles and Responsibilities
- Develop detailed project plan, Key Deliverables and Dates
- Begin defining requirements and drafting flow charts for the following areas:
  - Claims Processing - Development of application forms, review checklists and scoring rules
  - Customer Care - High-level flow and requirements of customer care

Week 1 Deliverables
Project Plan
Roles/Stakeholders
Draft Flow Charts
Informational Website Launch

Week 2 – Finalize Requirements and Processes
- Define application intake processes and systems, including receipt and logging
- Develop application checklist and required documentation
- Develop required internal controls
- Generate Policies and Procedures
- Document scanning and data entry procedures
- Finalize customer care flow and required technology including voice mail script
- Draft FAQs

Section 2 – Technical Quotation

- Quantify resources required
- Draft reporting requirements
- Define technical support for applicants
- Conduct site visits to state-provided facilities

Week 2 Deliverables
Final Flow Charts
Policies and Procedures
Processes for application intake, scanning and data entry
Finalize system requirements for application intake

Week 3 – Develop Training / Policies and Procedures and Risk Management
- Develop, schedule and finalize training
- Approve policies and procedures
- Approve escalation and denial procedures
- Implement technical infrastructure to support claims and customer care processes
- Risk Management planning, including risk identification and mitigation
- Begin translation of manual requirements into eligibility platform
- Begin development of eligibility, closing and disbursement processes

Week 3 Deliverables
Training Plan
Training Materials
Escalation Plan
Risk Plan
Technical Infrastructure Complete (Claims Processing and Customer Care)/Voice Mail

Week 4 – Train Teams and Establish Reporting
- Launch Planning Review
- Execute Training
- Establish Reporting
- Test Claims and Call Center technical infrastructure/Voice Mail

Week 4 Deliverables
Readiness Meeting
Go Live

Planning will also be conducted during the 30-day mobilization period. This includes designing the eligibility review, closing and disbursement processes and development of full website functionality. Based on the information and scope of work defined in the RFQ, our approach will accommodate accepting applications within 30 days.

A hallmark of our client relationships is exceptional flexibility and responsiveness in modifying approaches to suit client needs without compromising high standards for equity and integrity in eligibility review. Whether it is to improve claims processing protocols, revise procedures, or adapt to program evolution, we will be prepared throughout the life of the contract to refine and adapt our approach so it best supports the NJEDA mission.

After the 30-day mobilization period, we will implement the remaining process enhancements for eligibility review, closing and disbursement processing. The project plans will be finalized in cooperation with the NJEDA and according to the State's priorities. This approach will allow us to work with the NJEDA to clearly define Day One Launch requirements and to design a phased approach for additional functionality. New programs and solutions are often adjusted based on the actual experience of applicants, which may differ from initial plans or assumptions. Our organizational structure and customer-focused approach will

Section 2 – Technical Quotation

allow us to identify and quickly implement such modifications in a manner that is seamless to applicants and the NJEDA.

Contract Management and Status Reporting

Upon contract award notification, we will meet in Trenton with the NJEDA staff for a day-long meeting, either as part of the Initial Organization Meeting or in addition. Key members of the project team will be introduced to the NJEDA team, gather relevant information about the program and schedule significant upcoming events. We will clarify our assumptions and solicit feedback regarding NJEDA task priorities and preferences.

We will draft a communication plan to provide project status reporting and general communication between the PFM team and the NJEDA staff. Based on the outcomes of this meeting, we will refine various elements of our proposed approach as needed and begin developing a more comprehensive plan. We are accustomed to preparing narrative reports summarizing accomplishments against objectives for the period, identifying corrective actions for problems, recommending process improvements and clarifying objectives for the coming phases. Besides providing written documentation of project status, these reports enable our clients who are not directly involved in day-to-day communications to maintain a familiarity with the program status and the level of service we are providing. The Project Manager will compile and deliver semi-annual performance reports, along with all other reports required.

During the initial launch phase of the program, the PFM team will submit regular status reports to NJEDA, summarizing accomplishments and overall task status. Reports will address implementation status, issues and open items to ensure satisfactory completion according to the contract and agreed-upon schedule.

Although the planned reports are basic to sound program management, a program as dynamic as the Sandy Recovery initiative will require a day-to-day status monitoring. The Project Manager, along with the Program Manager, and the Claims and Closing/Disbursement Supervisors will work with the NJEDA to provide continuous visibility to status updates, deliverables and operational performance.

> A 2012 customer satisfaction survey showed that 90% of Solix's customers were "Extremely Satisfied" with our project implementation and management support.

We have the requisite grant administration experience to support the NJEDA in all aspects of the program and in anticipating and avoiding potential roadblocks. As demonstrated in the following sections, our experience will allow for a timely and effective implementation, and our management approach will provide the on-demand flexibility and capacity that the environment demands. Our team will provide the end-to-end support required by the NJEDA to implement, staff, execute, measure, and refine the claims, application and eligibility review processes, as well as downstream closing, funding, and post-award oversight.

The PFM team's plan provides a focus on the critical elements of Program success:

- Operational Readiness within 30 days after the Initial Organization Meeting.
- An efficient, repeatable and scalable process that produces results consistent with Program objectives.
- Proper allocation of resources to provide effective engagement and oversight.
- Reporting mechanisms that enable continuous process improvement, risk management, and program integrity and transparency.

To support the initial 30 day deliverable and ongoing rollout of the program, the Project Manager will coordinate with the NJEDA to ensure successful program definition and management. The Project Manager will develop a comprehensive plan and submit it for approval by the NJEDA. In a demand-driven program such as Sandy Recovery, the Project Manager must ensure that tasks are completed and

delivered on time to manage the high-variance claims, application, closing, and funding tasks, as well as for related critical tasks such as policies, procedures, QC, reporting and prevention of waste, fraud and abuse.

Manual Claims Processing - Ready in 30 Days

Manual application processing will be ready within 30 days after the initial meeting. This includes all policies, procedures, systems to capture applications and required staffing to manage paper applications. Understanding that not all eligibility and website functionality will be in place within 30 calendar days, we will implement a manual process that can be seamlessly transitioned into a more automated process when implemented. To this end, manual applications will be loaded into our eligibility platform to support automated routines.

Following a phased approach, we will also allow for applications to be sent via mail, fax and email as well as online. The PFM team's experience in developing grant management solutions will ensure that the resulting processes will achieve all of the State's requirements. We will utilize best practices in manual application processing, including application scanning/indexing, and standard and documented claims processing procedures to minimize errors and generate consistent reviews.

The solution for managing applicants includes both manual processing of paper applications as well as automated intake of electronic applications. The following high-level steps outline an application intake and processing approach that will allow for a quick launch and seamless conversion to automation.

- Accept applications via a variety of methods, initially utilizing manual processing for applications received by mail.
- Prescreen all applications according to minimum requirements using formal checklists and procedures.
- Manage applicant communications to collect incomplete or missing information.
- Data enter and scan information into the eligibility platform.
- Conduct eligibility reviews and make funding recommendations to the NJEDA.
- Perform closing and post-closing processes.

Solix is experienced in manually processing grant applications during project initiations. In fact, many of the programs that Solix administers require that a manual application process be available even after all systems are fully functional in order to meet varying customer needs. For the Federal E-rate program, approximately 5 percent of applications are submitted via paper. Solix has a 15-year track record of accurately and efficiently capturing all data elements from this very complex paper application. In other programs where data elements are more standardized, Solix uses barcoding and scanning to accomplish the data capture. Solix also utilizes external data sources to verify address information and can seamlessly interface, through an API, with any additional third-party systems required by the State.

Based on projected Sandy Recovery application volumes, Solix can effectively manage the initial surge as well as the processing throughput of manual applications utilizing its experience and flexible staffing and training approach.

Applicants can acquire manual applications in the following ways:

- Download from the website;
- Request by phone; or
- In-person visit.

Paper applications will be processed as follows:

- Application and documentation will be prepped and scanned;

Section 2 – Technical Quotation

- Data will be entered into the eligibility platform;
- A unique application identifier/code will be assigned; and
- The application form and all supporting documentation will be passed into the CR queue for review.
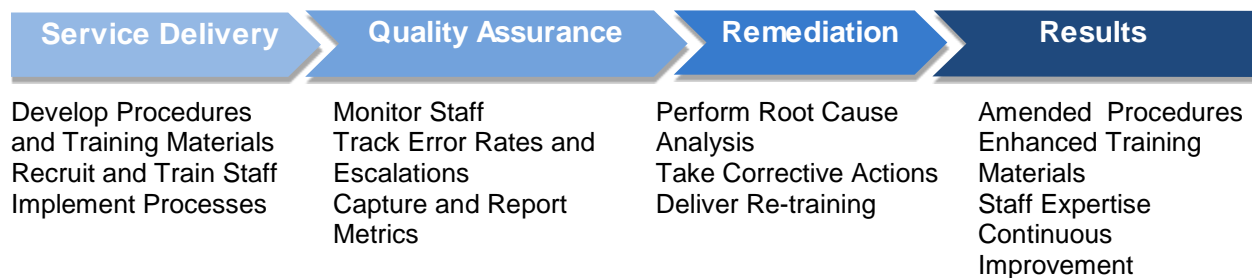
Automated Claims Processing

The input of all paper applications into our GrantEase/EAP will make the paper applications available for processing, tracking and reporting in the same manner as applications submitted online once the system is fully automated.

Quality Control/Process Flow Infrastructure

Upon contract award, the PFM team will execute a comprehensive QC process in support of achieving NJEDA program performance metrics. The QC process involves a balanced approach that builds quality into all aspects of process management, including phase-in, application processing, program operations and compliance as well as human resource management.

Quality Control Flow

Service Delivery	Quality Assurance	Remediation	Results
Develop Procedures and Training Materials Recruit and Train Staff Implement Processes	Monitor Staff Track Error Rates and Escalations Capture and Report Metrics	Perform Root Cause Analysis Take Corrective Actions Deliver Re-training	Amended Procedures Enhanced Training Materials Staff Expertise Continuous Improvement

The PFM team will conform to the requirements set forth by the State and meet or exceed the required efficiency levels. QC processes will ensure delivery of quality services focusing on the techniques of processing, handling, documenting, archiving, and reporting as required by the RFQ.

Defined procedures regarding interaction with the State will ensure prompt, accurate, clear, and comprehensive responses to inquiries and requests. This includes assisting the State with timely and useful analysis, and providing proactive recommendations to support program performance. In addition to identifying and analyzing key programmatic topics, we will follow formal procedures to ensure that issues are tracked, monitored, and followed through to resolution. The State will be able to reach one of the primary contacts 24 hours a day, 365 days a year.

If issues arise, root cause analysis procedures will be followed to determine the source of a pattern of errors, if any, and how to best prevent future errors. As previously stated, in 2011, Solix's California LifeLine SLA required an application review error rate of no more than one percent (1.0%). Their actual error rate was less than one-half of one percent (0.50%), and this was accomplished while processing more than 3.5 million applications during the year.

Processes currently in place for existing programs, which will be incorporated into the NJEDA program, include subjecting certain applications to a QC review. The selection of reviews includes both random samples and parameter-determined selections. Parameters that may trigger a QC review can include, for example, categories such as total business revenue of the applicant, the dollar value of the amount requested, and the dollar value of the difference between the grant request and funds received from insurance or other sources.

Section 2 – Technical Quotation

Adherence to documented procedures and continual feedback loops drive consistency, objectivity, and transparency. Further, our processes and solutions have been verified externally through numerous successful SOC-1, SAS-70, financial, and managerial audits, as well as process integrity and efficiency reviews by clients.

Potential Problems

With many from the PFM team significantly and personally impacted by Superstorm Sandy, we truly understand the critical nature of the Sandy Recovery program for the people and the State of New Jersey. This situation underscores the need for a partner that grasps the policy intent and sense of urgency that drives the State's goals. Our team will ensure a rapid and smooth flow of grant decisions and funds. We will diligently anticipate potential problems and respond quickly to mitigate unanticipated problems as they arise.

As evidence, we are prepared to face the following and other potential problems with possible solutions already identified.

Small businesses affected by the storm may not have all the information required to complete an application.

We will operate with compassion and reasonable flexibility in working with affected small businesses and in accepting available documentation. Our small business interactions and review processes will be designed to balance due diligence with an understanding of post-disaster realities while remaining in compliance with statutes and program rules.

Application volume could be significant, especially in the early phase of the program.

Our solution is designed to ensure rapid and effective program deployment with 1) immediate ability to accept and process applications at multiple New Jersey locations, with extended hours of service; 2) existing, proven software to quickly configure online application and review processes; 3) significant in-state staffing capacity for resolving backlogs and reviewing applications; and 4) back-up call center capacity to respond to spikes in public inquiries and customer service requests by small businesses.

The variety of disaster-related business needs could lead to inconsistencies in reviewing applications.

In our reviewer training program, we will clearly define criteria and standards, with an emphasis in the rationale underlying both. Our reviews will be conducted using established procedures and formal checklists, with findings and concerns clearly documented. We have built in a rigorous QA/QC process for sampling application reviews, and the outcome of findings at this stage will be used to adjust review guidelines or provide re-training. We will provide ongoing training or take corrective actions for reviewers whose funding recommendations fall outside the normal outcomes. As an added option, we are prepared to provide a formal appeals process to further support the NJEDA goals of comprehensive customer service to applicants.

Lack of transparency and/or questionable investments will invite high-profile media criticism.

Our systematic processes and use of automation from the earliest possible stages of the program will generate a steady flow of information to not only keep the NJEDA informed regarding program activities

and progress but also to generate data that can be promoted to New Jersey citizens on the NJEDA and the Superstorm Sandy Small Business Grant Program website. At the application review stage, we bring established business processes and trained personnel to recognize and prevent waste, fraud and abuse. The PFM team brings exceptional skill in managing post-closing compliance activities. With this exceptional team as a partner to the NJEDA, we are well-positioned to not just avoid negative publicity but to also generate and earn positive public recognition for a model recovery project.

<u>Applicants lack skills required to provide business planning for recovery effort.</u>

Small businesses whose applications are rejected will be provided with a detailed explanation of the reasons, and if desired and eligible, they may submit a revised application that addresses the cited problems. As an optional service, we are prepared to leverage our experience for other programs by organizing a mentoring resource for affected small businesses.

III. Section 3 – Organizational Support and Experience

Section 3 – Organizational Support and Experience

Public Financial Management, Inc.

The PFM Group, including Public Financial Management, Inc. and PFM Asset Management LLC, was founded in 1975 and is headquartered in Philadelphia, PA. In May 2009, Public Financial Management, Inc. (a Pennsylvania corporation) and PFM Asset Management, LLC (a Delaware Limited Liability Company) and related businesses, all of which were owned by their senior employees ("Managing Directors"), re-organized into a holding company structure. The new holding company is named PFM I, LLC (a Delaware limited liability company) and all of the above-named business entities have become indirect wholly owned subsidiaries of PFM I, LLC.

Today PFM is the nation's leading provider of independent financial and investment advisory services with nearly 500 employees in 35 offices throughout the United States.

While PFM maintains a full-service office in Princeton, New Jersey, our firm will manage this project from its home office in Philadelphia, Pennsylvania. The contact information for the person to contact related to contract management is provided below:

John Cape, Managing Director
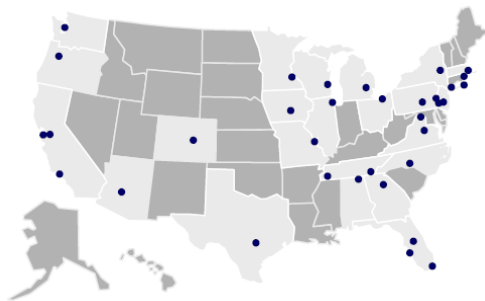
The PFM Group
Two Logan Square, Suite 1600
18th & Arch Streets
Philadelphia, PA 19103
215.567.6100 phone
　　　　　　fax

The Managing Directors of PFM and Asset Management set overall strategic direction as a group. Individual partners are responsible for specific practice areas, such as strategic consulting, or regional practices; they also personally manage specific engagements for local government clients. The firms that make up the PFM Group have four primary business activities:

Regardless of which service you may need, the PFM Group of companies serves only one interest: our clients – and no one else.

This fact, coupled with our proven track record and comprehensive approach to finance, makes the PFM Group of companies a leader in providing sound, independent management, financial and investment advisory services to state and local governments.

Financial Advising: managing transactions related to debt issuance;

Investment Management: providing investment advice and portfolio management for working capital and bond proceeds;

Investment Consulting: structuring simple, reliable, and fundamentally sound asset management strategies and retirement plans;

Management and Budget Consulting: offering highly effective capital, management and operating budget advice;

Structured Products: developing innovative financing techniques and investment products.

PFM's organizational structure is graphically depicted below:

Section 3 – Organizational Support and Experience

Management and Budget Consulting Services

At PFM, our goal is to assist governments in being the best-managed enterprises in the nation. This is not a small goal, but it gives our work meaning and drives our pursuit of excellence on behalf of our clients.

PFM's Management and Budget Consulting practice was initiated nearly 20 years ago, and it now includes professionals located in offices around the country, including Philadelphia and New York City. In 2005-2006, PFM broadened its Management and Budget Consulting capability with the hire of two former State Budget Directors, John Cape and Randall Bauer, to lead its state practice. In the years since, state management and budget consulting has become the fastest growing and largest component of the practice and now includes multiple senior team members with high-level state government experience. On a project level, PFM uses a range of project management tools and techniques to keep work moving forward on time and on budget. Both the Engagement Director and Project Manager receive bi-weekly project reports detailing hours worked by all team members assigned to the project, and are authorized to commit resources toward meeting client goals. Between these senior leaders, and across all levels of our teams, our corporate culture promotes regular, open, and active communication and coordination.

PFM also provides regular written project reports, generally on a weekly or bi-weekly basis, depending on the client's needs. These reports detail the activities undertaken in the reporting period as well as forward scheduled activities and an updated project calendar. The report also details project benchmarks and performance during the reporting period. It also identifies any issues in need of resolution, the risk associated with these issues and the appropriate party or parties for decision-making, and a deadline for disposition. PFM also, again when the client desires, will schedule regular conference calls or face-to-face project updates with appropriate State personnel.

It is our belief that this multi-faceted approach to reporting will provide an unsurpassable degree of oversight and review – as well as seamless communication and transparency for the State.

The state management and budget practice has helped public sector leaders of state governments to improve operational and fiscal performance, advising clients that most recently include the States of Delaware, Georgia, Hawaii, Illinois, Minnesota, Nebraska, New York, Ohio, Pennsylvania, Tennessee, Wisconsin and Virginia on strategies for system improvements, program reforms and management best practices.

At left you will find a representative listing of recent Management and Budget clients. These clients have included 14 state governments and nearly 100 separate state projects.

PFM's Management and Budget Consulting practice assists state and local governments by creating and implementing effective

assessments, evaluations and strategies. PFM has been involved in some of the most significant government turnaround efforts in the country, turning sizable deficits into surpluses in cities, counties and states.

PFM is currently providing support services to state governments across the country, including extensive data review and analysis for the State of Pennsylvania, federal compliance for the States of Nebraska, Pennsylvania and Virginia, workforce consulting for the States of Delaware and Pennsylvania and qualification on master contracts for the States of Minnesota, New Jersey, New York, Oregon and Utah.

PFM lives up to its reputation for generating tangible results for complex government clients. PFM efforts have resulted in literally billions of dollars of improvements to their bottom line for state and local governments.

Solix

The PFM team includes Solix, a shareholder-owned, independent stock corporation with its corporate headquarters in Parsippany, New Jersey. Founded in 2000, Solix is a business process outsourcing firm with comprehensive expertise in eligibility determination and complex program administration services. Many of the 450+ Solix employees located in New Jersey were personally and significantly impacted by Hurricane Sandy.

Solix provides services to 14 regulatory agencies spanning 12 states, and since 1998 has provided the end-to-end operational solution for the Federal E-Rate program which funds more than $2 billion annually. Supported by our work centers in Illinois, Indiana and Missouri, our workforce totaling nearly 1,000 is 100 percent U.S.-based. Our domestic focus is important to us and our clients.

Solix is an award winning firm, and has been honored with numerous state, regional, and national awards. Of special note, Solix was informed in March 2013 that the firm was awarded the **2012 Project of Year Award by the New Jersey Chapter of the Project Management Institute** (PMI) for the design and implementation of the national Connect2Compete discounted broadband initiative.

Solix's core capabilities include:

- Providing program management and grant application services where applicant qualification/eligibility determination is a key component;
- Rapidly designing and implementing comprehensive solutions to efficiently administer complex processes with a focus on customer satisfaction;
- Employing skilled and experienced personnel to work with clients to ensure policy and operational goals are met;
- Providing end-to-end customer communications, including outreach, initial contact, education, process support, and follow-up;
- Deploying proven web-based systems and platforms to securely collect, process, and protect program information; and
- Ensuring program integrity through process controls and reviews to minimize waste, fraud, and abuse.

Section 3 – Organizational Support and Experience

Solix has designed, implemented and manages a wide spectrum of complex governmental and quasi-governmental public benefit programs at both the Federal and State levels. As a neutral administrator of an array of public programs, Solix is subject to more than a dozen external audits each year, including by the Government Accountability Office (GAO), and the FCC's Office of the Inspector General (OIG). Solix processes and solutions have been further verified through successful Service Organization Controls (SOC -1) audits.

Testware Associates

Founded in 1994, Testware Associates is an IT consulting firm that focuses solely on software, Web and e-business testing and testing training. The firm has extensive experience in performing quality assurance testing on platforms designed in the following industry segments: emergency management; payroll and human resources data processing; accounting and auditing; finance; and insurance.

For the PFM team, Testware Associates will provide expert knowledge and technology tools in helping to develop a system software solution, in an expedited time-to-launch. As outlined in the Technical Response, the PFM team will need to build a system to support the grant program operations, and ensure that sensitive data being collected is secure. Additionally, the PFM team will be responsible for ensuring data compatibility with the DRGR System.

Testware Associates will provide risk analysis of the system software; perform test planning; and document test plans and test cases to serve as the blueprints for the testing effort. With their competency in quality assurance testing, Testware Associates will enable the PFM team to concentrate on designing and building an operational platform.

Broad Data Services (BDS)

Established in 2002, Broad Data Services Inc. (BDS)'s core services include comprehensive data entry, data capture, database enhancement, and related outsourcing solutions. With experience serving clients who demand efficient processing and translation of high data volumes (paper source and image), BDS successfully manages, interprets, and delivers accurate data back to the client, while reducing costs.

Related to the Sandy Recovery program, Broad Data Services will support operations by providing expert scanning and data consolidation services, including imaging and processing, on all applicant data intake. BDS will also be responsible for data cleansing, analysis and reporting.

The Casey Group

Founded in 1989, The Casey Group Inc. is a business and technology solutions firm that specializes in helping companies across a variety of industries use technology more effectively. With a 20-year record of accomplishment serving client across multiple industries, The Casey Group has developed expertise in addressing an extensive range of IT issues. Their business solutions focus on integrating multiple legacy systems, improving the quality and accessibility of information, providing field staff with access to enterprise data, and cloud computing.

For the Sandy Recovery program, The Casey Group will be charged with providing process documentation, integration, specialized development and testing services. Supplementing the efforts of the PFM team, The Casey Group will assist to develop a robust platform to serve the technology requirements of the program.

Section 3 – Organizational Support and Experience

Bryant Staffing

Serving Businesses in New Jersey since 1984, Bryant Staffing is an Equal Employment Opportunity employer, specializing in providing qualified staff for Office Support, Administrative, Light Industrial, Human Resources, and Accounting/Finance in a temporary, temp to hire, direct hire and contract capacity. Bryant Staffing utilizes a comprehensive testing and screening process that facilitates ideal matches between job seekers and open positions, and strives to provide staffing at competitive prices through customized service to its clients and career opportunities for its employees.

For the Sandy Recovery project, the agency will staff highly qualified CRs who are conveniently located to the nine counties that were most greatly affected by Superstorm Sandy, in anticipation of needing to staff WIB facilities in these counties several days a week, as well as the staffing of the Tinton Falls office.

Organizational Chart

The contract organizational chart below provides the names of management, supervisory and other key personnel for the PFM team:

John Cape
Managing Director & Engagement Director

Jack Miller
President & CIO

Randall Bauer
Director

Eric Seguin
VP
State & Local Programs and Corporate Development

Richard DiLollo
Program Manager

Edward Hosler
Claims Supervisor 1

Rachel Smith
Claims Supervisor 2

Andrew Dick
Closing/Disbursement Supervisor 1

Sylwia Adamczyk
Closing/Disbursement Supervisor 2

Virginia Rutledge
Financial Advisory

Janice Molloy
General Manager Project Management

Stuart Waldrum
Chief Information Officer

Kenneth Solomon
Claims Supervisor Back-Up

Lou Batoff
Closing/Disbursement Back-Up

Senior Managing Consultants and Consultants

Mike Quinn
Director Application Development

12 Customer Service Reps/Analysts

16 Closing/Disbursement Initial and Complex Reviewers

* Initial staffing estimates

Section 3 – Organizational Support and Experience

The organizational structure as a whole for the PFM Group is reflected in the organizational chart below:

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                        │  The PFM Group, LLC  │
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        ┌─────────────────────┐            ┌─────────────────────┐
        │  Public Financial   │            │    PFM Asset        │
        │  Management, Inc.    │            │  Management, LLC    │
        └─────────────────────┘            └─────────────────────┘
          ┌──────┴────────┐                  ┌────────┴─────────┐
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│   Financial  │  │ Management & │   │    Asset     │  │  Structured  │
│   Advisory   │  │   Budget     │   │  Management  │  │   Products   │
│   Services   │  │  Consulting  │   │   Services   │  │              │
│              │  │   Services   │   │              │  │              │
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                 │  Managing    │
                 │  Directors   │
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         │   Directors  │  │   Senior     │
         │              │  │  Managing    │
         │              │  │ Consultants  │
         └──────────────┘  └──────────────┘
         ┌──────────────────────────────────┐
         │ Senior Analysts, Consultants,     │
         │ Associates                        │
         └──────────────────────────────────┘
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Resumes

The following resumes reflect the staff members as identified in the contract organizational chart above, as well as back-up staff that may be called upon to assist or replace the primary project personnel. Additional client references for key personnel can be provided upon request.

John F. Cape, Managing Director

Mr. Cape joined PFM in 2006. He co-leads the State Management and Budget consulting practice. John's clients have included the states of Georgia, Illinois, Minnesota, New York, Pennsylvania and Virginia as well as major local government departments, including the Philadelphia Department of Human Services and the Los Angeles County Department of Human Services.

John's specialties include financial planning and management, system redesign and federal regulatory compliance. As examples, John has directed multiple engagements with the Pennsylvania Department of Public Welfare that has helped move the state into compliance with federal Child Welfare regulations and secured a federal waiver that greatly increased funding for the State and multiple Pennsylvania Counties. He is also currently assisting the Los Angeles County Department of Public Welfare with a re-write of its internal policies and procedures to improve operations and compliance with State and Federal rules and regulations.

Section 3 – Organizational Support and Experience

Prior to joining PFM, John served in the New York State Division of the Budget for over 26 years, retiring as the Director of the Budget at the end of 2006. During his long career, John was involved in virtually every area of state government. John began his State career in 1973, and joined the Division of the Budget in 1980, following seven years at the Department of State, where he focused on municipal management assistance for local governments, and later headed a federally-funded program to help localities implement the Federal CDBG.

Upon joining DOB, John worked as an in-house management consultant in the Division's Management Systems Unit for nearly seven years. He then undertook line budgeting responsibilities as a Team Leader, Section Head, Assistant Chief and Unit Head, handling a variety of program areas including public protection, transportation, general government and the Judiciary. He was then appointed Assistant Budget Director and Chief of Fiscal Planning, overseeing the Economic and Revenue, Fiscal Planning and Budget Services units. As Deputy Director and Executive Deputy Director, John oversaw fiscal policy development for virtually every program area.

Now the head of a national consulting practice focused on states, John is considered a national expert on public sector budgets and policy. He is also a Senior Fellow at the Rockefeller Institute and a Fellow of the American Academy of Public Administrators, and has served on the Executive Board of the National Association of State Budget Officers. He is a member of the Advisory Board of the New York City Independent Budget Office, and is on the Board of Rockefeller College of the State University of New York at Albany. He is the 2006 recipient of the Center for Technology in Government's Rudolph W. Giuliani Leadership Award, and recipient of the American Society for Public Administration's Charles Evans Hughes Award.

John received his BA from the State University of New York Empire State College and pursued graduate study at the Rockefeller College of Public Affairs.

Dean Kaplan, Managing Director

Mr. Kaplan joined PFM in 2000. Mr. Kaplan is a Managing Director and a leader of the Management and Budget Consulting practice. At PFM he has worked on multi-year planning, budgeting and budget oversight and operations improvement efforts for cities and counties around the United States. His clients at PFM have included Austin, Texas; Baltimore, Maryland; Cuyahoga County, Ohio; Wake County, North Carolina; Aurora, Colorado; and the Commonwealth of Pennsylvania's Department of Community & Economic Development. Pennsylvania has appointed Mr. Kaplan recovery plan coordinator for the cities of Pittsburgh, Reading and New Castle, which are in the state's distressed municipalities program.

Prior to joining PFM, Mr. Kaplan spent a year in the United Kingdom with the Atlantic Fellowships in Public Policy. Before being awarded the fellowship, Mr. Kaplan was Budget Director for the City of Philadelphia. In this capacity Mr. Kaplan led the development and implementation of a $4.5 billion annual all-funds budget for the nation's fifth-largest city, resulting in record levels of fund balance. As Budget Director he supervised the preparation and publication of key fiscal monitoring documents, including an annual Five Year Plan and quarterly managers' reports, and established and monitored service level goals and performance measures for all City departments. Mr. Kaplan's responsibilities also included setting capital spending levels, managing the executive branch's City Council appearances on budget issues, and serving on key Administration management and oversight bodies.

Before becoming Budget Director, Mr. Kaplan was Deputy Commissioner for the Philadelphia Water Department, serving as chief financial officer and head of policy planning for one of the nation's largest publicly-owned water/ wastewater/storm water utilities. Appointed following a period of financial turmoil, he headed efforts to restore the agency's financial stability and creditworthiness, culminating in a $1.1 billion new money and refunding issue and the Department's first borrowing from the state's environmental infrastructure revolving fund. During this time, he also served as a member of the

Section 3 – Organizational Support and Experience

Subcommittee on Finance, Accounting and Management Controls of the American Water Works Association's Financial Management Committee.

In the mid-1980s, Mr. Kaplan was Legislative Director for a U.S. Representative. He supervised the Congressman's legislative staff and operations, with particular responsibility for Public Works & Transportation Committee issues, including water resources authorizations, Clean Water Act Amendments, mass transit and capital budgeting. He also helped organize successful House floor amendments to Superfund hazardous site cleanup legislation and appropriations bills.

Mr. Kaplan holds a Master in Public Administration degree from the John F. Kennedy School of Government at Harvard University and a Bachelor of Arts degree with honors from Haverford College. He has also attended the London School of Economics & Political Science and has taught at the Fels Center of Government at the University of Pennsylvania. Mr. Kaplan has served as an evaluator for the Ford Foundation's Innovations in American Government Awards.

Michael Nadol, Managing Director

Mr. Nadol joined PFM in 1999 and is a Managing Director and leader of the firm's Management and Budget Consulting practice nationwide. Mr. Nadol focuses on public sector budgeting and financial sustainability, with specialized experience in government workforce strategies.

At PFM, Mr. Nadol has provided strategic and quantitative support for human resources reforms and collective bargaining on behalf of clients including the Commonwealth of Pennsylvania, City of New York, State of Delaware, New York Metropolitan Transportation Authority, City of Austin, Montgomery County, MD, and the City of Philadelphia. He has testified as an expert witness on compensation issues in binding interest arbitration in California, Delaware, Maryland, New Jersey, New York, and Pennsylvania.

In addition, Mr. Nadol has played a lead role in turnaround consulting for fiscally distressed local government clients. He has been a senior member of the recovery team for the City of Pittsburgh, PA appointed by the Commonwealth of Pennsylvania, and has worked on multi-year financial plans for governments including Nassau County, NY and Wilmington, DE. In addition, PFM's Strategic Consulting practice advises financially strong governments on strategies for improved performance, and Mr. Nadol has worked with clients from the U.S. GSA to the City of New Orleans to streamline work processes and service delivery.

Prior to joining PFM, Mr. Nadol served the City of Philadelphia in positions including Deputy Mayor, Director of Labor Negotiations, and Director of Finance. In addition, he served as Deputy Commissioner for the Philadelphia Water Department, overseeing both finance and human resources for one of the nation's largest environmental utilities. As Philadelphia's Director of Finance and in previous positions within the City's Office of the Mayor, Mr. Nadol worked on Management and Budget initiatives key to the City's turnaround from "junk bond" credit ratings in 1992 to its then-record $206 million surplus in 1999. As Finance Director, Mr. Nadol was chief financial officer for a city-county government then with a $2.6 billion General Fund budget. While in the Office of the Mayor, Mr. Nadol served as Director of Labor Negotiations for 1996 collective bargaining covering over 22,000 municipal employees. In addition, he was active on the city's 1992 labor negotiating team, with the restructuring of employee safety and risk management programs, and in the development of joint labor-management productivity initiatives. As Deputy Water Commissioner, Mr. Nadol served as chief financial and administrative officer for a $400 million water, wastewater, and storm water utility with over 2,200 employees.

Mr. Nadol earned a Masters degree in Governmental Administration from the University of Pennsylvania, and a Bachelor of Arts degree, Summa Cum Laude, from Yale University. Mr. Nadol also serves on the adjunct faculty of the University of Pennsylvania, Fels Institute of Government, teaching a Masters level seminar on competitive government. In addition, he is a member and past Treasurer of the Committee of

70, Greater Philadelphia's leading, non-profit, civic watchdog organization, and served as the Governor's appointee and Chair of the Commonwealth of Pennsylvania Task Force on School Cost Reduction.

Randall Bauer, Director

Mr. Bauer joined PFM's Management and Budget Consulting practice in 2005, where he is co-leader of its state government practice. His clients have included the States of Delaware, Georgia, Hawaii, Illinois, Minnesota, Nebraska, New York, Oregon, Pennsylvania, Virginia and Wisconsin, as well as major local governments from Baltimore, MD to Colorado Springs, CO.

Mr. Bauer specializes in financial and strategic planning, organizational assessment and structuring, operations and business process management. As examples, he has led staffing, operations improvement and restructuring projects for state departments in Illinois, Minnesota, Nebraska and Pennsylvania; created a strategic plan for technology improvements for the City of Baltimore's Finance Department; and developed programs and systems for compliance with federal regulations and requirements for the states of Georgia, Minnesota, Nebraska and Virginia.

Prior to joining PFM, Mr. Bauer served for nearly seven years as Budget Director for the State of Iowa. In that capacity, he was the Governor's chief adviser for the State's $12 billion budget as well as a senior adviser on tax and public finance issues. During Mr. Bauer's tenure, Iowa created a new results-focused budget process, implemented a performance reporting system, and developed a web-based budget system. Prior to his work as State Budget Director, Mr. Bauer served for over ten years as a senior analyst for the Iowa Senate with primary responsibilities on budget, tax, infrastructure and economic development issues.

Mr. Bauer has a Bachelor of Arts degree from Coe College, the Certified Public Manager designation from Drake University, and was a Fannie Mae Foundation Fellow at Harvard University's program for senior executives in state and local government. He has served as Vice President for Finance and on the Executive Board of the United States Chess Federation, as President of the Iowa Society of Certified Public Managers, and is a life member of the National Association of State Budget Officers, where he served on its Executive Committee. He is a recipient of the Distinguished Service award from the United States Chess Federation and was selected as an 'Iowa Leader 2001-2002' by the Association of Business and Industry.

David Eichenthal, Director

Mr. Eichenthal joined PFM's Management and Budget Consulting practice full-time in 2011 and leads the firm's Chattanooga, TN office. Prior to joining PFM full-time, David frequently consulted with PFM as a subcontractor at the Ochs Center, a non-profit policy research institute. David's specialties include budgeting, operational improvement, and fiscal recovery engagements for clients including New Orleans, LA; Cuyahoga County, OH; Cleveland, OH; and Shelby County, TN.

Mr. Eichenthal is the former President and CEO of the Ochs Center in Chattanooga, Tennessee, a non-profit policy research institute that works with local governments, foundations and non-profit organizations in the Southeast and across the nation. While leading the Ochs Center, Mr. Eichenthal also was a Nonresident Senior Fellow with the Brookings Institution Metropolitan Policy Program.

Prior to joining the Ochs Center in 2005, Mr. Eichenthal served in a series of senior positions in local government in both Chattanooga and New York. As Finance Officer and Director of Performance Review for the City of Chattanooga under then-Mayor Bob Corker, he oversaw the development of the city's budget, implementation of one of the nation's first 311 systems and creation of a citywide performance management initiative. In New York, Mr. Eichenthal was Chief of Staff to the New York City Public

Advocate, the city's second highest ranking elected official. He also served as Chief of Policy, Assistant Advocate for Research and Investigation, and represented the Public Advocate on the Audit Committee of the City of New York. Eichenthal also held the positions of Assistant Inspector General for Policy in the New York City School Construction Authority and Assistant Deputy Comptroller for Policy/Counsel for Special Projects and Director of the Board of Estimate Staff in the Office of the Comptroller for the City of New York.

In addition to his work with PFM, Mr. Eichenthal was a Visiting Scholar at the New York University School of Law Center for Research in Crime and Justice for the 2011-2012 academic year. He received his J.D. at the New York University School of Law and a BA degree from the University of Chicago in Public Policy Studies, cum laude. He was a Harry S. Truman Scholar, New York State and has been admitted to practice law in the states of Tennessee and New York.

Virginia Rutledge, Director

Ms. Rutledge joined the PFM Group in 1998 in the Orlando, Florida office and is involved in PFM's Management and Budget Consulting and Public Utility practices. She served as financial advisor to the Financial Oversight Board for the City of Miami and was part of the teams that developed financial strategies and recommendations for Fulton County, Georgia; Shelby County, TN; Pittsburgh, PA; and New Orleans, LA. She has developed capital process strategies for Long Beach, CA and Hillsborough County, FL.

Prior to joining PFM, Ms. Rutledge served as Vice President and Chief Financial Officer for the Orlando Utilities Commission and Chief Financial Officer for the Massachusetts Municipal Wholesale Electric Company (MMWEC). Ms. Rutledge also served as Finance Director for the cities of Memphis, Tennessee and Austin, Texas. In addition to her career as a finance professional, Ms. Rutledge is past president of the Government Finance Officers Association (GFOA). She served on the Committee on Debt and Fiscal Policy and chaired GFOA's Economic Development Task Force. She is also a member of the American Public Power Association and a recipient of APPA's Kramer-Preston Personal Service Award for her efforts on behalf of public power.

Ms. Rutledge received her BA (with honors) in math and statistics and MA in Economics, public finance specialization, from the University of Florida.

Vijay Kapoor, Director

Mr. Kapoor directs PFM's Workforce Consulting practice in the firm's Management and Budget Consulting group. Mr. Kapoor provides economic and strategic support for public sector bargaining, and is an experienced interest arbitration expert witness. Some of the labor negotiations and interest arbitrations he testified as an economic expert in in 2011 are Dauphin County (PA) Corrections Officers, Ocean County (NJ) Sheriff's Officers, Upper Saucon Township (PA) Police, and others. Mr. Kapoor also is a frequent speaker on financial analysis for public sector labor relation matters.

Prior to joining PFM in 2009, he founded a company that provided operational and workforce consulting services to state and local governments. Previously, Mr. Kapoor also served in state government, in positions including Executive Director of the Commonwealth of Pennsylvania's Office of Management and Productivity. In this capacity, Mr. Kapoor was responsible for leading both enterprise-wide and agency-specific cost savings projects towards the goal of reaching $1.5 billion in annual savings from Commonwealth operations, a goal that was surpassed under his direction.

Additionally, Mr. Kapoor practiced as a labor and employment attorney in Philadelphia, where he specialized in matters involving public sector clients. He was part of the team that represented the

Section 3 – Organizational Support and Experience

Commonwealth of Pennsylvania in its 2003 and 2007 labor negotiations with its largest public employee unions.

Mr. Kapoor graduated from the University of Chicago with degrees in economics and public policy studies (with honors) and received his J.D. from the University of Pennsylvania Law School, where he received the labor law prize. He also received a certificate in Business and Public Policy from the Wharton School of the University of Pennsylvania. He is certified as a Senior Professional in Human Resources (SPHR).

Heidi Patterson, Senior Managing Consultant

Ms. Patterson joined PFM's Management and Budget Consulting group in 2008 and works primarily on operational and financial improvement projects supporting state and local government clients. Her recent engagements have included serving as 'second chair' on a variety of organizational improvement projects for the City of New Orleans, a performance audit for the Illinois State Toll Highway Authority and a federal compliance project for the Commonwealth of Virginia.

Since joining PFM, she has also worked with the States of Illinois, Nebraska, New York and Pennsylvania as well as major local governments including the cities of St. Louis, Colorado Springs, Kansas City, MO as well as extensive work with the city of New Orleans.

Prior to joining PFM, Heidi served as the Executive Director of the Iowa Accountancy Examining Board where she was responsible for the licensing and regulation of the State's 10,000 CPAs and LPAs. Ms. Patterson also served on the National Association of State Boards of Accountancy (NASBA) Executive Director's Committee and the NASBA CPA Mobility Taskforce. In addition, as the Executive Assistant to the Governor's Chief of Staff and the Director of the Iowa Department of Management, she supported strategic planning and government accountability initiatives across State government. Ms. Patterson participated in multiple aspects of Iowa's Budgeting for Results efforts, including training and coordination on the performance measures component of the web-based budget system and formulating communication strategies for lawmakers, constituents and decision-makers.

Ms. Patterson graduated from Iowa State University where she received a Bachelor of Arts degree in Political Science.

Christopher Wheeler, Senior Analyst

Christopher Wheeler is a Senior Analyst in the PFM Strategic Consulting practice. Mr. Wheeler has worked on various projects including operational and management reviews, multi-year financial plans, and budgeting support. In addition, he has worked on revenue and fee studies for the State of New York and the cities of St. Louis, MO, Gainesville, FL, and Baltimore, MD.

For the City of St. Louis, he developed a comprehensive tax burden analysis of the City of St. Louis and nine comparable cities and a financial model that displays impacts from alternative tax policy approaches. He has also analyzed and evaluated tax collection procedures in St. Louis and issued recommendations on the use of Payment in Lieu of Taxes agreements and Market Based Revenue Opportunities. In addition, Mr. Wheeler has supported engagements for the cities of Gary, IN, Vallejo, CA, and New Orleans, LA.

Mr. Wheeler holds a Masters degree in Government Administration from the Fels Institute of Government at the University of Pennsylvania. He earned his Bachelor of Arts degree in Political Science from Temple University, where he also received the Norman & Ruth Sun Economics Writing Award. While at Temple University, Mr. Wheeler was admitted as a member of Pi Sigma Alpha, the National Political Science Honor Society.

Section 3 – Organizational Support and Experience

Blair Gearhart, Senior Analyst

Blair joined PFM in 2011 and is currently staffed in the Albany office. His current projects include a study of privatization of Pennsylvania's Liquor Control Board and an analysis of shared services for school districts in Nassau County, NY.

Prior to joining PFM, Blair served as a Budget Examiner with the New York State Division of the Budget. As a member of the Education team, he worked on a team responsible for formulating and implementing the Education Budget with a focus on formula-driven programs. Blair also examined issues relating to shared services, consolidation, and maximizing efficiencies in school districts. Following his work on the School Aid team, Blair was part of a team that produced and managed the budget for the state operations of the State Education Department, along with managing the budgets for the New York State Council on the Arts, the New York State Theatre Institute, the Empire State Plaza Performing Arts Center, and the New York State Museum, Library and Archives.

Blair graduated from Siena College cum laude with a Bachelor's degree in Political Science. He is currently pursuing a Certificate in Public Management from the Rockefeller College of Public Affairs and Policy.

Section 3 – Organizational Support and Experience

Solix Resumes

JACK MILLER

President & Chief Operating Officer

KEY SKILLS

20+ Years Operations Management

20 Years Strategic Planning

20 Years Business Development

20 Years Stakeholder Management

30+ Years Sales & Marketing

EXPERIENCE

Solix, Inc.   **2011 – Present**

President & Chief Operating Officer

Oversees all operating units and strategic business planning and corporate development activities :

- Lead Solix's strategic initiatives and growth strategies.
- Direct the analysis of business opportunities to ensure consistency with Solix's business plan.
- Responsible for profit and loss of all business units.
- Maintain effective relationships with Board of Directors and drive achievement of shareholder objectives.
- Ensure proper organizational alignment, acquire key talent, and maximize operating efficiency.

Senior Vice President – Corporate Development   **2001-2011**

- Led the development and maintenance of strong relationships with existing and potential customers.
- Diversified the customer base through acquisition and organic growth.
- Achieved double digit compounded annual increase in revenue.

Bell Atlantic/NYNEX, Corp.   **1995-1999**

Vice President – Strategic Planning

- Developed the business plan and successfully launched the company's long distance business.
- Directed integration efforts of NYNEX and Bell Atlantic Directory Assistance business.

Previously Held Positions

- Senior Vice President – Microfinancial (1999-2001)
- Director – Marketing and Regulatory Affairs/Corporate Planning, Bell Atlantic/NYNEX, Corp. (1988-1995)
- Product Manager – Digital Equipment Corporation (1984-1988)

EDUCATION

- MBA, Northeastern University
- AB Economics, Harvard University
- Executive Programs, Harvard Business School and Fuqua School of Business, Duke University

MEMBERSHIPS

- NJ Chamber of Commerce – Cornerstone Member
- Choose New Jersey – Partner

Section 3 – Organizational Support and Experience

ERIC D. SEGUIN

Vice President – State & Local Programs

KEY SKILLS

16 Years Government / Customer Liaison Experience

14 Years State Universal Service Management Experience

4 Years Lifeline Audit and Regulatory Policy Experience

Operations Management

Financial Management

EXPERIENCE

Solix, Inc.

General Manager – State & Local Programs

Oversee all operations supporting Solix-administered state Lifeline programs, Universal Service Funds (USFs), Telecommunications Relay Services (TRS), and other public benefit programs. Specific responsibilities include:

- Lead the State & Local Programs organization to achieve all strategic, operational, and financial program goals
- Interface with client staff to ensure satisfaction of contractual obligations, service objectives, and program integrity
- Interface with legislators and senior officials regarding regulatory requirements and successful program management
- Research and analyze State and Federal regulatory proceedings
- Develop and deliver expert testimony in support of fund administration recommendations and analyses

Oklahoma Corporation Commission (public utility rates/ services regulator)

Chief of Telecommunications

- Supervised the review of service offerings and rate filings
- Oversaw Lifeline audits and certified Lifeline providers as eligible carriers
- Developed policy recommendations, including Lifeline
- Conducted technical conferences, rulemakings, and company dispute resolutions
- Served on staff of the Federal-State Joint Board on Universal Service; assisted in design of national USF policies

National Exchange Carrier Association (NECA)

Director - State Program Operations

- Launched and managed the State programs group

Previously Held Positions

- Policy Analyst, Financial Analyst, and Forecaster, NECA

EDUCATION

- Doctoral Coursework (ABD), Management, Capella University
- MBA Finance, College of William and Mary
- BA Accounting, St. Leo University
- BA Economics/International Finance, Rutgers University

CERTIFICATIONS/ MEMBERSHIPS/ AWARDS

- Certified Fraud Examiner (CFE)
- Adjunct Instructor, University of Central Oklahoma
- NECA Employee of the Year Award
- United States Army Armor Leadership Award

Section 3 – Organizational Support and Experience

RICHARD DILOLLO

Director – Program Management

KEY SKILLS

Program Administration

Project Management

Operations Management

10 Years Schools & Libraries Program Experience

Process Improvement

Contract Management

EXPERIENCE

Solix, Inc.

Director – Program Management

Manage the implementation of new programs from design to launch. Specific responsibilities include:

- Responsible for all aspects of Project Management including developing project teams, plans, roadmaps, timing, processes, communications, and senior management updates
- Interface with Sales department to understand the scope of each project, key players, timelines, change management, etc. to create a launch plan for the IT and Operations Delivery teams
- Work closely with customers, their partners, and associated third parties to successfully launch programs addressing process flow, timelines, issues, risks, assumptions, change management and implementation

Director – Program Integrity Assurance

Key management member for Solix's processing of applications from school and libraries, requesting over $2 Billion in Schools & Libraries Program funding. Specific responsibilities include:

- Led Solix's application review process to ensure that work was performed in compliance with the Telecommunications Act of 1996, FCC Rules, and Schools & Libraries Program procedures. This process included the annual initial and final review of 40,000 applications and resulted in application requests being modified, denied, or approved
- Planned, organized, recruited, and managed review staff to ensure adherence to schedule and quality contractual requirements
- Interacted with the USAC, the fund administrator, to ensure their satisfaction with Solix's review process

Previously Held Positions

- Manager – Program Support
- Project Manager – Schools & Libraries Program, Hurricane Katrina Relief Coordinator
- Services Team/ High Dollar Applications team reviewer – Schools & Libraries Program

EDUCATION

- MBA, University of Phoenix
- BS Management, Seton Hall University

Section 3 – Organizational Support and Experience

EDWARD HOSLER

Manager – Operations Support

KEY SKILLS

14 Years Federal Program Experience

Program Administration

Project Management

Staff Management

Accounting Analyst

EXPERIENCE

Solix, Inc.

Manager – Operations Support

Assist upper management and the external customer on a continual basis, as well as with special requests, to help ensure efficient operation of the Schools & Libraries Program. Specific responsibilities include:

- Audit applications completed by Program Integrity Assurance staff
- Assist in oversight of FCC Remands for appellants
- Compose daily, weekly, monthly and quarterly reports to monitor ongoing review activities and assist in achieving goals
- Interface with leadership personnel from the USAC, the Schools & Libraries Program administrator, to ensure satisfaction with Solix's review process

Solix, Inc.

Manager – Program Compliance and Integrity Assurance

Led teams in reviewing applicants' appeals of Solix decisions of Schools & Libraries Program funding

- Supervised staff to ensure that all processes were performed in compliance with procedures and FCC rules and guidelines
- Evaluated processes and procedures to identify and recommend process improvement opportunities
- Maintained extensive up-to-date knowledge of FCC rules and guidelines

Withum, Smith & Brown

Staff Accountant

- Prepared all types of tax returns, ranging from personal to corporate
- Performed audits, compilations, and reviews

Previously Held Positions

- Financial Services Department Representative, United States Cellular
- Credit Analyst, Microwarehouse, Inc.

EDUCATION

BS Economics, University of Pittsburgh

Section 3 – Organizational Support and Experience

RACHEL SMITH
Manager – Client Operations

KEY SKILLS

13 Years Federal Program Experience

6 Years Eligibility Determination Management

Process Improvement

Program Compliance

Team Leadership

EXPERIENCE

Solix, Inc.

Manager – Client Operations

Responsible for the management of the team that delivers accurate and timely processing of post commitment changes to Schools & Libraries Program funding requests. The Client Operations department also supports federal programs with scanning, record keeping, and undeliverable mail processing. Specific responsibilities include:

- Manage team to ensure all regulatory, contractual, and procedural requirements are met
- Develop, implement, and verify compliance with procedures
- Maintain extensive up-to-date knowledge of FCC program rules and guidelines
- Interface regularly with USAC Operations staff to present findings and recommendations

Solix, Inc.

Associate Manager II – Program Compliance Reviewer

- Analyzed applicant appeals of funding decisions in order to determine the appropriate level of future funding needs
- Composed letters to applicants to inform them of their appeal determination
- Led a project team of nine members to improve the cost effectiveness of review processing for service reviews

Solix, Inc.

Associate Manager II – Integrated Initial, Final & Special Review

- Performed all levels of program review to verify compliance with federal program requirements
- Researched status and created reports to provide to federal program clients
- Communicated with applicants to ensure common understanding of the grant request and funding decision
- Interviewed, supervised, and trained temporary employees

Previously Held Positions

- Associate Manager I – Final Reviewer
- Public Relations Intern, Correct Communications, Inc.
- Public Relations Intern, R&J Integrated Marketing Communications

EDUCATION

- BA Communications, Seton Hall University

Section 3 – Organizational Support and Experience

KENNETH SOLOMON

Compliance Auditor – Selective Review

KEY SKILLS

20+ Years Program Development Experience

20+ Years Project Management Experience

Budget Management

Controls Management

Operations Development

EXPERIENCE

Solix, Inc.

Compliance Auditor – Selective Review

Responsible for the accurate and timely review of federal funding applications to ensure compliance with all relevant rules and regulations, including competitive bidding. Specific responsibilities include:

- Review the applicant's bids and proposals (RFP) process
- Determine the eligibility of hundreds of funding requests totaling more than $225M
- Analyze the applicant's resources, infrastructure and their ability to utilize the requested services and equipment
- Validate the applicant's financial ability to pay for their share of the project
- Recommend or deny funding for any associated telecommunications projects

KeSolutions, LLC

Deployment Project Manager (Consultant), Ultrapro International Inc.

- Managed the deployment of the Surround Pricing Engine to interface and integrate quoting and pricing with SAP
- Analyzed the customer business requirements by performing an environmental scan
- Developed the deployment plan and timeline before scheduling all tasks and activities to achieve aggressive targets
- Directed a team of 13 project managers during the system deployment process

Lucent Technologies – Program/ Project Management Division

Expense Management Director

- Coordinated and managed a $37.6M program management budget across five project teams
- Built an expense management team, executed cost control measures and tracked operating and capital expenses
- Achieved $4.2M in cost savings through uniform application of cost controls

EDUCATION

- MS Physics, West Virginia University
- BS Economics/ Physics, West Virginia Wesleyan

PROFESSIONAL CERTIFICATIONS

- Project Management Professional and Member of the Project Management Institute
- Master's Certificate in Program & Project Management, Steven's Institute of Technology
- Professional Project Manager, American University
- Public Utility Economic Engineering, Iowa State University

Section 3 – Organizational Support and Experience

ANTHONY SAMUEL

Manager – Invoicing Operations Team

KEY SKILLS

5 Years Management Experience

10 Years Eligibility Determination Experience

Invoicing Management

Project Management

Team Leadership

EXPERIENCE

Solix, Inc.

Manager – Invoicing Team Manager

Manage and coordinate the invoicing operations of the Schools & Libraries Program as administered by the USAC. Specific responsibilities include:

- Supervised staff so that all processes were performed in compliance with procedures and FCC rules and guidelines
- Provided ongoing evaluation of processes and procedures to identify and recommend process improvement opportunities
- Monitored production activity to ensure team and company objectives were being met
- Prepared and distributed production reports to upper management and client

Solix, Inc.

Senior Reviewer, Program Integrity Assurance

- Performed second level audit review to evaluate the compliance of applicants submitting funding requests in the Schools & Libraries Program
- Understood and applied policies, regulations, and procedures governing the Schools & Libraries Program
- Provided ongoing support to program managers in developing and maintaining Microsoft Excel and Microsoft Access reports for upper management, and customer utilization

Bozell Sawyer Miller Group

Billing Supervisor

- Supervised billing activities for three profit centers
- Partnered with billers to ensure timely and accurate billing of fees and expenses to client
- Reviewed monthly accounting reports to verify accurate income allocation
- Prepared and maintained time, fees, costs, and budget analyses for agency and client allocating
- Monitored and reviewed client contracts to confirm that billing was within stipulated parameters

EDUCATION

- MS Sciences – Telecommunications Management, Stevens Institute of Technology
- BA Psychology – Baruch College, City University of New York

CERTIFICATIONS

- Cisco Certified Network Administrator Course (CNA)

Section 3 – Organizational Support and Experience

BRIAN KICKEY

High Dollar Review – Program Integrity Assurance

KEY SKILLS

10 Years Eligibility Determination Experience

State Fund Management

Program Administration

Project Management

Team Leadership

EXPERIENCE

Solix, Inc.

High Dollar Reviewer – Program Integrity Assurance

Validate and audit high dollar applications (application requests in excess of $500k) for the Schools & Libraries Program. Specific responsibilities include:

- Communicate with applicants on a daily basis to ascertain and verify accuracy of application information
- Make eligibility determinations and assess funding requests for grant applications
- Ensure compliance with program procedures and FCC rules and guidelines
- Mentor new employees in order to facilitate timely transition into position and reduce learning curves

Solix, Inc.

Manager – State Fund Management

Responsible for the accurate and timely collection of revenue and disbursement of funds for seven State USF programs. Specific responsibilities include:

- Manage team to ensure all regulatory, contractual, and procedural requirements are met
- Develop, implement, and verify compliance with procedures
- Prepare assessment factor calculations
- Interface with state public utility commission staffs so that program information and needs are mutually understood
- Coordinate audits on state funds

Solix, Inc.

Manager – Cost Effective Review

- Oversaw competitive bidding and cost effectiveness reviews for the Schools & Libraries Program
- Directed the hiring and training to develop a new team of reviewers
- Assisted the development of written procedures, reporting mechanisms, and other process enhancements

Previously Held Positions

- Team Leader, Cydcor
- Account Manager, ERC Inc.

EDUCATION

- BBA, Pace University

Section 3 – Organizational Support and Experience

SYLWIA ADAMCZYK

Associate Manager II – Heightened Scrutiny Review

KEY SKILLS

5 Years Finance/Banking Experience

4 Years Eligibility Determination Experience

Process Development

Data Analysis

Quality Assurance

Customer Service

EXPERIENCE

Solix, Inc.

Associate Manager II – Heightened Scrutiny, Cost Effectiveness, & School Closings Review

Responsible for the accurate and timely review of funding requests to verify that competitive bidding rules are properly followed; that service providers are not involved in the vendor selection process; and that products and services requested are cost effective to prevent waste of federal funds. Specific responsibilities include:

- Communicate with applicants to obtain the appropriate documentation to complete the review process
- Maintain complete knowledge of complex FCC rules and regulations regarding funding eligibility
- Maintain knowledge of available resources for determining appropriate pricing of products and services
- Develop procedures and processes to improve customer experience, while expediting the review process
- Exceed all team and individual performance deadlines for the completion of reviews
- Achieve all performance targets despite a significantly increased review population

Solix, Inc.

Associate Manager II – Consortia Review

- Reviewed documentation provided by the applicants to verify members' knowledge of their consortium participation
- Completed reviews valued at $97M in federal funding
- Reviewed financial statements provided by the applicants to verify endowments were within guidelines
- Communicated effectively with state agencies, such as the Department of Education, on program requirements
- Demonstrated exceptional performance by meeting targeted goals 30 days prior to due date

Previously Held Positions

- Associate Manager I – Initial Reviewer
- Customer Service Representative, North Fork Bank
- Billing & Administration, AmSpec Services, LLC

EDUCATION

- BS Management and Global Business, Rutgers University spring 2014
- Associates Liberal Arts – Business, Middlesex County College
- Associates Journalism/ Economics, Wyzsza Szkola Dziennikarska im. M. Wankowicza, Warsaw, Poland

SKILLS

- Bilingual: English, Polish

Section 3 – Organizational Support and Experience

JANICE A. MOLLOY
General Manager – Program Management

KEY SKILLS

20+ Years Program Management Expertise

20+ Years Business Development Experience

Business Process Design, Measurement & Management

Operations Management & Best Practices

Strategic Sourcing & Vendor Management

EXPERIENCE
Solix, Inc.
General Manager – Program Management
Lead the Solix Program Management Organization through the launch of strategic client programs for Solix. Oversee all activities related to the acquisition of new business ventures. Specific responsibilities include:

- Ensure program success by coordinating all aspects of a client's program with Solix internal organizations, including operations, Information Technology, customer service, and business intelligence
- Responsible for end-to-end workflow and project coordination, driving process efficiencies across initiatives and across all Solix departments
- Serve as proxy for the customer with Solix to deliver meaningful insights and influence project outcomes
- Verify the viability of new business ventures with due diligence, strategic planning and financial modeling
- Guide executive decision-making regarding new business ventures

Independent
Management Consultant
Oversaw the replacement of the financial systems utilized by Solix's finance organization

Responsible for all program management elements

- Led a team through the RFP process, negotiation, contract establishment, design, blueprint, testing, conference room pilot, training, implementation and post-production support
- Implemented the financial system successfully in fewer than six months while remaining under budget and managing corporate risk
- Led the development of requirements for a new service offering by Pershing LLC that was a first in its industry

RELEVANT EXPERIENCE
- Vice President- Major Accounts and Alliance Management, Technology Solutions Company
- Vice President- Federal Sector, Technology Solutions Company
- Vice President- Commerce One Practice Area Lead, Technology Solutions Company
- Director- Business Process Management and Results, Verizon/ Bell Atlantic Long Distance
- Director- Strategic Sourcing, NYNEX Long Distance

EDUCATION
- BA Economics and Business Administration, University of Pittsburgh

Section 3 – Organizational Support and Experience

STUART WALDRUM

Senior Vice President & Chief Information Officer

KEY SKILLS

25 Years Information Technology Experience

Collaborative Business Partnering

Business Outsourcing Solutions

New Product Development

Cross Functional Leadership

Infrastructure Optimization

EXPERIENCE

Solix, Inc.

Senior Vice President & Chief Information Officer

Serve as the principal advisor to Solix's management team, customers, designated program managers and their staff on assuring world-class development and implementation of Information Technology (IT) initiatives. Responsibilities include:

- Lead the IT organization to enable business growth, improve cost effectiveness, customer service, and quality
- Provide strategic and tactical planning, development, evaluation, and coordination of IT systems for operations
- Direct IT planning and budgeting processes and allocate resources consistent with Solix goals and objectives
- Ensure that methodology, technology and infrastructure are robust and secure to be consistent with changing laws, regulations and industry best practices
- Allocate IT organization human capital to deliver solutions in the most competitive and cost effective manner

Synergy Capital Management Group

Managing Partner/Owner

- Co-founded an investment trading company that managed $27M in assets.

Automatic Data Processing, Inc.

Vice President, Information Technology & Chief Information Officer

- Led the IT group for ADP's Small Business Division encompassing 330,000 clients, utilizing both legacy and web-based platforms
- Maintained full budget and cost oversight for $14M
- Rebuilt IT group including leadership team, staff and processes
- Delivered web-based products to support sales growth and meet operations productivity objectives
- Developed an Internet product suite integrating client data for CPA partner; increased related sales 23%

Previously Held Positions

- Vice President – Financial Systems, ADP
- Senior Director – Internal Systems Development, ADP

EDUCATION

- Duke of York Royal Military Academy, Dover, England
- Sandhurst: Executive Leadership Program, England

CERTIFICATIONS/ MEMBERSHIPS

- Society for Information Management

Section 3 – Organizational Support and Experience

MIKE J. QUINN

Director – Application Development

KEY SKILLS

28 Years Information Technology Experience

Systems Design

Database Design

Project Management

End User Education and Support

EXPERIENCE

Solix, Inc.

Director – Application Development

Lead the Information Technology (IT) team that designs, develops, and supports systems and web sites used in Solix-managed Federal and State USF and Lifeline programs. Specific responsibilities include:

- Perform project management, including requirements analysis, design, development, implementation, testing, user education, and maintenance of databases and systems
- Provide technical support and guidance to over 350 internal users and thousands of external Internet users
- Coordinate communication between users and IT to ensure accurate business requirement implementation and to maximize user efficiency
- Act as Solix's IT interface for internal and external audits including Office of Management and Budget, FCC, and State responses

Solix, Inc.

Manager – Information Technology

- Performed application development functions to create and maintain systems supporting Solix-managed Federal and State USFs and Lifeline programs. Utilized custom-built in-house software and Siebel v 7.5 Vitria middleware
- Managed the full life cycle of system projects including requirements gathering, interface and database design, testing, production deployment, and end user training
- Developed and deployed internal web-based applications
- Converted main frame applications to client-server-based technology

SKILL SETS

- Languages/Scripting: VB.NET, JavaScript, VBScript, DHTML, HTML
- Databases: Oracle 7/8/10g MS SQL Server 2000/2005
- Tools: Visual Studio.NET 2003/2005/2008, ADO.NET
- O/S: AIX 5.2, Windows 2003 Server, IIS 6.x

EDUCATION

- BS Business Administration, William Paterson University
- AAS Computer Science, County College of Morris

Section 3 – Organizational Support and Experience

Contracts of Similar Size and Scope

The following references are provided for those contracts of similar size and scope as they relate to the specific requirements of this RFQ for Public Financial Management, Inc:

Client Reference # 1				
Name of the Bidder:	**Public Financial Management, Inc.**			
Name of the Client Firm:	Pennsylvania Department of Public Welfare			
The type and scope of services of the engagement.	PFM has assisted the Department with multiple projects, primarily related to improving outcomes and compliance with federal rules and regulations related to its Child Welfare System. PFM has also assisted the Department with obtaining a program waiver that has increased state and county funding over a multi-year period.			
Engagement term:	**Start Date (Month/Year)**	July 2007	**End Date (Month/Year)**	Present Date
Client Contact Name and Title:	Richard J. Gold, Deputy Secretary Office of Children, Youth and Families			
Phone Number:	717.787.4756	**Email:**	rgold@state.pa.us	
Alternate Client Contact Name and Title:	Ms. Beverly Mackreth Deputy Secretary			
Phone Number:	717.214.2795	**Email:**	bmackreth@state.pa.us	

Client Reference # 2				
Name of the Bidder:	**Public Financial Management, Inc.**			
Name of the Client Firm:	City of New Orleans, Louisiana			
The type and scope of services of the engagement.	Through a competitively procured five year contract after Hurricane Katrina, PFM has assisted the City with restoring government and operational functions, budgeting and revenue estimating processes and service delivery models for health, sanitation and other city services.			
Engagement term:	**Start Date (Month/Year)**	July 2007	**End Date (Month/Year)**	Present
Client Contact Name and Title:	Cary Grant Assistant Chief Administrative Officer/Budget Director			
Phone Number:	504.658.8600	**Email:**	cmgrant@nola.gov	
Alternate Client Contact	Andrew D. Kopplin			

Section 3 – Organizational Support and Experience

Client Reference # 2			
Name of the Bidder:	**Public Financial Management, Inc.**		
Name of the Client Firm:	City of New Orleans, Louisiana		
Name and Title:	First Deputy Mayor		
Phone Number:	504.658.8600	**Email:**	akopplin@nola.gov

Client Reference # 3			
Name of the Bidder:	**Public Financial Management, Inc.**		
Name of the Client Firm:	State of Minnesota Department of Management and Budget		
The type and scope of services of the engagement.	Via a state master contract, PFM assessed agency readiness for compliance with Federal reporting requirements related to the fiscal stimulus bill (ARRA), devised a training process for agencies and developed supporting checklists and documents to assist agencies.		
Engagement term:	**Start Date (Month/Year)**	August 2009	**End Date (Month/Year)** October 2009
Client Contact Name and Title:	James Schowalter, Commissioner		
Phone Number:	651.201.8000	**Email:**	James.Schowalter@state.mn.us
Alternate Client Contact Name and Title:	Britta Reitan, Executive Budget Officer		
Phone Number:	651.201.8028	**Email:**	Britta.Reitan@state.mn.us

Section 3 – Organizational Support and Experience

The following references are provided for those contracts of similar size and scope as they relate to the specific requirements of this RFQ for Solix:

Client Reference # 1				
Name of the Bidder:	Solix			
Name of the Client Firm:	Universal Service Administrative Company (USAC)			
The type and scope of services of the engagement.	Under contract to USAC, Solix has provided complete program management and eligibility determination services for the Federal E-Rate program since 1998. Solix determines the eligibility of applicants and requested services to support Internet accessibility for schools and libraries throughout the nation. Our decisions result in the award of more than $2 billion annually.			
Engagement term:	**Start Date (Month/Year)**	1998	**End Date (Month/Year)**	Present
Client Contact Name and Title:	Mr. Mel Blackwell Vice President, Schools & Libraries Division			
Phone Number:	202.263.1625	**Email:**	mblackwell@usac.org	
Alternate Client Contact Name and Title:	Ms. Catriona Ayer Senior Director, Program Integrity			
Phone Number:	202.263.1626	**Email:**	cayer@usac.org	

Client Reference # 2				
Name of the Bidder:	Solix			
Name of the Client Firm:	Public Utility Commission of Texas- Texas Low Income Discount Administrator (LIDA)			
The type and scope of services of the engagement.	Developing, implementing, and administering a coordinated enrollment process, maintaining a database of applicants and eligible customers, operating a call center, printing and mailing application forms, reviewing applications and all supporting documentation, and providing lists of eligible customers to electric and telecommunications carriers. Solix also developed and implemented the IT platform used for this purpose.			
Engagement term:	**Start Date (Month/Year)**	2004	**End Date (Month/Year)**	Present
Client Contact Name and	Jay Stone, Program Administrator			

Section 3 – Organizational Support and Experience

Client Reference # 2			
Name of the Bidder:	**Solix**		
Name of the Client Firm:	Public Utility Commission of Texas- Texas Low Income Discount Administrator (LIDA)		
Title:			
Phone Number:	512.936.7425	**Email:**	Jay.stone@puc.state.tx.us
Alternate Client Contact Name and Title:	James Albright, Deputy Executive Director – Operations		
Phone Number:	512.936.7095	**Email:**	Jim.albright@puc.state.tx.us

Client Reference # 3					
Name of the Bidder:	**Solix**				
Name of the Client Firm:	Florida Department of Health Division of Disease Control & Health Protection (DDCHP) Office of Public Health Research (OPHR)				
The type and scope of services of the engagement.	For two state-funded, biomedical research competitive grant programs offering a dozen types of grants, Solix provides program management, project management, process and procedure development, drafting of Requests for Applications, application processing, administrative and scientific peer review of grant applications and progress reports, acceptance and review of grant financial and performance reports, grantee site visits, public website hosting and maintenance, and web-based grant management infrastructure via Solix's GrantEase® system, among other services.				
Engagement term:	**Start Date (Month/Year)**	2004	**End Date (Month/Year)**		Present
Client Contact Name and Title:	Richard J. Bookman, Ph.D., Chair, Florida Biomedical Research Advisory Council				
Phone Number:	305. 284.9074	**Email:**	rbookman@miami.edu		
Alternate Client Contact Name and Title:	Chuck Wells, MPH, Former Assistant Director, Office of Public Health Research, Florida Department of Health				
Phone Number:	850.645.7150	**Email:**			

Section 3 – Organizational Support and Experience

Case Studies for Projects of Similar Size and Scope

Project Name:	Assessment of Child Welfare Federal Compliance Processes and Systems
Client:	Pennsylvania Department of Public Welfare and Philadelphia Department of Human Services
Jurisdiction Type:	State Public Welfare Department and City/County Human Services Agency
Project Location(s):	Harrisburg, PA and Philadelphia, PA
Period of Performance:	July 2008 – March 2012
Project Requirements and Description:	

In July 2008, as a result of a failed Federal audit, PFM was engaged by Pennsylvania's Department of Public Welfare to assist the Department with attaining compliance with Title IV-E of the Federal Social Security Act, which provides funding for children in out-of-home foster care placements. The primary focus of this effort was the City/County of Philadelphia, where the Federal audit found repeated reporting failures. PFM employed a variety of analytical techniques to assess organizational effectiveness and program compliance—including interviews with programmatic staff, reviews of documented policies and procedures, assessments of existing IT systems, and observations and analyses of business processes. PFM's analysis identified a series of structural deficiencies in how Philadelphia tracked children, processed payments for foster care providers, and submitted claims for State and Federal reimbursement.

To address these issues, PFM recommended the development of a new, Web-based system, and a series of data integrity analysis techniques to assure that caseworker-driven information on child placements and services matched provider records and claims. PFM partnered with a technology development firm to design and build this system (called P-Drive). PFM worked collaboratively with its technology partner and with stakeholders from Philadelphia and the State to generate a series of detailed requirements documents for this new system. System development followed a spiral development approach as system features were iteratively designed, developed, implemented, tested, and refined. System design incorporated a variety of user tools to allow stakeholders to manage caseloads and invoices and extract management information from the system. PFM maintained the system through mid-March 2012, when it was successfully transitioned to DHS to be managed internally.
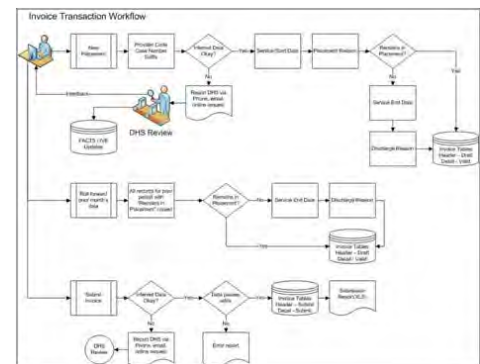
PFM helped Philadelphia re-design its Title IV-E business processes

In conjunction with system development, PFM worked with Philadelphia and the State to develop and modify processes and procedures designed to meet the strict compliance requirements set forth by Title IV-E. PFM managed these business processes to ensure that Philadelphia's Child Welfare invoices were successfully transmitted to the State's system for maximum reimbursement by the Federal Government. PFM then developed and led training sessions for stakeholders to roll out the new system.

As a result of PFM's efforts, Philadelphia dramatically improved its compliance with Federal reimbursement guidelines, addressing the key findings from the original Federal audit. PFM's work directly contributed to Pennsylvania passing its most recent Federal audit of its Title IV-E claims.

Section 3 – Organizational Support and Experience

Project Name:	Disaster Recovery
Client:	Mayor's Office, City of New Orleans, Louisiana
Jurisdiction Type:	City Agencies and Departments
Project Location(s):	New Orleans, Louisiana
Period of Performance:	July 2007 – July 2013
Project Requirements and Description:	

The legacy of Hurricane Katrina has and will impact New Orleans for years to come. In the aftermath of the historic hurricane damage, the City staff was reduced by more than one-third. Even while operating with a substantially reduced staff and loss of knowledge and experience, the City had to undertake a monumental effort to rebuild public and private buildings and organizations.

In August 2007, PFM was hired by the City to assist in their rebuilding efforts – both of their internal government infrastructure and the many external challenges it faced as well. PFM's five year contract with the City focused on attaining departmental service improvements as well as improvements in budgeting and financial management for the City. The initial vehicle for refocusing City government on effective government and results was to implement Budgeting for Outcomes – a GFOA recommended best practice.

In a team-effort with the Mayor, Chief Administrative Officer, and other leaders within the City government, PFM analyzed fiscal and operational aspects of the City, which included:

- Guidance to develop goals, indicators, and outcome measures for the FY2008, FY2009 and FY2010 budgets;
- Expert assistance in projecting revenues;
- Evaluation of the 25 largest departments in less than one month, meeting with each to determine current functioning and strategic opportunities that would significantly improve the departments' performance;
- Support of all City departments in budget analysis and developing performance measures at all levels of the budget;
- Work with all City departments to prioritize programs in order of their ability to achieve one or more of the Mayor's identified key outcomes;
- Development and improvement of outcome measures and their inclusion in quarterly performance reports and a web-based scorecard;
- Facilitate delivery of the budget to Council and assist with requests for additional information; and
- Support of City budget staff to prepare first online budget (FY2008) and first submission and receipt in over 20 years of the GFOA Distinguished Budget Award (FY2008). The City also received the GFOA Distinguished Budget Award for the FY2009 budget.

In 2008 and 2009, PFM worked to assist City departments in tracking and reporting on outcome and performance measures that determined the departments' progress toward achieving KEY OUTCOMES. In addition, the PFM team supported the City in monitoring results and assisted in the ongoing evaluation of all departments' progress through a web-based scorecard and quarterly performance reports. The team also worked with the City to continue to expand the application of Budgeting for Outcomes with a focus on identifying opportunities for collaboration and efficiencies.

PFM has also advised on specific operational aspects, including sanitation operations through oversight of a house count, salary survey of unclassified positions, and development of an action plan to resolve audit findings. In 2009 and 2010, PFM supported the City with analysis and recommended improvements on key budget drivers

including: benefits expenditures, contractor vs. city worker labor costs in parks management, delivery models for citywide health care clinic and EMS services, and service delivery by external organizations.

Most recently, PFM has undertaken the following efficiency and operational projects for the City:

- **Technology**: PFM led a review of the Mayor's Office of Technology's (MOT) management, operations and finances. The review analyzed MOT's organizational structure, operations management and oversight, staffing, and overall departmental effectiveness. Acting upon PFM's recommendations, the City implemented operational and policy changes including demoting staff, freezing contractor payments, commencing external reviews of contracting practices, organizational restructuring, initiating a forensic audit and pursuing civil recovery resulting from inappropriate contracting.

- **EMS**: PFM performed a comprehensive assessment of the New Orleans Emergency Medical Services Division operations to provide an overview of the division's budget, evaluate its structure and performance, and identify opportunities for improvements in funding, efficiency, and service quality. The assessment analyzed patient care and quality assurance, system design, revenues and expenditures, and performance management, and produced short-term and long-term recommendations to improve financial sustainability, operational performance, enhance the quality of patient care, reduce costs, and augment revenues to support operations.

- **Fire**: PFM conducted an operational assessment of the New Orleans Fire Department (NOFD) to identify opportunities to reorganize management structure or operational units to increase operational effectiveness, efficiency or achieve budgetary savings; make investments to improve efficiency and effectiveness; maximize NOFD personnel productivity through additional duties; and generate additional revenue related to NOFD functions. The assessment detailed recommendations in the areas of fire station location and deployment, prevention, structure and operations, revenue, investment and performance management.

- **Criminal Justice**: PFM performed an operational review of the Orleans Parish Criminal Justice system to identify the system wide budget, document and measure the current process of criminal cases, determine best practices in performance measurement, and outline best practices that could improve system wide effectiveness and efficiency. According to the New Orleans Times-Picayune, the review "offers some rational suggestions" to increase collaboration, coordination and the use of technology and data across all criminal justice agencies, improve court operations, and eliminate duplication, and target efforts to fight and prevent crime.

Section 3 – Organizational Support and Experience

Project Name:	Federal Compliance Assistance – ARRA Reporting
Client:	State of Minnesota Department of Management and Budget
Jurisdiction Type:	State Agencies
Project Location(s):	St. Paul, Minnesota
Period of Performance:	July – October 2009
Project Requirements and Description:	

PFM has been a qualified vendor for State of Minnesota agencies and departments via master contracts since 2008. In July, 2009 PFM was selected by the Minnesota Department of Management and Budget (MMB) to support the planning and execution of the initial required state reporting under the federal fiscal stimulus bill, the ARRA of 2009. ARRA's Section 1512 required extensive reporting related to grants and awards made with federal stimulus funding, including estimates of jobs created or retained. It also required submission of data and information related to recipients, sub-recipients and vendors both on a quarterly and aggregated basis.

This was a challenging engagement because of the limited timeframe – the first quarterly report was due October 1, 2009 – and the fact that the federal requirements continued to evolve throughout the project. It required the PFM team to quickly come up to speed on the new federal requirements and adapt to changes as OMB and other federal agencies interpreted the new reporting requirements.

Within days of the contract start date, a senior PFM team led by Managing Director John Cape and Directors Randall Bauer and Virginia Rutledge was on the ground in St. Paul conducting an extensive round of interviews with MMB key staff to get up to speed on Minnesota's state of readiness regarding these reporting requirements. Based on those initial discussions, a plan was developed that included the following key elements:

- Create a detailed, web-based checklist (road map) of each activity State Departments must undertake to prepare for and satisfy the federal reporting requirements.
- Conduct reporting assessment interviews with each State Department with ARRA reporting responsibility.
- Provide a risk assessment and remediation plan to the MMB.
- Assist, as needed, with follow-on work with Departments.

In preparing the web-based checklist, PFM reviewed all ARRA documentation on the federal OMB website, consulted with other states on their planning and implementation and reviewed similar planning documents in other states. The checklist included FAQs and other information as well as links to federal information. Based on PFM's review of other planning documents, the Minnesota documentation was as or more complete than any other state process.

In developing its risk assessment, PFM conducted interviews with key MMB and agency personnel, as well as sub-recipients and contractors, to identify readiness and control vulnerabilities. Additionally, PFM developed MMB/agency review and approval procedures to assure effective central oversight of the de-centralized registration and reporting process.

Finally, PFM and MMB met with identified at risk agencies to assist them with developing plans to be able to meet ARRA Section 1512 reporting requirements for the October 2009 reporting period. As a result of these activities, all Minnesota agencies were able to comply with the October 2009 reporting deadlines and requirements. In its review of the ARRA reporting process, the Minnesota Legislative Auditor identified the process as a best practice.

Section 3 – Organizational Support and Experience

Project Name:	Implementation of Focused Response to Hurricane Katrina for the Federal Schools and Libraries Program
Client:	USAC (Universal Service Administrative Company)
Jurisdiction Type:	Federal Agency
Period of Performance:	1997 to Present (Overall contract)
Project Requirements and Description:	

Solix has managed the operation of the federal Schools and Libraries Program for the USAC, the administrator of the program for the FCC, since its inception in 1997. The Schools and Libraries Program, commonly called E-Rate, provides more than $2 billion in annual subsidies to approximately 105,000 schools and 12,000 libraries in the U.S. for telephone service, Internet access, and internal connections. Annually, we review nearly 40,000 online or paper E-Rate applications, send 500,000 letters, handle 70,000 calls from grant applicants, and maintain thousands of pages of procedures for this highly complex program.

Solix reviewers manually evaluate each application, often requesting written clarification from the applicant. Reviewers determine the eligibility of the equipment or services requested, and whether the equipment or services were competitively bid and are cost effective. Reviews are performed using procedures developed by Solix and approved by USAC, based on general rules provided by the FCC. Each reviewed application undergoes several layers of quality review to ensure strict adherence to program procedures and to verify that supporting documentation has been properly archived and referenced.

Upon receipt of the approved services or equipment, each E-Rate applicant or its vendor submits invoices requesting payment. Solix reviews these requests using procedures we developed to ensure that the invoiced service or equipment are consistent with the approved funding commitment. Solix submits approved invoices to USAC for payment. We also review and process appeals from applicants whose funding requests were modified or denied.

> *Solix has consistently helped to deliver excellent results for the Federal E-Rate Program. Thanks to Solix's efforts under the direction of USAC, millions of school children in more than 10,000 school districts have benefited from $10 billion in Internet infrastructure and communications technology. And Solix's program compliance has been instrumental in helping to detect and control suspected waste, fraud, or abuse.*

Mel Blackwell, VP – Schools and Libraries Division, USAC

In the aftermath of Hurricane Katrina, Solix implemented the FCC's Order to help area schools, libraries, and health care providers recover. Solix immediately appointed one of our most experienced managers as an overall process manager. The Solix team developed a list of all schools and libraries eligible as affected entities based on their ZIP code to prevent waste, fraud and abuse and ensure only those entitled to Hurricane Katrina Relief under the FCC Order were awarded funding. Solix also made numerous systems changes to implement the Order including extending the filing window, allowing for waivers of FCC rules and systematically prioritizing Katrina applications. Before any applications were reviewed, all staff were trained and certified to review Katrina Relief applications consistent with the Order. Solix developed detailed reporting of all Hurricane Katrina relief requests, funding commitments and disbursements.

Lastly, Solix contacted all Hurricane Katrina Relief funding recipients after disbursements reminding them that if they received duplicate funding from insurance or other means that they were obligated to return their Schools and Libraries funding consistent with program requirements.

Section 3 – Organizational Support and Experience

Project Name:	Texas Low Income Discount Administrator (LIDA)
Client:	Public Utility Commission of Texas
Jurisdiction Type:	State Commission
Period of Performance:	2004 to Present
Project Requirements and Description:	

The Texas LIDA, regulated by the Public Utility Commission of Texas (PUCT), is a state-level Lifeline program established to provide discounts for electricity and telephone service to over 4 million low income residents.

After struggling for years with a provider that did not meet expectations, the PUCT engaged Solix in 2003 to design and implement a more robust and efficient solution for this complex program. Solix's program design goals were to build a customer application process that was as easy to use as possible; to provide timely and accurate customer eligibility lists for utility companies; to resolve customer eligibility issues accurately and promptly; and to produce meaningful, comprehensive program management reports. Our continued management of the program and the accolades we've received during our tenure from the Commission are testimony to our success in meeting these goals.

Solix developed the systems and processes that now match more than 12 million customer records monthly, from over 100 telephone and electric companies, with nearly 2 million Department of Health records of discount-eligible residents. Texas residents qualify for the program if they participate in low income public benefit programs, such as Food Stamps (SNAP) or Temporary Assistance for Needy Families (TANF).

I hold in high regard Solix's role in supporting the Commission's efforts to preserve the affordability of telephone service in Texas. I feel confident that Solix will deliver the same high quality of service to any organization.

Jay Stone, Program Administrator

This automated process involves cleansing and standardizing data, identifying and removing duplicate and near-duplicate records, certifying addresses in accordance with U.S. postal requirements, and matching records using pre-defined criteria. Solix then notifies each participating telephone or electric company which of their customers is eligible for discounts.

Texas residents that do not participate in one of the qualifying programs can apply for benefits using a Solix-developed "self-certification" application process. In order to ensure the greatest accuracy and customer service speed, Solix's customer service representatives use a web-based interface to enter applicant data to pre-populate applications with much of the required information, including name, address, telephone number, telephone company, date of birth, and Social Security number. This information is incorporated into a customer service database, and also transmitted to a fulfillment operation, where customized, bilingual application forms are printed and mailed to applicants for completion, enclosure of supporting documentation, and signature.

Upon receipt of the completed forms and supporting documentation, our operations staff use an online system developed by Solix to manage the application eligibility review and complete the self-certification enrollment process. Solix receives and processes an average of 4,000 self-certification applications each week, and has processed as many as 9,000 applications a week without difficulty. Solix also manages the semi-annual verification process by which all Texas residents who receive program discounts must verify their continued eligibility.

Section 3 – Organizational Support and Experience

Project Name:	Florida Biomedical Research Program
Client:	Florida Department of Health Division of Disease Control & Health Protection (DDCHP)
Jurisdiction Type:	State Agency
Period of Performance:	2004 to Present
Project Requirements and Description:	

For two state-funded, biomedical research competitive grant programs offering a dozen different types of grants, Solix provides program management, project management, process and procedure development, drafting of Requests for Applications, application processing, administrative and scientific peer review of grant applications and progress reports, acceptance and review of grant financial and performance reports, grantee site visits, public website hosting and maintenance, and web-based grant management infrastructure via Solix's GrantEase® system, among other services.

The Florida Biomedical Research Program was created by the legislature in 1999 for the purpose of investing a portion of the State's tobacco settlement in biomedical research. In 2004, the Department sought a commercial partner to assist with the technical challenge of operating a state-funded biomedical research program to conduct research involving cancer and diseases related to tobacco use. This contract required Solix to draw on its knowledge of best practices, apply critical thinking, assemble and interpret data, research the approaches of others, and develop new potential solutions tailored to suit Department and Program interests.

Solix managed the collection and review of grantee annual budgets, quarterly invoices and spending reports, made payment recommendations to the Department for a grant portfolio averaging 200 active projects, including an online grant application process, management of the administrative review of applications and recommendation of applicant eligibility, and liaison among program stakeholders at Department of Health, 23 public and private Florida institutions, and hundreds of individual researchers.

Results achieved:

Since 2004, the Florida Biomedical Research Program has grown to include not only its flagship James & Esther King Biomedical Research Program, but also the well-established Bankhead-Coley Cancer Research Program. It has awarded more than 400 research grants as of August 2012. This program's operational capabilities and capacity have matured to handle this significantly greater volume as a matter of routine, enabling Department staff and Advisory Council to devote considerable attention to the mission-critical work of strategic planning, program evaluation, performance measurement, and continuous improvement of business processes.

In 2009, the economic development impact of the James & Esther King program led the State Science and Technology Institute to recognize it as the national winner of its Excellence in Technology-Based Economic Development award in the category of expanding research infrastructure.

To date, research findings sponsored by Florida's investment of $160 million since 2004 have attracted over $340 million in additional funding from non-state sources.

Section 3 – Organizational Support and Experience

Financial Capability of the Bidder

Certified financial statements for The PFM Group and Solix are provided as a separate confidential attachment to this RFQ. Bank references for The PFM Group and Solix are as follows:

The PFM Group	
Bank Reference Name	J. Robert Hawkins
Bank Name	Susquehanna Bank
Address	1570 Manheim Pike PO Box 3300 Lancaster, Pennsylvania, 17604-3300
Phone	717.735.8834
Email	Robert.Hawkins@susquehanna.net

Solix	
Bank Reference Name	J. Richard Bishop
Reference Title	Senior Vice President
Bank Name	Northern New Jersey RCBO
Branch	Wells Fargo Commercial Bank
Address	190 River Road Summit, New Jersey, 07901
Phone	908.598.3863
Fax	
Email	Dick.bishop@wellsfargo.com

Appendices

Appendices

Proposal Assumptions

- The Superstorm Sandy Recovery Business Grant Application form will be available within 5 days of the Initial Organizational Meeting.

- The program website will be provided in English only, but will be compliant with accessibility requirements for persons with disabilities and limited English proficiency.

- NJEDA will provide The PFM Team with a method to request disbursements from a state agency or designated financial institution such as the Disaster Recovery Grant Reporting system.

- Monmouth County and Trenton locations are secure facilities, with the necessary controls to comply with NIST standards (security category moderate).

- NJEDA will sign off on key decision points as specified in the Sandy Recovery Project Plan (GANTT chart).

- All requests to appeal grant funding decisions will be directed to the appropriate contact at the NJEDA.

Optional Services

Should NJEDA require any of the following optional services as part of the Superstorm Sandy Recovery Business Grant solution, the requirements can be defined and pricing provided.

- The PFM Team can work with NJEDA to provide additional methods for accepting applications including use of a mobile application that could be taken to WIB sites to accept applications. These systems can track who is entering data and have the ability to capture document images for simple applications.

- The PFM Team can work cooperatively with NJEDA to formalize a Superstorm Sandy Appeals Process. Even with comprehensive application, quality assurance and corrective action processes, some applicants will inevitably appeal funding decisions or award amounts. Typical grounds for appeal include process errors or incorrect evaluation or assessment of the application. We are experienced in developing formal appeals procedures, including deploying website-based appeals processes that permit applicants to input appeals information on line.

- The PFM Team can has extensive experience with call center platforms that provide advanced metrics including number of calls answered, average speed of answer, and average handle time. Relatedly, the PFM Team can provide storage of call recordings, for various periods of time, in secure facilities and systems and makes those recordings available as needed through secure transmission of either sampling of calls that meet a given criteria or specific calls needed for compliance or other review.

- The PFM Team can perform efficiency audit reviews of existing policies, procedures, and practices. Our independent third-party evaluations help our customers maximize efficiencies and improvements in accordance with best practices. Our strong commitment to compliance throughout the company strengthens our ability to establish compliant policies and procedures for our customers.

- The program website can be made available in Spanish.

- The PFM team can conduct an economic impact analysis of the Superstorm Sandy Recovery Business Grant Program, including analyzing jobs created and retained and, through the development and use of an input-output model, associated state direct and indirect economic activity.

New Jersey Department of the Treasury

Division of Purchase and Property

Request for Quotation

Business Process Consulting Services
Superstorm Sandy Recovery

Volume 2 – Price Schedule

April 11, 2013

The PFM Group

Public Financial Management, Inc.
PFM Asset Management LLC
PFM Advisors

SOLIX

Transparent Solutions, Visible Results

30 Lanidex Plaza
West Parsippany, NJ 07054-0685
973.581.7676 phone

www.solixinc.com

Two Logan Square, Suite 1600
18th & Arch Streets
Philadelphia, PA 19103
215.567.6100 phone
                                    fax

www.pfm.com

			Price Sheet

NEW JERSEY ECONOMIC DEVELOPMENT AUTHORITY

BUSINESS PROCESS OUTSOURCING CONSULTING SERVICES - SUPERSTORM SANDY BUSINESS RECOVERY GRANT PROGRAM

HOURLY RATES

All Bidders MUST submit a detail of labor titles/positions to be used in performing the requirements of this RFQ. The Bidders must indicate an Hourly Rate for each labor title/position.

	POSITIONS/TITLES to be ASSIGNED to PERFORM the SCOPE OF WORK	HOURLY RATE YEAR 1	HOURLY RATE YEAR 2	Proposer shall indicate whether each position/title will be provided with In-House or Subcontracted Staff	
				In House Staff	**Subcontracted Staff**
1	Claims Representative - Contractor site	$66.27	$67.66		X
2	Claims Representative - Government site	$48.80	$50.19		X
3	Initial Reviewer - Contractor site	$77.23	$78.95		X
4	Initial Reviewer - Government site	$59.76	$61.48		X
5	Final/Specialist Reviewer/Supervisor - Contractor site	$95.72	$97.99		X
6	Final/Specialist Reviewer/Specialist - Government site	$78.24	$80.52		X
7	Project Manager	$128.22	$131.47		X
8	Systems Subject Matter Expert	$171.48	$176.02		X
9	Business Subject Matter Expert	$154.22	$158.25		X
10	Program Manager	$176.43	$181.12		X
11	Managing Director	$281.06	$287.25	X	
12	Senior Managing Consultant	$255.52	$261.14	X	
13	Consultant	$214.62	$219.34	X	
14					
15					
16					
17					

MAXIMUM ANNUAL NOT TO EXCEED FEE

The Biddder MUST provide the Maximum Annual Not To Exceed Fee on line 18 of this price sheet.

		YEAR 1	YEAR 2
18	*MAXIMUM ANNUAL NOT TO EXCEED FEE:*	*$9,000,000*	*$3,000,000*

BUSINESS RECOVERY PROPOSED ANNUAL BUDGET

The Biddder MUST provide its proposed budget to facilitate satisfying the requirements of this RFQ (see Section 4.2.5: Price Schedule/Sheet). Line 19 of this price sheet must reflect the total proposed budget. A separate spreadsheet with supporting detail, in MS Excel format, backing into the proposed budget must be provided by the bidder with this price sheet. Failure to provide all required pricing may result in the Quotation being deemed non-responsive.

		YEAR 1	YEAR 2
19	**TOTAL ANNUAL PROPOSED BUDGET:**	*$225,000,000*	*$75,000,000*

EQUIPMENT USAGE CHARGES

The Biddder MUST provide equipment usage charges on line 20 of this price sheet and must reflect the total cost for equipment usage to meet the requirements of this RFQ.

		YEAR 1	YEAR 2
20	**TOTAL EQUIPMENT USAGE CHARGES:**	*$51,133*	*$29,247*

TRAVEL EXPENSES AND REIMBUREMENTS

The Bidder MUST provide the not to exceed travel expenses and reimburements on line 21 of this price sheet. The Bidder shall reference section 3.10: Travel Expenses and Reimburements for requirements and guidelines.

		YEAR 1	YEAR 2
21	*TOTAL NOT TO EXCEED TRAVEL EXPENSES & REIMBUREMENTS:*	*$288,505*	*$196,011*

RDQ for Business Process Outsourcing
Superstorm Sandy Recovery

Budget Category		Year 1		Year 2		Total Contract	
Application Processing	$	5,330,114	$	1,819,464	$		7,149,578
Travel Expenses and Reimbursements	$	288,505	$	196,011	$		484,516
Equipment Usage	$	51,133	$	29,247	$		80,379
Account Management	$	591,358	$	327,304	$		918,663
IT Development and Operations	$	1,293,696	$	517,560	$		1,811,256
Annual Proposed Fee	**$**	**7,554,806**	**$**	**2,889,585**	**$**		**10,444,392**
Efficiency Assessment Fee	$	562,500	$	187,500	$		750,000
Proposed Funds to be Disbursed	$	216,882,694	$	71,922,915	$		288,805,608
Fund Amount	**$**	**225,000,000**	**$**	**75,000,000**	**$**		**300,000,000**